



ਜਗਤ ਗੁਰੂ ਨਾਨਕ ਦੇਵ
ਪੰਜਾਬ ਸਟੇਟ ਓਪਨ ਯੂਨੀਵਰਸਿਟੀ
ਪਟਿਆਲਾ

**The Motto of Our University
(SEWA)**

SKILL ENHANCEMENT

EMPLOYABILITY

WISDOM

ACCESSIBILITY

SELF-INSTRUCTIONAL STUDY MATERIAL FOR JGND PSOU

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**JAGAT GURU NANAK DEV
PUNJAB STATE OPEN UNIVERSITY, PATIALA**

(Established by Act No. 19 of 2019 of the Legislature of State of Punjab)

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

Head Quarter: C/28, The Lower Mall, Patiala-147001

WEBSITE: www.psou.ac.in

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CONTENTS

SR. NO.	COURSE	COURSE NAME
1	Economics	International Economics
2	English Elective	Reading Drama
3	History	Contemporary India
4	Political Science	Indian Political System -II
5	Sociology	Social Change in India
6	English Compulsory - 2	-----
7	Any one of the following: (SECs) I. Enhancing Happiness at Workplace II. Web Designing and Development III. Soft Skills	-----



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CORE COURSE (CC): ECONOMICS

SEMESTER- IV

BLAB32401T: INTERNATIONAL ECONOMICS

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3.	Dr. Kiran Lamba
4.	Dr. Pooja Sikka



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PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

In keeping with the nature of an Open University, this University provides a flexible education system to suit every need. The time given to complete a programme is double the duration of a regular mode programme. Well-designed study material has been prepared in consultation with experts in their respective fields.

The University offers programmes which have been designed to provide relevant, skill-based and employability-enhancing education. The study material provided in this booklet is self-instructional, with self-assessment exercises, and recommendations for further readings. The syllabus has been divided in sections, and provided as units for simplification.

The University has a network of 10 Learner Support Centres/Study Centres, to enable students to make use of reading facilities, and for curriculum-based counselling and practicals. We, at the University, welcome you to be a part of this institution of knowledge.

Prof. Anita Gill
Dean Academic Affairs



BACHELOR OF ARTS (LIBERAL ARTS)

CORE COURSE (CC): ECONOMICS

SEMESTER-IV

BLAB32401T: INTERNATIONAL ECONOMICS

MAX. MARKS: 100

INTERNAL: 30

PASS: 35%

EXTERNAL: 70

TOTAL CREDITS: 6

OBJECTIVE

This course tells about the determinants of international trade as well as international trade policy in theory and practice.

INSTRUCTIONS FOR THE CANDIDATES

Candidates are required to attempt any two questions each from the sections A, and B of the question paper, and any ten short answer questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

SECTION – A

Theories of International Trade: Nature, scope and importance of International Economics

Theories of Absolute Advantage, Comparative Advantage and Opportunity Costs. Heckscher-Ohlin Theory. Factor Price Equalisation. Gains from trade, their measurement and distribution.

Terms of trade, secular-deterioration hypothesis.

Commercial Policy: The theory of tariffs, Optimum and effective rate of tariff, inter-relationship between trade, aid and economic development.

The theory of economic integration among nations; forms of economic integration. The theory of Customs Union.

SECTION – B

Balance of Payments, Exchange Rate and Trade Structure: The process of adjustment in the balance of payments. The concept of foreign trade multiplier. Fixed Vs. flexible exchange rates and their relative merits and demerits.

Structure of Trade: trade between developing and developed countries. Unequal Exchange and its impact on Balance of Payments.

Current problems of trade and finance of developing countries.

International Monetary System: IMF and international monetary system, present international monetary system, problems of international liquidity. Proposals for international monetary reforms.

New International Economic Order: Role of common currency in regional blocs and common markets. Financial Globalization and Financial crises: Causes and case studies.

RECOMMENDED READINGS:

1. Paul Krugman, Maurice Obstfeld, and Marc Melitz, International Economics: Theory and Policy, Addison-Wesley (Pearson Education Indian Edition), 9th edition, 2012.
2. Dominick Salvatore, International Economics: Trade and Finance, John Wiley International Student Edition, 10th edition, 2011.
3. Bo Sodersten: International Economics, IInd Edition, Macmillan Press, London, Reprint 1990.
4. C.P. Kindleberger: International Economics, Richard Irwin, Homeswood, Illinois, Indian, Edition 1977



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CORE COURSE (CC): ECONOMICS

SEMESTER -IV

BLAB32401T: INTERNATIONAL ECONOMICS

COURSE COORDINATOR AND EDITOR: DR. PINKY

SECTION A

UNIT NO:	UNIT NAME
Unit 1	International Trade: Nature, Scope and Importance
Unit 2	Theories of Absolute Advantage and Gains from Trade: Measurement and Distribution
Unit 3	Terms of Trade, Secular-Deterioration Hypothesis
Unit 4	Commercial Policy: The Theory of Tariffs, Optimum and Effective Rate of Tariff
Unit 5	Theory of Economic Integration Among Nations; Forms of Economic Integration. The Theory of Customs Union

SECTION B

UNIT NO:	UNIT NAME
Unit 6	Balance Of Payments and Exchange Rate
Unit 7	Structure Of Trade: Trade Between Developing and Developed Countries. Unequal Exchange and Its Impact on Balance of Payments.
Unit 8	IMF and International Monetary System
Unit 9	Present International Monetary System, Problems. Proposals And Reforms
Unit 10	Role of Common Currency in Regional Blocs and Common Market Financial Globalisation and Financial Crisis

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

COURSE: INTERNATIONAL ECONOMICS

UNIT 1: INTERNATIONAL ECONOMICS: NATURE, SCOPE AND IMPORTANCE

STRUCTURE

1.0 Learning Objectives

1.1 Introduction

1.2 Meaning of International Economics

1.3 Internal and International Trade

1.4 Nature of International Trade

1.5 Subject matter of international Economics

1.6 Scope of International Economics

1.7 Importance of International Economics

1.8 Summary

1.9 Questions for Practice

1.10 Suggested Readings

1.0 Learning Objectives

After reading the lesson, students will be able to:

- Understand the meaning of International Economics
- Know subject matter of International Economics
- Describe nature & scope of International Economics
- Discuss the importance of international economics.

1.1 Introduction

In the words of British economist Alfred Marshall, “*Economics as a study of mankind in the ordinary business of life; it examines that part of individual and social action which is most closely connected with the attainment and with the material requisites of well-being.*” Hence the science of economics is concerned with the optimum allocation of resources among the

competing ends to satisfy unlimited wants. International Economics is that part of the study of economics which deals with the issue of adjustment between scarce resources and ends in a more specific way.

In the words of Miltiades Chacholiades, *“International Economics studies how a number of distinct economies interact with one another in the process of allocating scarce resources to satisfy human wants”*. International Economics is a special branch of economic science that deals with international trade and finance. In a closed, economic system, there may be severe constraints upon the optimization of production and welfare. The international exchange of goods and services can facilitate the optimum allocation of productive resources and not only in a case of a single country but also in the entire world. International economics is that branch of economics in general which deals with the international exchange of goods and services. The major question in international trade theory is to explain why nations trade with each other. In today's world of unlimited wants, no nation is self-reliant in terms of domestic consumption. The factors of production are unequally distributed in the world. Countries differ in terms of natural resources, mineral resources, labour, capital, and entrepreneurial endowments and these differences decide the capacities of countries to produce goods and services. Due to different production capacities, countries can produce different goods efficiently and a single country can't produce all goods efficiently. Just as individuals specialize in certain products as per their skills countries also specialize in the production of particular goods and services in which they have production efficiency over other countries. As individuals gain through trade similarly international trade generates gains from the exchange of goods and services among various nations. Hence the sole basis of international trade is gain from trade, if there is no gain there will be no trade.

1.2. Meaning of International Economic

International economics refers to the study of international forces that influence the domestic conditions of an economy and shape the economic relationship between countries. In other words, it studies the economic interdependence between countries and its effects on the economy.

According to Wasserman and Haltman, *“International Trade consists of transactions between residents of different countries.”*

Therefore, international economics is divided into two parts, namely, theoretical and descriptive. These two parts are discussed below:



1. Theoretical International Economics: It deals with the theoretical explanation of international economic transactions as they take place in different institutional environment, theoretical context of international trade is discussed in it. Theoretical international economics is further divided into two categories, which are as follows:

- **Pure Theory of International Economics:** Pure theory of international economics deals with trade patterns, the impact of trade on production, rate of consumption, and income distribution. It also involves the study of the effects of trade on the prices of goods and services and the rate of economic growth. It involves the microeconomic part of international economics.
- **Monetary Theory of International Economics:** Monetary theory of international economics is concerned with issues related to the balance of payments and the international monetary system. It studies causes of disequilibrium between payments and international monetary system and international liquidity. It involves the macroeconomic part of international economics.

2. Descriptive International Economics: It deals with the institutional environment in which international transactions take place between countries. Descriptive international economics also studies issues related to the international flow of goods and services and financial and other resources. It covers the study of various international economic institutions, such as IMF, WTO, World Bank, and UNCTAD.

International Economics deals basically with those economic principles which govern the exchange of goods and services between sovereign nations (more accurately, between their residents) and with special policy problems which arise because of this. It must be understood, however, that these general principles are the same as those which apply to trade between groups and individuals within a given country. This is so because the gains from trade, whether national or international, arise from specialization through division of labour which increases the productivity of factors. Specialization is, however, impossible without trade. Of course, a

mutually beneficial exchange can arise even without production, when tastes differ between trading partners. This gain from pure exchange can be substantially increased when trade makes it possible to reallocate productive resources based on comparative advantage. In brief we can say that International Economics is a specialized and dynamic branch of economic science which deals with nations and principles which govern international trade and try to inculcate understanding of present global economic problems and their potential solutions.

1.3 Internal and International Trade

The principle applies to international trade in goods and services are the same as applicable to internal trade because the same tools of analysis apply to all economic activity. However, controversy exists among economists if there is any difference between interregional and international trade. Hence it is important to make a distinction between internal and international trade because national boundaries essentially exercise some influence on the economic activities of countries. The exchange of goods and services among residents of the same country is called internal trade or inter-regional trade. International trade is trade between different countries or nations. Following factors may lead to this distinction:

- 1. Factor mobility:** It is considered that factors of production are perfectly mobile within a country. But in the international market, there are restrictions on the mobility of labour and capital from one nation to another. This distinction is also identified by classical economists, according to them; labour and capital were seen as mobile within a country but not between countries.
- 2. Different Currencies:** Within a nation, the monetary system is the same for all regions as there is a single currency unit used throughout the country. But this is not the case between countries. There is the use of different currencies like dollars, yen, pounds, marks, francs, rupee, and a thousand more currencies used in international trade. Further, a system of conversion of one currency into another currency is required which is called the exchange rate mechanism. This is very important because the rate of exchange affects not only the movement of goods between countries but also the mobility of capital.
- 3. Economic Environment:** Countries differ in the economic environment as economic, social-cultural and legal environment differs between nations. However, these systems and environments are similar within a nation. Government policies, production techniques, factor proportions and prices, infrastructure facilities, and market structures are nearly the same within a country. But between nations, they could vary differently.

- 4. Product Mobility:** The movement of goods and services within a nation is free and the only barrier is distance and cost of transportation. Whereas in the case of international trade there are import and export duties and quotas, exchange controls, non-tariff barriers which put restrictions on the free movement of goods between nations. Increasing protectionism makes international trade more difficult to happen, however internal trade is relatively free to develop within a particular nation.

These differences between internal and international trade give an important and independent status to International Economics as a branch of Economic science. International trade plays an important role in the progress of a nation. Today no nation exists in isolation and international movement of products increases the economic interdependence among nations. It is clear from the previous paragraph that the economic activities between nations differ from activities within nations. For example, the factors of production are less mobile between countries due to various restrictions imposed by governments. Each branch of economics has specific groups of transactors so has international economics - residents of different nations. The impact of various government restrictions on production, trade, consumption, and distribution of income is covered in the study of international economics. Thus, it is important to study international economics as a special field of economics. The need for special treatment of international economics is that international trade takes place between sovereign nations, and therefore, it is possible and indeed likely, that in pursuance of conflicting national objectives they will adopt policies which will sometimes tend to diminish trade flows. In this context, the specific task of international trade theory would be to highlight the gains from free trade and to focus on the need for, and the possibility of, harmonies and conflicts in international economic relations. But there are certainly practical reasons which led to the evolution of international economics as a distinct branch of economics. These reasons are as below:

1. International economics has over the years developed certain specific tools of analysis and has applied them to different problems encountered in international trade payments, foreign exchange markets, and economic policies.
2. There is the existence of independent sovereign states exercising their authority over a specific geographical area. During the recent decades the growth of regional economic groupings such as a European Union (EU). North American Free Trade Area (NAFTA), Organisation of Petroleum Exporting Countries (OPEC), Association of Southeast Asian Nations (ASEAN), South Asian Association for Regional Co-operation (SAARC), and

the expanding activities of the powerful multinational corporations have caused some erosion in the independent policymaking authority. But the concept of a nation-state is still quite powerful and the different countries adopted trade, payments, and other policies that are guided by enlightened self-interest even though these may be detrimental for the other countries. International economics has thus to deal with the several complex diversities in economic policies.

3. Within the same country, there can be some justification in assuming the constancy of demand and cost conditions. But there is no justification in assuming away the difference in demand patterns and cost conditions between the different countries. The theoretical methods employed by international economics are more suited to deal with these diversities.
4. The different countries of the world do not have that capitalistic laissez-faire economic system which is fundamental to economics in general. In the real world, various political-economic systems are ranging from capitalism to mix economies, communism, and authoritarianism exist. While in the capitalist system the economic activities are regulated by the free play of market forces, the other systems rely upon the government control regulations of different levels. The countries with alternative economic and political systems in nonetheless, are engaged in the exchange of goods and services. Only a specialized discipline like international economics can properly analyze their trade and payment interests.

Check Your Progress-I

Q1. What is International Trade?

Ans: -----

Q2. How one can differentiate between internal and international trade?

Ans:-----

1.4 Nature of International Economics

The nature of international economics can be easily understood by the following points:

- **It is An Art and as well as Science:** Art is the practical application of knowledge for achieving a definite aim. It is concerned with 'doing'. And science is the systematic body of knowledge concerning the relationship between the causes and effects of a particular

phenomenon. International economics deals with international trade theory and trade policy. International trade theory and policy examine the reasons and effects of trade. So, international economics is both art and science as it works upon theoretical and empirical aspects.

- **It Critically Examines the Theories Related to International Economics:** International economics deals with many trade theories. Every theory has a different aspect and is applicable in some countries according to their economic conditions. So, international economics critically examines and evaluates the theories which are applicable to different countries in different conditions.
- **It is the Systematic Description of all the Aspects Related to International Economics:** International economics is a systematic description of all the aspects related to international economic issues like trade, poverty, fluctuations in the exchange rate, etc. firstly, it describes the problem and then provides the solution for it. It scientifically investigates such problems and also empirically verifies them.
- **Descriptive in Nature:** International economics describes issues related to the international flow of goods and services, financial and other resources. It also covers the study of various international institutions, such as IMF, WTO, and UNCTAD.
- **It is Dynamic:** International economics is dynamic, not static. It means changes its principles and rules when the economy needs it. Some changes are automatic and some are deliberate. So, we have to adopt the changes and it is also necessary for the development of international economics.

1.5 Subject matter of International Economics

The familiar breakdown of the entire corpus of economic theory into micro and macro domains has its parallel in international economics. International economics consists of two main branches:

1. **International Trade:** International trade deals with the long-run static equilibrium theory rely heavily on concepts of demand, supply, indifference curves, opportunity costs from microeconomics to explain why nations trade, how do they gain, and why do they resort to protectionism. It explains that if two nations trade with each other, it is for mutual benefit. International trade theory explains circumstances under which these gains are maximized. It explains how climate, availability of resources, and other such factors

decide items that are traded among nations. Countries, especially developing countries, are always worried about the possible ill effects of international competition on domestic growth and try to restrict free competition through economic barriers. International trade theory studies the pros and cons of such protectionist mechanisms and explores means of minimizing their effects to enhance gains from international trade. It analyses all aspects of the policy to examine how it can assist domestic growth and encourage free trade.

- 2. International Finance:** It is a macroeconomic theory that studies the monetary aspects of international economic relations. It deals with an international monetary system that permits the smooth working of the international economy operating on different currencies. One major issue it has to handle is that of the balance of payments. In their international operations, each nation has either surplus or deficit in foreign exchange payments. One method to manage this balance of payments is through the determination of the optimum exchange rate for its currency. One country's economic policy immediately affects the economy of other countries it is trading with. This calls for coordination of these sovereign economies to establish healthy harmony and the theory of international economics explores ways and means available for this purpose.

1.6 Scope of International Economics

International economics is a broader concept and includes many concepts like international trade, international finance, the balance of payment and globalization, etc. It has emerged as one of the most essential concepts for countries. Over the years, the field of international economics has developed drastically with various theoretical, empirical, and descriptive contributions.

- 1. Theory of International Trade:** It concentrates on the theoretical aspects of trade like reasons of trade, gains of trade, etc. Different schools of theories are absolute advantage theory, comparative advantage theory, and modern Heckscher-Ohlin theories, etc. The theory emphasizes the basis of trade or why international trade takes place. The entire structure of the theory of trade rests upon the classical principle and modern version. The modern theorists investigated more systematically and scientifically the issues related to terms of trade, gains from trade, and implications of international trade for growth and welfare.
- 2. Theory of Commercial Policy:** It deals with the international rules and regulations regarding the flow of transactions. It includes various trade restrictions like tariffs, quotas,

changes in exchange rates, etc. Many regulatory mechanisms and various international institutions for monitoring it have also come under it. This area of international economics analyses the reasons for and effects of tariff and non-tariff restrictions upon trade. A highly significant development in the post-war world economy has been the organization of regional economic groupings. The theory of customs union has attracted much attention from academicians and statesmen during the recent decades.

- 3. Theory of Foreign Exchange:** Since the international transactions take place through different currencies the rate of exchange among various currencies has to be determined. International economics studies these theories of determination of exchange rate, systems of exchange rates, conditions in the foreign exchange markets, and issues connected with the exchange control.
- 4. Balance of Payments:** With the progress of trade, nations have to make and receive payments. All these economic transactions of a nation with the rest of the world are systematically recorded in this account which is called balance of payments. The fluctuations in BOP and the associated policy regulations are also included. Balance of payments is a detailed account related to receipts from and payments to the rest of the world by a particular country on account of the transactions of goods or services and capital. International economics deals with the complete framework of a balance of payments accounts and the alternative mechanisms for correcting the balance of payments equilibrium (deficits and surpluses) under the different international monetary systems and examines the effects of payments disequilibrium upon economic performance and welfare of the people of a given country.
- 5. Balance of Payment Adjustments or Open-Economy Macroeconomics:** With the progress of transactions, sometimes either the credit or the debit may outweigh the other side. It will lead to imbalances in the BOP. This situation is normally coined BOP disequilibrium which demands correction either automatically or externally imposed by the governments. The external repercussions are also brought into the study. In open economy macroeconomics, the subject deals with principles that will help a nation to achieve internal balance (stability) and external balance(BOP equilibrium) simultaneously.
- 6. International Economic Institutions:** After the second world war, an institutional framework has been created at the international level to deal with problems like the stabilization of exchange rate, adjustment of international payments disequilibrium, and

meeting of shortage of international liquidity for financing of payments deficits and development. The prominent international institutions include the International Bank for reconstruction and development (IBRD) which is now-a-days called world bank, International Monetary Fund (IMF), International Development Association (IDA), International finance corporation (IFC), United Nations Commission on Trade and Development (UNCTAD), and World Trade Organization (WTO). International economics examines the working and policies of these international institutions.

- 7. Globalization:** It can be defined as an integration of economics all over the world. Globalization is the spread of products, technology, information, and jobs across national borders and cultures. In economic terms, it describes an interdependence of nations around the globe fostered through free trade. In nutshell international economics accommodate every topic associated with economic globalization.
- 8. International Political Economy:** It studies issues and impacts of international conflicts, international negotiations, and international sanctions. It is a sub-category of international relations.

Check Your Progress-II

Q1 International Economics is an art or science?

Ans: -----

Q2. Why International Economics is dynamic in nature?

Ans:-----

1.7 Importance of International Economics

International Economics is growing in importance as a field of study because of the rapid integration of international economic markets. Increasingly, businesses, consumers, and governments realize that their lives are affected not only by what goes on in their town, state, or country but also by what is happening around the world. Perhaps the most important reason to study international economics is that the world's news is more and more driven by interdependence between nations. The importance of international economics can easily be understood with the help of the following points:

1. **To understand Importance of International Trade:** International trade and investment have come to occupy a central place in overall studies of economic growth and development of nations. Traditionally international trade has always been given an important place in the economic progress of nations. In the words of Alfred Marshall, *"The causes which determine the economic progress of nations belong to the study of international trade"*. Foreign trade is also considered an engine of economic growth. International Economics will help to understand this importance through various theories of international trade.
2. **To Manage Exchange Rate Fluctuations:** In International economics, we are dealing in multiple currencies, whose values fluctuate continuously; hence, the need to understand exchange rates (the price of one currency in terms of another), and what cause them to change. The growing volatility of exchange rates affects investment, growth, employment, and other indicators of a country's well-being.
3. **To Adopt Appropriate Commercial Policy:** There normally are no commercial policies in existence within a nation. However, countries have commercial policies (tariffs, quotas, voluntary export restraints, subsidies, exchange controls, and the like) that directly or indirectly impact international trade, investment, and money flows/values, and therefore directly impact domestic economic well-being. We want to understand what those policies are and what their impact is.
4. **Impact of Factor Mobility** Factors of production are mobile within a country but are not as mobile internationally, though capital and to a lesser but growing extent labour is becoming increasingly more mobile from country to country. The growing international mobility of factors of production is affecting the comparative advantage of nations. For example, capital flows to Asia changed the comparative advantage of that region of the world. We will want to understand what impact the increasing mobility of the factors of production has on comparative advantage.
5. **Importance of Economic Integration** We need to be aware of the continuing trade bloc revolution such as NAFTA (North American Free Trade Agreement), SAFTA, European Union. The theory of custom union has immense importance in the discipline of international economics.
6. **The upsurge of MNCs and International Organizations:** After the second world II periods there is an upsurge in economic globalization in terms of rising trade and investment. MNCs show a great source of this progress This new form of MNCs-led trade generated considerable challenges for the developing countries. Similarly, the birth of

IMF and World Bank, GATT, WTO, and regional grouping like the European Union created further importance of International Economics as a discipline to understand the impact of these new economic orders on the world economy.

- 7. To Solve International Economic Problems:** Due to increasing integration of world economy the economic problems also become global in nature. Problems arise in any country will take global form too soon as we have seen in the case of financial crisis started in US economy in the year 2008. Through international economics students will be able to understand repercussion effect of economic problem of a country on world economy.

Check Your Progress-III

Q1 What is the scope of International Economics?

Ans: -----

Q2. Why International Economics is Important?

Ans:-----

1.8 Summary

To sum up, International Economics is the study of economic interactions between countries. Broadly speaking, the field is split between the study of International Trade, which extends microeconomics to open economies, and International Finance, which employs macroeconomic analysis. International Trade describes and predicts patterns of production, trade, and investment across countries. International trade is different from inter-regional trade that's why a different independent discipline of international economics is needed. It may be stated that trade can be an engine of growth, provided there is a mutuality of interests and spirit of accommodation and co-operation among the trading countries and that trade and aid policies are not employed as the vicious instruments of exploitation and deprivation of the poor countries of the third world. This discipline accommodates students to understand the importance of international trade and finance in the contemporary scenario and they will be able to understand and solve various economic problems of the present-day world. All this makes it clear that study of international economics is important for students of modern economics both in developed and developing countries of the world.

1.9 Questions for Practice

A. Short Answer Type Questions

- Q1. What is the meaning of International Economics?
- Q2. What is the nature of International Economics?
- Q3. What do you understand by International Economics?
- Q4. Explain the importance of International Economics?
- Q5. Mention two reasons to justify a separate study of International Economics?

B. Long Answer Type Questions

- Q1. Differentiate between inter-regional and international trade. Write the advantages and disadvantages of International Trade.
- Q2. What is the meaning of international economics? Explain its nature in detail.
- Q3. Discuss the scope and importance of International Economics?
- Q4. Why does the study of International Economics very important to understand the issues in international economic relations?

1.10 Suggested Readings

- Paul Krugman, Maurice Obstfeld, and Marc Melitz, International Economics: Theory and Policy, Addison-Wesley (Pearson Education Indian Edition), 9thedition, 2012.
- Dominick Salvatore, International Economics: Trade and Finance, John Wiley International Student Edition, 10thedition, 2011.
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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

COURSE: INTERNATIONAL ECONOMICS

UNIT 2: THEORIES OF ABSOLUTE ADVANTAGE, GAINS FROM TRADE: MEASUREMENT AND DISTRIBUTION

STRUCTURE

2.0 Learning Objectives

2.1 Introduction

2.2 Theory of Absolute Advantage

2.2.1 Assumptions of the Theory

2.2.2 Explanation of the Theory

2.2.3 Criticisms

2.3 Theory of Comparative Advantage

2.3.1 Assumptions of the Theory

2.3.2 Explanation of the Theory

2.3.3 Criticisms

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2.0 Learning Objectives

After reading this unit, learner will be able to:

- Understand the concept of Absolute Advantage and Comparative Advantage
- Describe opportunity cost
- Know about Heckscher-Ohlin theory
- Analyze factor price Equalisation theory
- Examine the Gains from trade and its measurement

2.1 Introduction

The trade theory that first indicated importance of specialization in production and division of labour is based on the idea of theory of absolute advantage, which is developed first by Adam Smith in his famous book, *The Wealth of Nations* published in 1776. Later on, David Ricardo in his book titled *On the Principles of Political Economy* published in 1819 extended it to incorporate theory of comparative advantage and showed that it is the basis, why nations need to trade and why trade is mutually beneficial to countries. If a country or individual is absolutely more efficient at production of a good than another country or individual, then we say that she has absolute advantage in the production of that good. If a country or individual is relatively more efficient in the production of a good than another country or individual then we say that she has comparative advantage in production of that good. Comparative advantage measures efficiency in terms of relative magnitudes. Comparative advantage and opportunity cost leads to gains from international trade.

2.2 Theory of Absolute Advantage

Though the Mercantilists, an early school of Economists, were the first to advocate a series of measures to regulate international trade, it was Adam Smith who provided the basic principles which influenced thinking on the subject for a long time. His method was to apply the benefits of specialisation to the international economy on the assumption that international trade was no different from internal trade of a country, if trade barriers were done away with. He wrote in “*Wealth of Nations*”, “It is the maxim of every prudent master of a family, never to attempt to make at home what it will cost him more to make than to buy. All of them find it in their interest to employ their whole industry in a way in which they have some advantage over their neighbours and to purchase with a part of it whatever else they have occasion for. What is prudence in the conduct of every private family can scarce be folly in that of a great kingdom. If a foreign country can supply us with a commodity cheaper than we ourselves can make it,

better buy of them with some part of the produce of our country employed in a way we have some advantage.”

Adam Smith thus argued that relative advantage resulting from absolute differences in costs are the basis for international trade.

2.2.1 Assumptions of the Theory

1. Factors of production cannot move between countries.
2. No barriers to trade in goods.
3. Exports must be equal to imports. This assumption means that we exclude trade imbalances, trade deficits or surpluses
4. Labour is the only relevant factor of production.
5. Production exhibits constant returns to scale.

2.2.2 Explanation of the Theory

According to Adam Smith trade between two nations is based on absolute advantage. The absolute advantage means the greater efficiency the one nation may have over another in the production of a commodity. This was the basis for trade between two nations for Adam Smith. Smith argued that with free trade one nation could specialize in the production of that commodity in which it is more efficient (or has an absolute advantage) than the other nation. This nation should export this (absolute advantage) commodity and import that commodity in which it is less efficient (absolute disadvantage) than the other nation. By this process, a nation behaves like an individual, he produces only that commodity that he can produce most efficiently and then exchanges part of his output for the other commodity in which he is less efficient (absolute disadvantage). This way total output and the welfare of all individuals are maximized.

- In India 1 hour of labour time produces 8 kgs of wheat.
- In Sri Lanka 1 hour of labour time produces 1 bushels of wheat.
- In India 1 hour of labour time produces 3 yards of cloth.
- In Sri Lanka 1 hour of labour time produces 7 yards of cloth.

Table 1: Absolute Advantage

	India	Sri Lanka
Wheat	8	1
Cloth	3	7

From above explanation it is clear that India is more efficient than, or has an absolute advantage over Sri Lanka in production of wheat, while Sri Lanka is more efficient than, or has an absolute advantage over India in production of cloth.

With trade, India would specialize in production of wheat and export part of it with Sri Lanka cloth. With trade, Sri Lanka would specialize in production of cloth and export part of it with India wheat. What happen if India exchanges 8 bushels of wheat (8W) for eight yards of Sri Lanka cloth (8C):

1. India gains 5C (since India can only exchange 8W for 3C domestically). With trade India gain is equal to 5C (i.e., $8C - 3C$) or India could save 1.7 man-hour or more than half an hour of labour time.
2. Sri Lanka receives 8W from India, which would require 8 man-hours of labour time to produce in Sri Lanka (since in Sri Lanka 1 man-hours of labour time required to produce 1W). These same 8 man-hours can produce 56 cloth (56C) in Sri Lanka. In Sri Lanka 1man-hours of labour time produce 7C. Therefore, 8 hours of labour time can produce 56C (8hours times 7C).
3. Out of 56C Sri Lanka exchanges 8C with the India. Sri Lanka gains 48C ($56C - 8C$) or saves 6.85 man-hour of labour time.

It is clear from the above explanation that Sri Lanka gains much more than India but this does not matter here. This theory explains that international trade between two nations is possible without making other nation worse off, if both nations are more efficient (absolute advantage) in production of one of the two commodities.

2.2.3 Criticism of the Theory

This theory only tells us that both nations would gain from production and trade. This theory does not explain how the gains from trade are divided among the trading nations. This theory also fails to determine the rate at which commodities will be exchange between two nations.

2.3 Theory of Comparative Advantage: David Ricardo

If a country or individual is relatively more efficient in the production of a Good than another country or individual then we say that she has comparative advantage in production of that Good. Comparative advantage measures efficiency in terms of relative magnitudes. Since countries have limited resources and level of technology, they tend to produce Goods or services in which they have a comparative advantage.

According to Adam Smith, mutually beneficial trade between two nations is based on absolute advantage. Law of comparative advantage, developed by David Ricardo, postulates that even if one nation is less efficient than (absolute disadvantage) the other nation in production of both commodities, there is still a basis for mutually beneficial trade, unless the absolute disadvantage is in the same proportion. The less efficient nation (absolute disadvantageous nation) should specialize in the production and export the commodity in which its absolute disadvantage is less. This is the commodity in which less efficient nation has comparative advantage. On the other hand, the less efficient nation should import the commodity in which its absolute disadvantage is greater (comparative disadvantage). This is the commodity of comparative disadvantage of less efficient nation.

One must note that if one nation has comparative advantage in one commodity, then the other nation must necessarily have comparative advantage in production of the other commodity.

2.3.1 Assumptions of Law of Comparative Advantage

Ricardo based his law of comparative advantage on following assumptions:

1. There will be two nations and two commodities
2. Free international trade
3. Perfect mobility of labour within each nation but immobility between the two nations
4. Constant cost of production
5. No transport cost
6. No technical change
7. Labour is homogeneous
8. Cost or price of a commodity inferred exclusively from its labour content

2.3.2 Explanation of the Theory

Ricardo based his law of comparative advantage under the labour theory of value. According to the labour theory of value, the value or price of a commodity depends exclusively on the amount of labour going into the production of the commodity. Besides, labour is used in the same fixed proportion in the production of all commodities. Law of comparative advantage is criticized basically, for its labour theory of value. It is assumed that labour is homogeneous but labour is not homogeneous, it may vary greatly in training, qualification, productivity, and wages. It was Haberler, who came to “rescue” by explaining the law of comparative advantage in terms of opportunity cost of theory, as reflected in production possibility frontiers or transformation curves. In this form, law of comparative advantage is sometimes, referred to as

the law of comparative cost. A country's comparative advantage is the Good that it can produce relatively cheaply; that is at lower opportunity cost than its trading partner.

Table 2: Comparative Advantage

Produce	India	Sri Lanka
Wheat	8	1
Cloth	3	2

The only difference between the two Table 1 and Table 2 is that Sri Lanka now produces only 2 yards of cloth per man-hour (2C) instead of 7C. Thus, India has an absolute advantage in the production of both wheat and cloth. According to Adam Smith's Absolute Advantage Theory in this type of situation trade between two nation is not possible since Sri Lanka has an absolute disadvantage in production of both commodities i.e., wheat and cloth with respect to the India.

Though Sri Lanka has an absolute disadvantage in production of both wheat and cloth but her absolute disadvantage is less in cloth since Sri Lanka labour is 1.5 times ($3 \div 2$) less productive in cloth and 8 times ($8 \div 1$) less productive in wheat with respect to India. Thus, Sri Lanka absolute disadvantage is less in production of cloth with respect to the production of wheat. Thus, Sri Lanka has comparative advantage in production of cloth. India has an absolute advantage in production of both wheat and cloth with respect to Sri Lanka, but since its absolute advantage is greater in wheat (8:1) than in cloth (3:2). The India has a comparative advantage in production of wheat.

The comparative advantage depends on opportunity cost of a commodity in a nation. For example, in Table 2 in Sri Lanka, one worker can produce one units of wheat (W) or 2 units of cloth (C). Thus, the opportunity cost of 1W in Sri Lanka is 2C. In India one worker can produce 8unit of wheat or 3 units of cloth. Thus, the opportunity cost of 1W in U.S. is therefore $= 3/8 = 0.37$ units of clothing. (Notice how we calculate this opportunity cost by taking the ratio of the figures in the India. column, just as we calculated the cost in Sri Lanka $2/1$). In point 4 we have seen that the opportunity cost of 1W in the India is 0.37, which is less than the opportunity cost of wheat in Sri Lanka. Thus, the India has comparative advantage in producing wheat.

The opportunity cost of cloth in Sri Lanka is 0.5 (1W/2C) and in India is 2.6 (8/3). Since the opportunity cost of cloth in Sri Lanka is less than in the India, Sri Lanka has a comparative advantage in cloth and specialises in this Good. With trade, India exchanges wheat with Sri

Lanka cloth. Sri Lanka export cloth to India and import wheat from India. However, this is not the only rate of exchange at which mutually beneficial trade can take place. India exchanges 8W for 3C domestically for both requires 1 man-hours to produce. India would gain if it could exchange 8W for more than 3C from Sri Lanka. Sri Lanka exchange 8W for 16C since both requires 8 man-hours to produce. Sri Lanka would gain if it could give up anything less than 16C to obtain 8W from the India

To summarize, India would gain if it receives more than 3C for 8W from Sri Lanka, and Sri Lanka would gain if it can give up less than 16C for 8W. Thus, the range for mutually advantageous trade is $3C < 8W < 16C$. The spread between 3C and 16C is 13C, which represents total gains from trade available to be shared by the two nations by trading 8W.

It has been seen that by exchanging 8W for 8C, India gains 5C, and Sri Lanka gains 8C (16C-8C). There may be another exchange ratio for example, if India exchanges 8W for 13C. India would gain 10C (since India exchanges 8W for 3C domestically) and Sri Lanka would gain 3C. So far, the gains from specialization in production and trade have been measured in terms of cloth. Up to this point, all we have to prove is that mutually beneficial trade between two nations is possible even if one nation is less efficient (absolute disadvantage) in production in both commodities

2.3.3 Criticisms of the Theory

1. According to the comparative advantage theory the assumption was wrong that the wages between industries do not vary. The workers of retail industry are often paid less as compared to the workers of construction and manufacturing industries. Although, workers of the same industries may get the different wages in the different sectors of economy.
2. The nature and structure of specific commercial ventures might be such that the advantages from exchange may gather just to not very many labourers though the greater part of specialists may really be more awful off in spite of total increases from exchange. The welfare results of exchange for the majority of the general population in such an economy will be negative.
3. The elasticity of demand is varying according to the goods. When any country is passing through the tough times, and global demand is decreasing. If the nation is specializing in producing jewellery, for instance, may find it difficult to trade its products to raise enough money to import food.

Check Your Progress-I

Q1 What is the difference of absolute advantage and comparative advantage?

Ans: -----

Q2 Explain Comparative Advantage theory of International Trade.

Ans: -----

2.4 Opportunity Cost

One of the main drawbacks of the Ricardian comparative cost theory was that it was based on the labour theory of value, which stated that the price of a Good was equal to the amount of labour time going into the production of the Good. Gottfried Haberler gave new life to the comparative cost theory by restating the theory in terms of opportunity costs in 1933. The opportunity cost of a Good is the amount of a second Good that must be given-up in order to release just enough factors of production or resources to be able to produce one additional unit of the first Good. For example, supposing that the resources required to produce one unit of Good X are equivalent to the resources required to produce two units of Good Y. Then, the opportunity cost of one unit of Good X is two units of Good Y. Haberler made use of opportunity cost curve to express the opportunity cost of one Good in term of the other. The opportunity cost curve can be called as the ‘transformation curve’ or ‘production possibility curve’. According to the opportunity cost theory, a country with a lower opportunity cost for a Good has a comparative advantage in that Good and a comparative disadvantage in other Good.

Assumptions:

1. There are only two countries.
2. There are only two commodities in both the countries.
3. There are only two factors of production such as labour and capital.
4. There is perfect competition in both the factor and Good markets.
5. Price of each Good equals its marginal cost.
6. Price of each factor equals its marginal productivity.
7. Supply of each factor is fixed.
8. In each country, there is full employment.
9. No change in technology.

10. Factors are not mobile between two countries. But within countries, factors are totally mobile.
11. There is free and unrestricted trade between the two countries

On the basis of above assumptions, production possibility curve indicates the different combinations of two commodities that a country can produce with the given factor endowments and technology. The slope of production possibility curve or opportunity cost curve is determined by marginal rate of transformation (MRT). MRT is a rate at which marginal unit of Good X is substituted for certain units of Good Y.

The opportunity cost curve may be a straight line, convex to the origin or concave to the origin, depending on whether MRT between X and Y Goods is constant, increasing or decreasing respectively as shown in Figure 1.

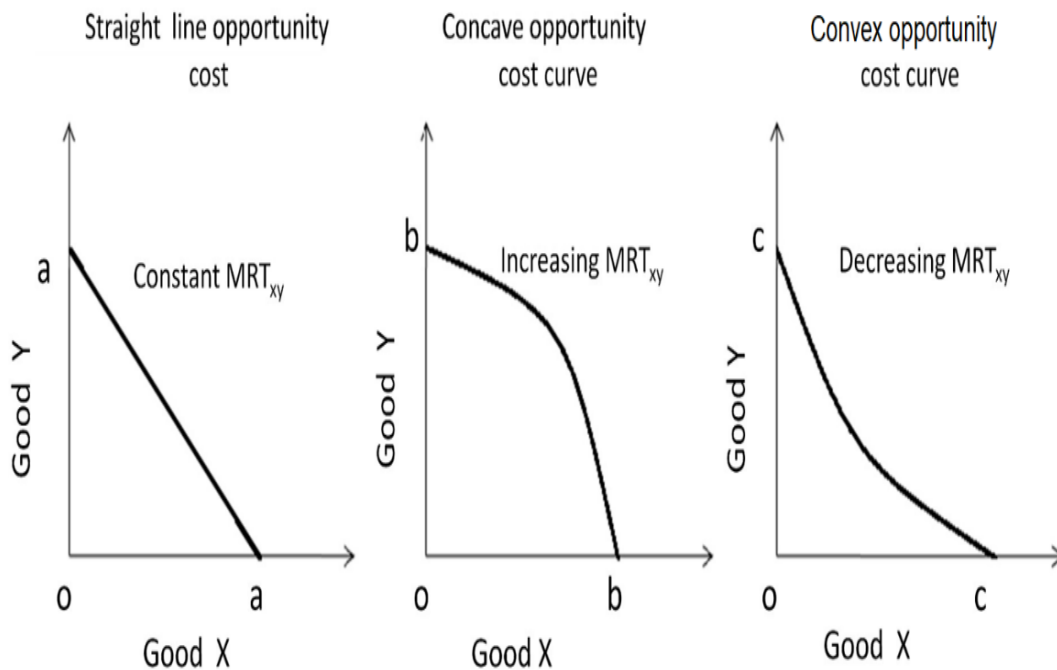


Figure 1

International trade between two countries can be analysed under various types of production possibility curves or opportunity cost curves.

2.4.1 Constant Opportunity Cost and International Trade

When MRT between X and Y Goods remains constant then opportunity cost curve will be a falling straight line. If the slopes of opportunity cost curves in two countries are the same, so that the opportunity cost curves are parallel to each other (as shown in Figure 2), no trade can

be possible. It is because of the fact that in such cases the cost ratios of two Goods in both the countries are equal.

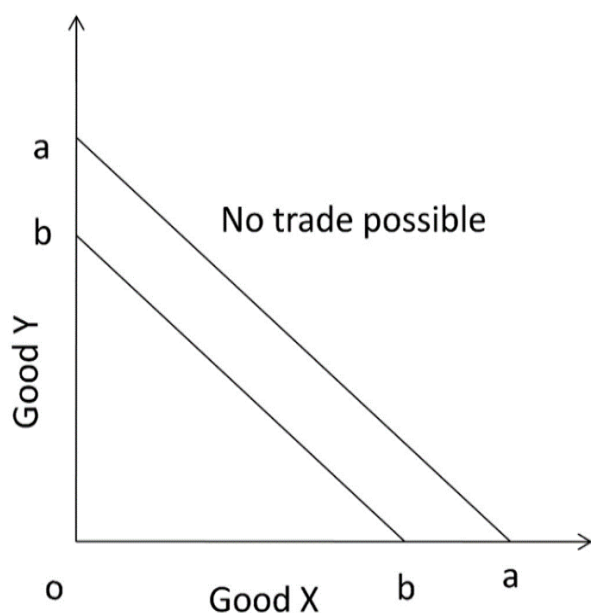


Figure 2

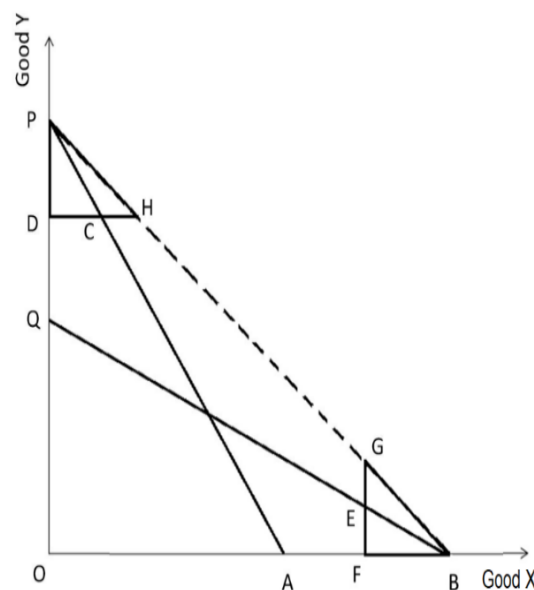


Figure 3

The trade is possible only when the slopes of the opportunity cost curves are different. In Figure 3, PA and QB are the opportunity cost curves of country A and country B respectively. Under the situation of autarky, if country A produce and consume at point C at its opportunity cost curve, i.e., PA line then it will have DO quantity of Good Y and DC quantity of Good X. However, if country B produce and consume at point E at its opportunity cost curve, i.e., QB line then it will have FO quantity of Good X and EF quantity of Good Y. However, the relatively greater steepness of PA line shows that country A has a comparative advantage in the production of Good Y, whereas the relatively greater flatter of QB line reveals that country B has comparative advantage of Good X. Therefore, country A will specialise in the production of Good Y and country B will specialise in the production of Good X. If country A produce only Good Y then it can produce maximum OP quantity of Good Y at its opportunity cost line PA. Similarly, country B can produce maximum OB quantity of Good X if country B produce only Good X at its opportunity cost line QB. Both countries will exchange Goods in the ratio indicated by the dotted international commodity-price line PB.

Suppose country A want to consume both commodities at point H. At this point, the country A will export PD quantity of Good Y and import DH quantity of Good X. After international trade, country A can consume more quantity of Good X, i.e., $CH = (DH - DC)$. Similarly, if

country B want to consume both commodities at point G then it will export BF quantity of Good X and import FG quantity of Good Y. Therefore, the gain from trade for country B will be $GE = (GF - EF)$ quantity of Good Y.

2.4.2 Increasing Opportunity Cost and International Trade

If MRT between X and Y Goods goes on increasing, then opportunity cost curve or production possibility curve will be convex to the origin. In Figure 4, AA represents the production possibility curve of country A and BB in Figure 5, is the production possibility curve of country B. The comparison of the shape of the production possibility curves of both countries makes it clear that opportunity cost of Good X, in terms of Good Y, is lower in country A and higher in country B. In other words, country A is better suited for the production of Good X and country B for the production of Good Y.

In the case of country, A under the absence of international trade the country is in equilibrium at E, where the production possibility curve AA tangents to the country's indifference curve, i.e., I_1 curve. At this point, country A is producing and consuming OX quantity of Good X and OY quantity of Good Y. The slope of the production possibility curve AA at point E is denoted by P_aP_a line. Similarly, country B will be in equilibrium at E_1 under the absence of international trade as shown in Figure 5 where the production possibility curve BB tangents to the country's indifference curve, i.e., I_1 curve.

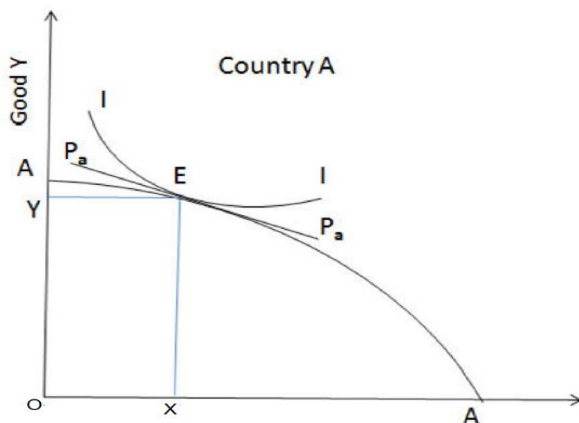


Figure 4

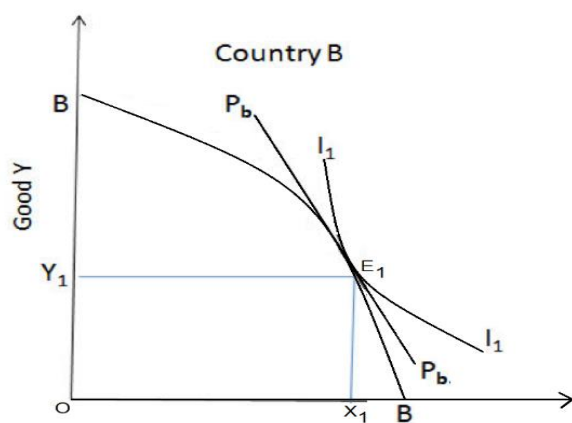


Figure 5

At this point, country B is producing and consuming OX_1 quantity of Good X and OY_1 quantity of Good Y. The slope of the production possibility curve BB at point E_1 is denoted by P_bP_b line. The slope of P_aP_a line is relatively flatter than that of P_bP_b line. This indicates that Good X is cheaper in country A and Good Y is in country B. If both the countries enter into trade with each other, the international price ratio is most likely to be somewhere in between the pre-

trade ratios in both the countries. In other words, the international price line would neither be as flat as price line P_aP_a of country A, nor be steep as the price line P_bP_b in country B. The slope of the international price line would be somewhere in between the price lines of both the countries. In Figure 6 and Figure 7, P_iP_i represents a possible international price line. If P_iP_i represents international price line, country A will produce at point N where its production possibility curve AA tangents to international price line P_iP_i . At this point it will produce more quantity of Good X at the cost of Good Y. Country A will expand the output of Good X by MN by contracting the output of Good Y by EM. If country A wishes to maintain consumption of Good X at the old level of OX, it can now export MN quantity of Good X and get in exchange ME_2 quantity of Good Y. Hence, the gain from trade to country A is equivalent to EE_2 of Good Y. the country A is now able to be at a higher equilibrium point E_2 on its indifference curve I_2I_2 . In the absence of trade, this point cannot be reached by country A as it is beyond its production possibility curve.

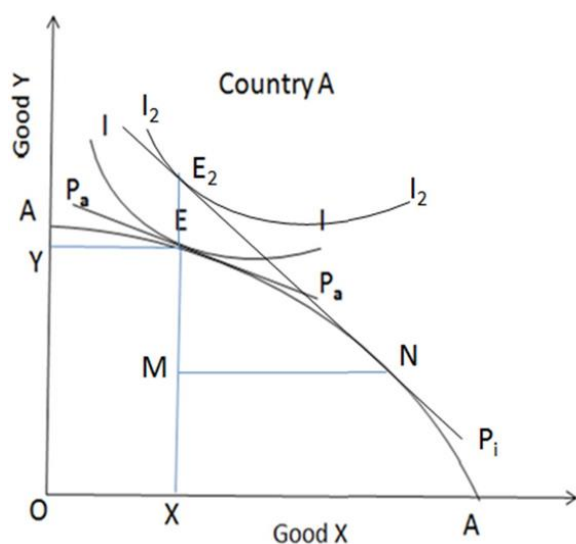


Figure 6

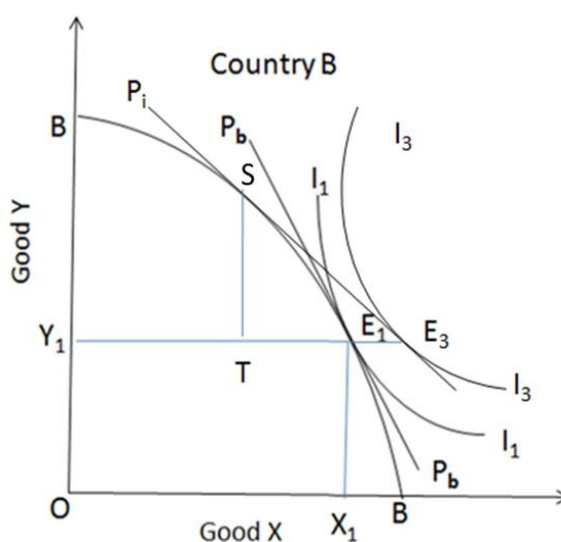


Figure 7

Similarly, under trade, country B would expand production +of Good Y by TS by contracting Good X output by TE_1 . If it would like to maintain pre-trade level of consumption of Good Y, it can export TS quantity of Good Y and obtain TE_3 quantity of Good X and attain equilibrium at point E_3 which cannot be reached under the absence of international trade. The gain to country B will be equivalent to E_1E_3 of Good X.

In the above analysis, it is assumed that the country A would wish to maintain the pre-trade level of consumption of Good X and the country B the pre-trade consumption of Good Y. But the real situation may be different. Consumption of these commodities by the respective

countries may be less or more than under the absence of international trade so that community welfare could be maximized.

2.4.3 Decreasing Opportunity Cost and International Trade

If MRT between X and Y Goods goes on decreasing, then opportunity cost curve or production possibility curve will be concave to the origin.

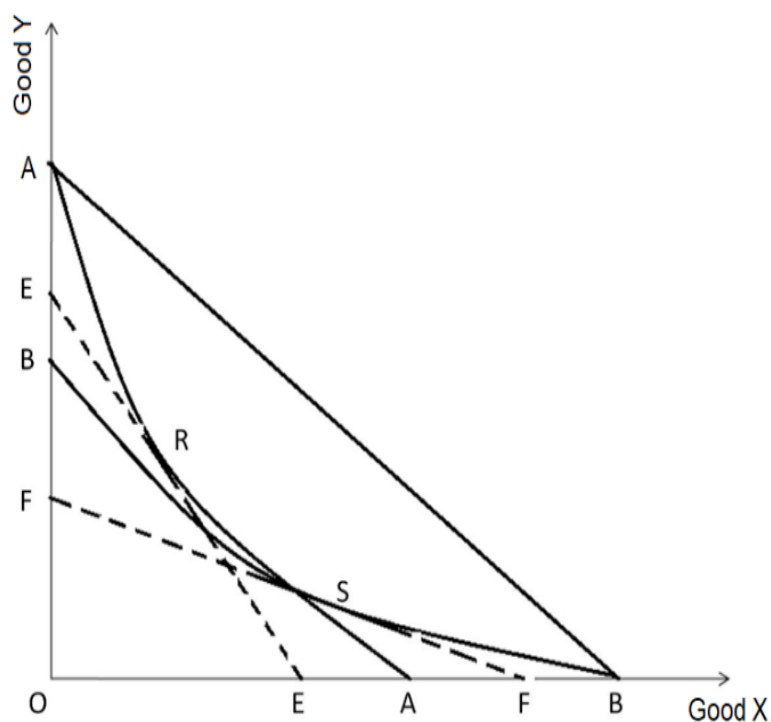


Figure 8

In Figure 8, AA and BB are the production possibility curves for country A and country B respectively. In the situation of autarky, production equilibrium of country A is determined at R point, where its domestic price line EE tangents to its production possibility curve AA. Similarly, the production equilibrium of country B is at S point. Under the situation of international trade, the international price ratio is depicted by AB line. The relatively greater steepness of EE line to international price line AB shows that country A will specialize in the production of Good Y. On the other hand, the relatively greater steepness of international price line AB than FF line indicates that country B will specialize in the production of Good X. In other words, country A will export Good Y and import Good X; whereas country B will export Good X and import Good Y. The equilibrium point for both the countries, determined by tangency between community indifference curve and international price line will lie

somewhere on AB line. Such point will indicate a higher level of satisfaction than either at R or S, signifying the gain from trade to the both countries.

Haberler's opportunity cost theory can be discussed under two heads namely

A. Superiority over Comparative Cost Theory: Haberler's opportunity cost theory is regarded as superior to the comparative cost theory of international trade formulated by the classical economists like Adam Smith and David Ricardo. The arguments put for the superiority are summarized below:

- 1. Dispenses with the Unrealistic Assumption of Labour Theory of Value:** The classical theory is based on the unrealistic assumption of labour theory of value. But Haberler's opportunity cost theory dispenses with such unrealistic assumption and is more realistic.
- 2. Analyses the Pre-trade and Post-trade situations Completely:** The opportunity cost theory analyses pre-trade and post-trade situations under constant, increasing and decreasing opportunity costs, whereas the comparative cost theory is based on the constant cost of production within the country with comparative advantage and disadvantage between the two countries. Hence, Haberler's opportunity cost theory is considered to be more realistic over the classical theory.
- 3. Highlights the Importance of Factor Substitution:** The opportunity cost theory highlights the importance of factor substitution in trade theory. It is vital in the production process especially for a growing economy.
- 4. Facilitates the Easy Measurement of Opportunity Cost:** The opportunity cost can be measured easily.
- 5. Explains the time, reason etc. about Trade:** The opportunity cost theory explains why trade takes place or when it should take place, showing how the gains shared between the countries etc.
- 6. Explain about the Complete Specialization:** It explains when complete specialization is possible and when it is not possible etc.

B. Criticisms: Haberler's opportunity cost theory is also not free from criticisms. It has been vehemently criticized by Jacob Viner in his —Studies in the Theory of International Trade (1937). Some of the important criticisms are listed below:

- 1. Inferior as a Tool of Welfare Evaluation:** Jacob Viner says that opportunity cost approach is inferior as a tool of welfare analysis when compared to classical real cost approach. Further he says that the doctrine of opportunity cost fails to measure real costs in the form of Sacrifices or Disutilities.

2. **Fails to consider Changes in Factor Supplies:** Viner further criticizes that the production possibility curve or opportunity cost theory do not consider changes in the factor supplies.
3. **Fails to consider Preferences for Leisure against Income:** Viner also criticizes the opportunity costs theory on the ground that the production possibility curve does not take into account the preference for leisure against income.
4. **Unrealistic Assumptions:** Haberler's opportunity cost theory is based on many assumptions like two countries, two commodities, two factors, perfect competition, perfect factor market, full employment, no technical change etc. All these assumptions are unrealistic because they do not hold in the real world.

Check Your Progress -II

Q1. Briefly explain Constant opportunity cost and international trade.

Ans: -----

Q2. Given any two criticisms of Haberler's theory of opportunity cost.

Ans: -----

2.5 Heckscher-Ohlin theory of International Trade

In the preceding sections, we have discussed the comparative cost basis of trade between countries. No mention was made therein of factor endowments, which affect comparative cost differences. The theory sought to explain how comparative cost differences made trade mutually advantageous to the trading partners but did not offer any hypothesis as to how the pre-trade cost ratios differ between countries. The modern theory, on the other hand, goes behind these pre-trade cost ratios and seeks to predict the pattern to trade on the basis of the characteristics of pre-trade equilibria. Thus, modern theory (Heckscher Ohlin) begins where the neo-classical (opportunity cost) theory of comparative advantage leaves off.

In 1919 Eli Heckscher published a paper on, "The Effects of Foreign Trade on the Distribution of Income" in which he explained how factor endowments affect comparative cost differences. Unlike the classical theory, which make these differences dependent on the productivity of only one factor viz. labour, Heckscher's theory, which has been subsequently developed considerably by Bertil, Ohlin takes a multiplicity of factors into account. It makes the possibilities and pattern of trade department on these quantitative differences and the degrees

of intensity with which the factors of production are used. However, Ohlin is of the view that even if two countries are equally endowed, profitable trade may still be possible between them, because differences in demand patterns could give rise to differences in prices of the products.

2.5.1 Assumptions

The assumptions of the Heckscher-Ohlin (H-O) theory are enumerated below:

1. Two by Two by Two Model
2. Perfect Competition in Both Commodities and Factor Markets in Both Nations
3. Tastes and Preferences of Consumers are Identical in Both Nations
4. Production Functions of the Two Commodities have Different Factor Intensities
5. Both Nations use the Same Technology
6. Incomplete Specialization in Both Nations
7. Constant Returns to Scale
8. Perfect Mobility of Factors of Production within nation but no International Factor Mobility

2.5.2 Explanation of the Theory

Differences in demand can be due to different patterns of income distribution, or the organisation of production activity as well as other institutional factors. A distinction, must, therefore, be made between physical abundance of a factor and its cheapness. The latter depends upon a balance between demand and supply, in which the former, when it outweighs the latter, can make the balance of comparative advantage against the abundant factor and in favour of the relatively scarce one. Also, where factor-substitution at the margin is possible, change in relative factor prices, e.g., a rise in wage rates may convert the labour-intensive Goods into capital intensive ones.

Furthermore, factor endowments are affected by inter-regional and international trade. Thus, there is a two- way interaction between trade and economic structure of a country and also the distribution of income which effects the pattern of demand. Heckscher was of the view that free trade tends to equalize relative return of factors of production.

On the face of it, the theory seems to be quite reasonable and pragmatic. It suggests that countries which have an abundance of a factor (e.g. labour) should specialize in the production of those products in which labour intensive technology may be more efficient, because abundance would make wage rates and wage costs lower and thus give it a comparative

advantage in labour intensive products. It can then export these products and import capital intensive product from those countries which have an abundance of capital relative to labour. Similarly, it could import land intensive products from those countries which have an abundance of land relative to labour or capital. Thus, each country will end to specialize in the products which utilize the factor of which it has an abundant supply.

Another significant aspect of international trade highlighted by Heckscher-Ohlin's factor endowment approach to international trade is in respect of distribution of incomes, which results in shifts in production. International trade leads to specialization by each country in one of the specific type of Goods, such as capital intensive or labour intensive. As a result, there is transference of resources and changes in capital/labour ratios in the production of both commodities in both the countries. If factor prices reflect the marginal productivities of factors, then in the capital abundant country real wages will tend to fall and will tend to be redistributed in favour of capital and against the working classes. The impact in labour abundant country will be the opposite.

A treatment of international economics shall be incomplete until we deal with the demand side also, because it is the interaction between demand and supply which determines the equilibrium of the economy. This can be demonstrated with the help of the following diagrams, referring to two countries, which we assume, have identical factor endowments, technologies, production functions and therefore, identical production possibility (substitution/ transformation) curves. But tastes and preferences and, therefore, demand curves (Community indifference curves) are different.

AB curves represents the identical production possibilities of the countries. Pre-trade price ratios (terms of trade) are represented by tangent lines P_1 (Country A) and P_3 (Country B) which have different slopes. The difference is not due to supply functions, but demand functions which are represented by the curves D_1 (Country A) and D_3 (Country B). These provide the basis for gains from trade. As trade begins price ratios (terms of trade) change and equalize along P_2 curve. In country A production and consumption are given by the coordinates of point S_1 in the pre-trade period. But as price ratios change to P_2 line, production shifts to the coordinates of point T_1 with consumption rising to point R_1 on the higher indifference curve D_2 . The country will be importing a_1 equivalent from country B and exporting b^1b^2 of the commodity.

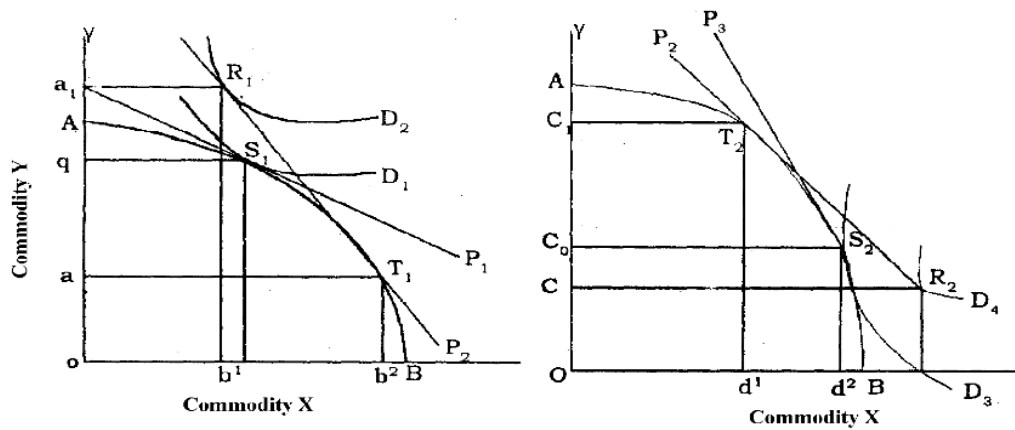


Figure 9

Similarly, in country B, with price ratios shifting from P_3 to P_2 line, production of the two commodities will shift from the coordinates of S_2 to those of point T_2 and consumption will advance to point R_2 on the indifference curve D_4 . The country B will now import d^1d^2 amount of commodity X and export c_0c_1 amount of commodity Y.

Thus, the structure of production and consumption are simultaneously transformed as a result of differences in consumer preferences, and both countries gain in economic welfare resulting from specialization, improvements in economic efficiency and increased consumption.

2.5.3 Criticisms

Despite the above merits of Heckscher-Ohlin theory, it has some shortcomings which are briefly discussed below:

1. Tastes are largely similar between countries and, therefore, demand factors are homogeneous and identical. Thus, community indifference, become possible and differences in pre-trade price ratios are then attributed to differences, in production possibilities frontiers of the countries involved in trade. At the same time production possibilities frontiers become a function of its factor endowments and the production functions of the various commodities which are assumed to be linear homogenous since the production function are further postulated to identical in the two countries. Therefore, any differences in the shape of production possibilities frontiers can be due only to differences in factor endowments. With a single technique of production for commodity X, and a single technique for commodity Y, the two commodities can always be classified unambiguously into labour-intensive or land-intensive relative to the one or the other commodity. The only exception to this rule would be the case where the expansion paths

of the two commodities coalesces over the entire range. But this would then become akin to a single commodity case from our point of view, and, therefore, outside the purview of the present discussion. Therefore, in this particular case, an unequal classification of commodities by factor intensity is possible. In such cases, known as factor-reversal, Heckscher-Ohlin theorem becomes very difficult to follow since it is based on the implicit assumption that commodities can indeed be classified a priori, in terms of factor intensity. When this implicit assumption is not met, the structure of trade need not coincide with the pattern implicit in Heckscher-Ohlin theorem. Similarly, when the ranking of commodities is contradictory between countries, the logic of Heckscher-Ohlin theorem breaks down because it is impossible for both countries, to export the commodity which uses more intensively their abundant factor.

2. **Leontief Paradox:** In the Heckscher-Ohlin theory it has been assumed that relative factor prices reflect the relative supplies of factors. That is, a factor which is found in abundance in a country will have a lower price and vice versa. This means that in the determination of factor-prices supply outweighs demand. But if demand for factors prevails over supply, then factor prices so determined would not conform to the supplies of factors. Thus, if in a country there is abundance of capital and scarcity of labour in physical terms but there is relatively much greater demand for capital, then the price of capital would be relatively higher to that of labour. Then, under these circumstances, contrary to its factor-endowments, the country may export labour-intensive Goods and import capital-intensive Goods. Perhaps it is this which lies behind the empirical findings by Leontief that though America is a capital abundant and labour-scarce country, in the structure of its imports capital-intensive Goods are relatively greater whereas in the structure of its exports labour-intensive Goods are relatively greater. As this is contrary to the popularly held view, this is known as Leontief Paradox
3. **Difference in Preferences or Demands for Goods:** Against Heckscher-Ohlin theorem, it has also been pointed out that differences in tastes and preferences for Goods or, to put it in other words, differences in pattern of demand also give rise to trade between the countries. This is because under differences in demand or preferences for Goods, the commodity price ratios would not conform to the cost-ratios based on factor endowments. Let us take an extreme example. Suppose there are two countries A and B with same factor-endowments. According to Heckscher-Ohlin theorem, with same factor endowments cost-ratio of producing the two commodities and hence the commodity price ratio would be the same. Hence there is no possibility of trade between the two countries on the basis of

Heckscher-Ohlin theorem. However, trade between the two countries is possible if the demand pattern or preferences of the people of the two countries for wheat and rice greatly differ.

Check Your Progress-III

Q1. Critically examine Heckscher-Ohlin theory of international trade.

Ans: -----

Q2. What is Leontief Paradox?

Ans: -----

2.6 Factor Price Equalisation

The factor price equalisation theory is an important corollary of the H-O theory of trade. If there is a free international movement of factors, the prices of the factors of production undisputably get equalised. However, the classical theorists as well as Heckscher and Ohlin had assumed an international immobility of factors. This led to the crucial question of how the international trade would affect the prices of the factors of production) Heckscher, on the one hand, suggested that international trade in commodities would act as a substitute for the international mobility of factors leading to a complete equalisation of the costs or factor prices. Ohlin, on the other hand, recognised that the international trade might result in only an incomplete or partial equalisation of prices of factors. The writers like Samuleson (1948) and Lerner (1953) discussed the possibility of a complete equalisation of factor prices.

The factor price equalisation picks up the argument that the labour-abundant country specialises in the export of the labour-intensive commodity because labour is a relatively cheaper factor compared with capital. On the other hand, the capital-abundant country specialises in the export of capital-intensive commodity on account of capital being a relatively cheaper factor there. The pressure of international demand renders the abundant factor scarce and its price starts rising. At the same time, the import of the commodities that require more input of scarce factor relieves the domestic pressure of demand for that factor, resulting in a fall in its price. This process of change in prices of factors will ultimately bring about an equality in the prices of factors. It is in this sense that free international trade in commodities acts as a substitute for the international mobility of factors.

2.6.1 Samuelson's Analysis of Factor-Price Equalisation Theorem

Samuelson's analysis of the factor-price equalisation is based upon the following assumptions:

1. There are two countries, say A and B.
2. These countries produce two commodities, say X and Y.
3. The production of these commodities requires only two factors of production—labour and capital.
4. There is free competition in the product and labour markets.
5. There is an absence of tariff and transport costs.
6. The production function related to each commodity is identical and homogeneous of degree first. It implies the production is governed by constant return to scale.
7. The factor-intensities are different for the two commodities. For instance, the commodity X is labour-intensive, while commodity Y is capital-intensive. It means there is an absence of reversal of factor intensity.
8. Capital and labour are qualitatively identical in the two countries.
9. The availability of factors is quantitatively different in the two countries. The country A is supposed to be labour-abundant whereas country B is capital-abundant.
10. There is absence of complete specialisation. It means both the countries continue to produce both the commodities even after trade takes place between them.
11. The factor supply is fixed in the two countries.
12. There is full employment of both the factors.
13. There is no mobility of factors between the countries.
14. The marginal physical product of each factor is diminishing. (xv) The tastes are identical in the two countries.

Before trade, there is low capital-labour ratio in country A and a high capital-labour ratio in country B. As trade commences, the labour-abundant country A exports the labour-intensive commodity X and country B exports the capital-intensive commodity Y. The export of labour-intensive commodity X by A creates relative scarcity of labour and consequent rise in wage rate. It also leads to a rise in capital-labour ratio. On the opposite, the export of capital-intensive commodity by country B will result in its scarcity there. It will cause a rise in the price of capital (rate of interest) and a consequent fall in the capital-labour ratio. These relative changes in K-L ratio will continue until the K-L ratios in both the countries become exactly equal. Along with it, the prices of the two factors also undergo changes (rise in wage rate in country

A and rise in interest rate in country B) in such a manner that there is ultimate equalisation of prices of two factors in both the countries.

2.6.2 Hicksian Analysis of Factor Price Equalisation Theorem

J.R. Hicks attempted to provide a proof for the *absolute* factor price equalisation. He retained all the assumptions taken by Samuelson, It is assumed that price of labour is low in the capital-abundant country while it is higher in country B which is capital-abundant. On the contrary, the price of capital is high in country A but it is low in country B. After trade, country A exports labour-intensive commodity X and B exports capital-intensive commodity Y. l_x and l_y are the labour co-efficients for X and Y commodities and k_x and k_y are the capital co-efficients. w_a and w_b are the wage rates in the two countries. r_a and r_b are the rates of interest in these two countries. It is assumed that the unit cost of producing X and Y commodities becomes equal in the two countries after the determination of trade equilibrium.

Unit cost of commodity X

$$l_x w_a + k_x r_a = l_x w_b + k_x r_b$$

Dividing both sides by k_x

$$\begin{aligned} (l_x/k_x) w_a + r_a &= (l_x/k_x) w_b + r_b \\ r_a - r_b &= (l_x/k_x) [(w_b - w_a)] \end{aligned} \quad (i)$$

Unit cost of commodity Y

$$l_y w_a + k_y r_a = l_y w_b + k_y r_b$$

Dividing both sides by k_y

$$\begin{aligned} (l_y/k_y) w_a + r_a &= (l_y/k_y) w_b + r_b \\ r_a - r_b &= (l_y/k_y) (w_b - w_a) \end{aligned} \quad (ii)$$

From (i and ii)

$$r_a - r_b = (l_x/k_x) (w_b - w_a) = (l_y/k_y) (w_b - w_a)$$

If trade results in the equalisation of factor-intensity in the two products X and Y and $r_a = r_b$, there will also be $w_a = w_b$. It shows that after-trade equilibrium results in the equalisation of factor prices.

2.6.3 Lerner's Analysis of Factor Price Equalisation Theorem

Lerner has attempted an analysis about the factor price theorem on the basis of a series of assumptions.

1. There are two countries A and B.

2. Each country can produce two Goods X and Y, given the factor endowments and techniques of production.
3. There are two factors of production-labour and capital.
4. The production functions are linear homogeneous in both the countries. (v) Country A is labour-abundant and B is capital-abundant.
5. There are the conditions of perfect competition in both the countries.
6. There is absence of transport costs.
7. Commodity X is labour-intensive while commodity Y is capital-intensive.
8. There is no factor-intensity reversal.

In the labour-abundant country A, originally price of labour is lower relative to that of capital. On the opposite, the price of capital is lower in country B than that of labour. Consequently, country A will produce and export labour-intensive commodity X. As there will be greater substitution of labour for capital, the price of labour will rise and that of capital will decline resulting in equalisation of factor prices. Similarly, the capital-abundant country B will specialise in production and export of capital-intensive commodity Y. The substitution of capital in place of labour will increase the price of capital in this country. Ultimately the factor prices ratio in this country will also get equalised.

However, if there is *factor-intensity reversal i.e.*, X is labour-intensive in country A but capital-intensive in country B, both the countries will produce it through different techniques. But as they cannot export the same product to each other, the factor price equalisation will fail to take place.

2.6.4 Kindelberger's Analysis of Factor Price Equalisation

Kindelberger has explained the factor price, equalisation by involving factor proportions, product prices and factor prices. In this regard, he has relied upon the figure given below.

In Fig. 10 (upper portion of the figure, i.e., part-i), wages and interest are measured along the horizontal scale and capital-labour ratio (K/L) is measured along the vertical scale. The horizontal lines AA' and BB', measure factor proportions in the capital-abundant country A and labour-abundant country B respectively. SS, is the schedule related to capital-intensive Good steel and CC is the schedule related to labour-intensive Good cloth. In the Fig. 10 (Lower portion of the figure i.e. part-ii), relative price of cloth is measured along the vertical scale. The curve PP, measures relative price of cloth.

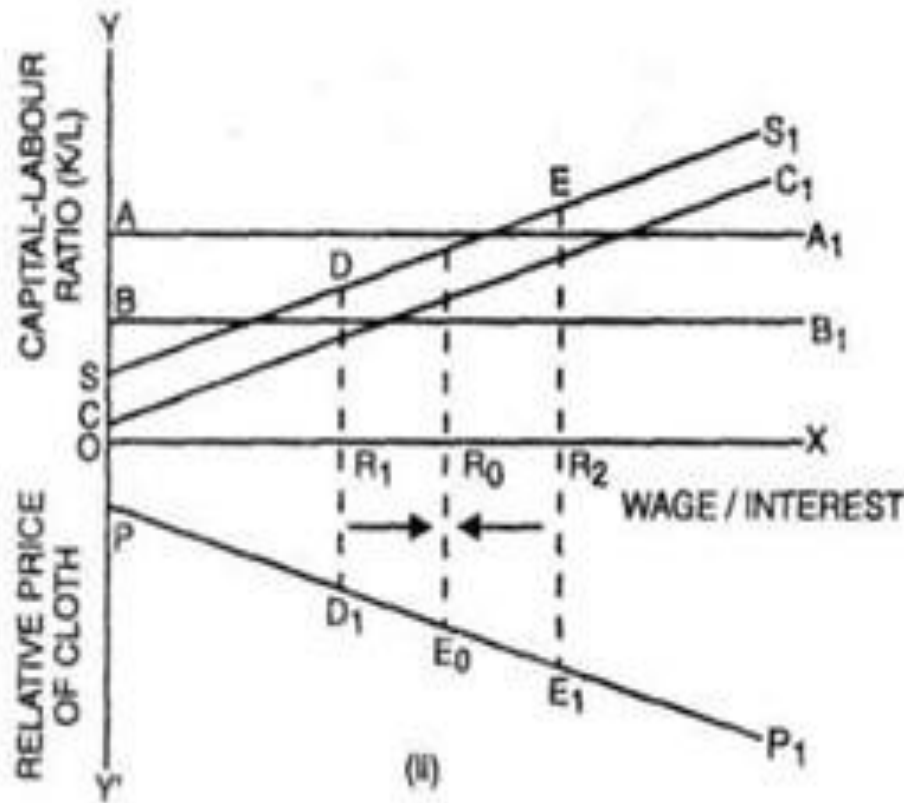


Figure 10

The domestic demand conditions determine the production of steel and cloth before trade. Wage rate is lower in country A than in country B, whereas the rate of interest is higher in A than in B. The relative price of cloth in A is $R_1 D_1$ and it is $R_2 E$ in country B. As trade takes place, the wage rate will rise in country A and fall in country B. The interest rate, on the other hand, will fall in country A but rise in country B. The relative price of cloth in both the countries will tend to approximate to $R_0 E_0$, when wage-interest ratio becomes equal at R_0 .

2.6.5 Sodersten's Analysis of Factor Price Equalisation Theorem

Bo Sodersten recognises that the free trade can lead to the equalisation of *relative* factor prices in two countries if neither country specialises completely. It can be explained through Fig. 11. In this figure, factor price ratio (w/r) is measured along the horizontal scale. In Part (i) of the Fig. 11, the commodity price ratio (P_x/P_y) is measured along the vertical scale. In part (ii) of the Fig. 11, the factor intensity (K/L) is measured along the vertical scale. Given that there is absence of complete specialisation in both countries A and B, the line OR in Part (i) of Fig. 11 shows a common factor price ratio $(w/r)_0$ and a common commodity price ratio $(P_x/P_y)_0$. In Part (ii) of Fig. 11., the lines X and Y represent the capital-intensity of X and Y commodities respectively.

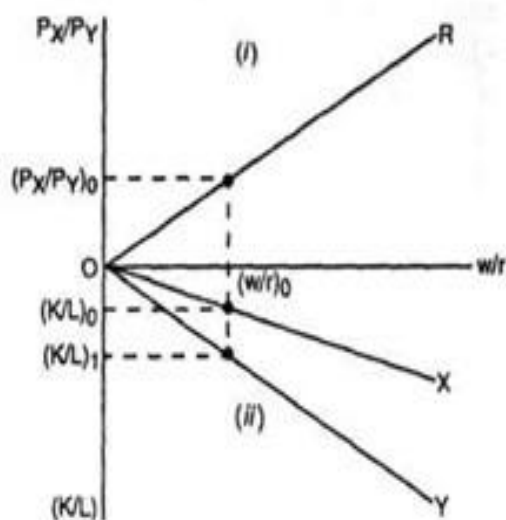


Figure 11

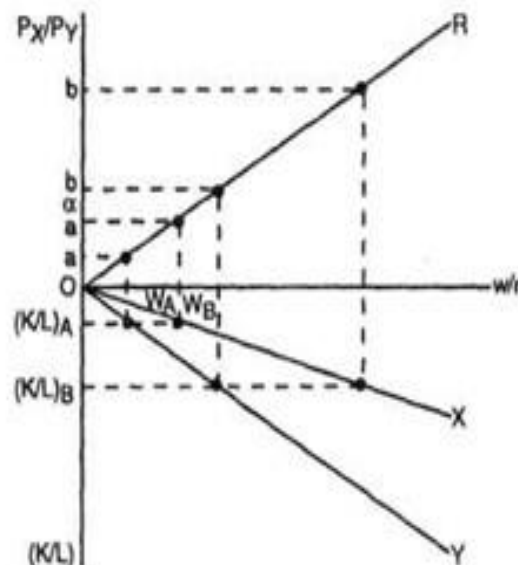


Figure 12

The commodity Y has greater capital-intensity (K/L) than the commodity X, in case of which the capital-intensity is low at (K/L).

If there is complete specialisation in one or both the countries, there cannot be equalisation of absolute or relative factor prices. It can be shown through Fig. 12.

Under autarchy, the range of relative commodity prices for country A when both countries specialise completely is indicated by aa . In case of country B, the range of relative commodity prices is denoted by bb . These two ranges donot overlap, therefore at least one of the two countries must specialise completely. As both countries specialise completely, the free trade commodity price ratio is α which lies outside the autarchy price ranges. The relative wage rate in country A cannot rise above w_A , whereas that of country B cannot fall below w_B . In such condition, there cannot be relative factor price equalisation. So there cannot also be absolute factor price equalisation.

2.6.6 Obstacles to Equalisation of Factor Prices

The factor price equalisation theory developed by Samuelson has been found to be deficient by several economists including Meade and Ellsworth. They raised serious doubts about the validity of this theory on account of highly restrictive and unrealistic assumptions. They believe that there can only be partial equalisation of factor prices.

- 1. Tariff and Non-tariff Barriers:** This theory rests upon the assumption that there are no tariff and non-tariff barriers to trade. In actual reality, such barriers do exist. It was on

account of them that Ohlin ruled out the possibility of complete equalisation of factor prices.

2. **Transport Costs:** The factor price equalisation theory takes another unrealistic assumption that transport costs are absent. In fact, the import and export of commodities do involve transport costs which not only have restrictive effect on the product mobility but may also affect the comparative advantages of the trading countries. The existence of transport costs are likely to prevent the equalisation of factor prices.
3. **Complete Specialisation:** This theory assumes that the trading countries are engaged in the production of both the commodities. In other words, there is only partial or incomplete specialisation. When the trading countries are of unequal size, there is possibility that there is complete specialisation in at least the smaller country. In the event of complete specialisation, there is little possibility of complete factor price equalisation.
4. **Identical Production Function:** Samuelson's factor price equalisation theory assumes that production functions are identical in the two trading countries. Even if the two countries have the same resources, yet their productive capacities are different because of natural, technical and sociological differences between them. The diversities in their production functions may create hindrance in the equalisation of factor prices.
5. **Absence of Perfect Competition:** This theory rests upon the assumption that there are the conditions of perfect competition in the product and factor markets. In actual reality, the perfect competition does not exist. In the real market situations like oligopoly or monopolistic competition, there are rigidities in the product and factor markets that prevent the possibility of equalisation of factor prices.
6. **Increasing Return to Scale:** The factor price equalisation theorem assumes that there is a first-degree homogeneous production function which implies that the production is governed by the constant returns to scale. If the economies of scale are present, according to Meade, the theory will become invalid for two reasons. Firstly, it will result in the emergence of monopolies and consequent breakdown of the apparatus based on the assumption of perfect competition. Secondly, the increasing return to scale will lead to complete specialisation which again rules out the possibility of equalisation of factor prices.
7. **Changes in Factor Supplies:** The theorem takes the assumption that the factor supplies remain fixed in the trading countries. In actual reality, however, there are changes in factor supplies and these changes will create difficulties in the equalisation of factor prices.
8. **Dynamic Conditions:** The factor price equalisation theory assumes static conditions such as fixed factor endowments, techniques and same taste pattern in the trading countries. In

the actual dynamic conditions, the continuous changes take place in all the relevant factors and variables and many often it is found that the differences in factor prices get widened rather than being eliminated. Such a trend has been confirmed by economists like Kindelberger, Myrdal and Sodersten.

- 9. Multi-country Multi-commodity and Multi-factor Trade:** The theorem can deal efficiently only in respect of trade involving two countries, two commodities and two factors. The theory is likely to become indeterminate in the multi-country, multi-commodity and multi-factor trade situation. If the number of productive factors exceeds the number of commodities, the theory breaks down completely.
- 10. Factor-Intensity Reversal:** This theory assumes that there is an absence of factor-intensity reversal. It means the labour-surplus country will export only labour-intensive commodity and the capital-surplus country will export the capital-intensive commodity. If there is reversal of factor intensity, the factor price equalisation theorem will fail to hold.

The above arguments suggest that factor price equalisation cannot take place in actual dynamic realities. It, however, does not mean that the theorem is completely invalid. It only means that the assumptions of this theorem, being unrealistic, lead to an unrealistic conclusion. There is little doubt that the movement of products from one country to another can at least reduce the factor price differentials. In the absence of trade, such differences are likely to be considerably large.

Check Your Progress - III

Q1. What do you mean by factor price equalisation?

Ans: -----

Q2. Give any two obstacles of equalisation of factor prices?

Ans: -----

2.7 Gains from Trade: Meaning

The gain from trade is the fundamental reason why different countries engage themselves in transactions with one another. Right from the time of the pre-classical Mercantilists, who maintained that export surplus enriched a country, upto the modern times, the writers of all shades of opinions, have believed that the consideration of gain alone is the basis of all

international transactions. The present chapter is concerned with the meaning and measurement of gains from trade and some other issues related to them.

The classical theorists believed that gains from trade resulted from increased production and specialisation. Jacob Viner pointed out that the gains from trade were measured by the classical economists in terms of increase in national income, differences in comparative costs, and terms of trade. The modern theorists considered the gains from trade as the gains resulting from exchange and specialisation. Some approaches to the concept of gains from trade are discussed. In the opinion of Adam Smith, the gains from international trade are in the form of the increased value of product and improvement in the productive capacity of each trading country. The international trade leads to export of the commodity which is less in demand in the home market and import of the commodity which is strong in demand. It enables each trading country to derive the maximum welfare and obtain maximum possible export earnings. When each country specialises in the production of the commodity in which it has cost advantage, there is optimum allocation of productive resources. Coupled with increased division of labour, specialisation reduces the cost structure and enlarges the size of market for each trading country. As a consequence, the world production and welfare get maximised through international trade.

Ricardo viewed the gain from trade as an objective entity. According to him, the specialisation in production and trade on the basis of the principle of comparative costs results in saving of resources or costs. Through the cheaper availability of commodities required by each country from abroad, every country can increase the 'sum of enjoyments' and also increase the 'mass of commodities. In the words of David Ricardo, "The advantage to both places is not that they have any increase" in value but with the same amount of value they are both able to consume and enjoy an increased quantity of commodities." Malthus had expressed in this regard views similar to those of Adam Smith. The gain from trade, according to him, consists of 'the increased value which results from exchanging what is wanted less for what is wanted more.' The international exchange on this basis increases "exchangeable value of our possession, our means of enjoyment and our wealth." A serious deficiency in the Ricardian approach was that it could not explain the distribution of gains from trade among the trading countries. J.S. Mill attempted to analyse both the gains from trade and distribution thereof among the trading countries. He emphasised upon the concept of reciprocal demand that determines terms of trade, which is a ratio of quantity imported to the quantity exported by a given country. The terms of trade decide how the gain from trade is distributed between the trading partners.

Suppose in country A, 2 units of labour can produce 15 units of X and 15 units of Y so that the domestic exchange ratio in country A is: 1 unit of X = 1 unit of Y. In country B, 2 units of labour can produce 10 units of X and 15 units of Y so that the domestic exchange ratio in this country is: 1 unit of X = 1-5 unit of Y. The domestic exchange ratios set the limits within which the actual exchange ratio or terms of trade will get determined.

The reciprocal demand or the strength of the elasticity of demand of the two trading countries for the products of each other will decide the actual rate of exchange of two commodities. If A's demand for commodity Y is less elastic, the terms of trade will be closer to its domestic exchange ratio: 1 unit of X = 1 unit of Y. In this case the terms of trade will be favourable for country B and against country A. The gain will be more for B than for A. On the contrary, if B's demand for X commodity is less elastic, the terms of trade will be closer to the domestic exchange ratio of country B: 1 unit of X = 1-5 unit of Y. The terms of trade, in this situation will be favourable for A and against B. Country A will have a larger share out of the gains from trade than country. The distribution of gains of trade can be explained in terms of Marshall-Edgeworth offer curve through Fig. 13.

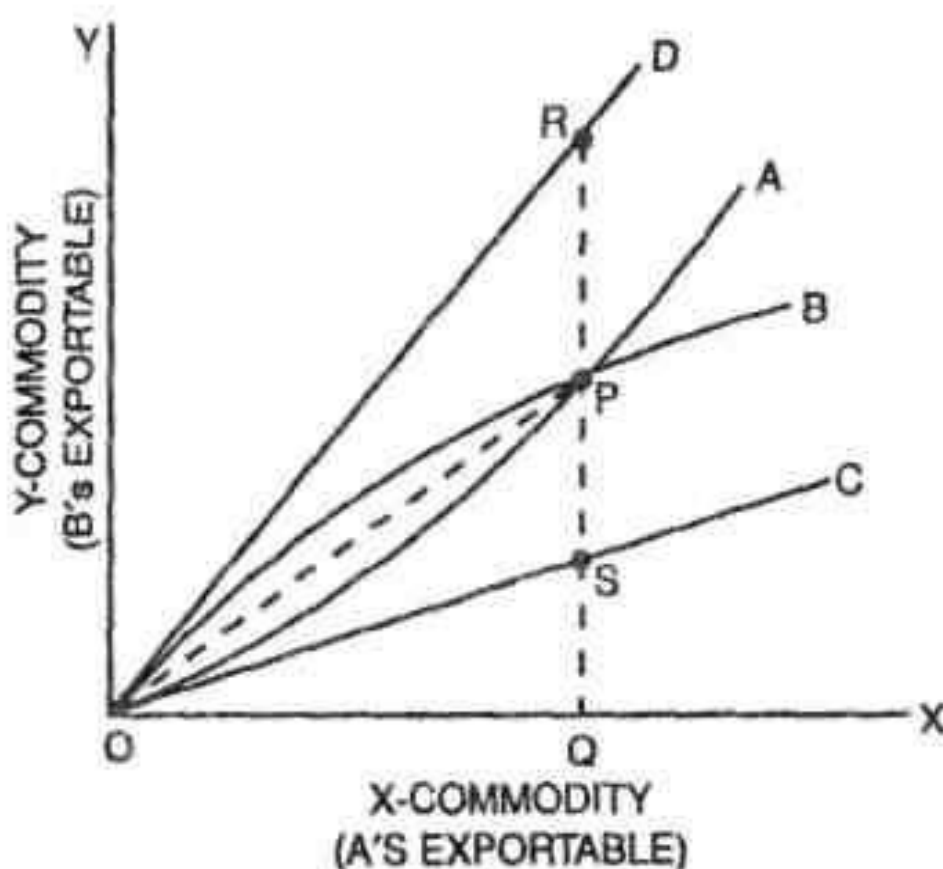


Figure 13

In Fig. 13, OC and OD are the domestic exchange ratio lines of countries A and B respectively. OA is the offer curve of country A and OB is the offer curve of country B. The exchange takes place at P where the two offer curves cut each other. Country A imports PQ quantity of Y and exports OQ quantity of X. The terms of trade for country A at P = $Q_m/Q_x = PQ/OQ$ = Slope of line OP. If the line OP gets closer to OD, the terms of trade become favourable to country A and unfavourable to country B. On the opposite, if the line OP gets closer to the line OC, the domestic exchange ratio line of country A, the terms of trade turn against country A and become favourable to country B.

Country A was willing to exchange before trade SQ units of Y for OQ units of X. After trade, it gets PQ units of X for OQ units of Y. Therefore, the gain from trade for country A, out of the total trade gain of RS, amounts to PQ - SQ = PS units of Y. In case of country B, RQ units of Y were being exchanged for OQ units of X before trade. However, after trade it has to part with only PQ units of Y to import OQ units of X. Therefore, the gain from trade for this country amounts to RQ - PQ = RP units of Y. As the point of exchange P gets closer to the line OD, the share of country A in the gain from trade will rise and that of country B will fall and vice-versa.

Taussig maintained that the gains from international trade can accrue to a trading country in the form of a rise in income. As trade brings about an expansion of the export industry, the employers, in order to absorb more labour in this industry, start offering higher wages. This leads to a rise in the money wages in other industries otherwise there will be accumulation of inefficiency in them. It signifies a general rise in money incomes. A higher level of income due to trade enables the people of a country to make larger purchases of both domestically produced and imported Goods and reach a higher level of welfare.

2.7.1 Factors Affecting Gains from Trade

The size of gains from international trade depends upon several factors discussed below:

- 1. Terms of Trade:** The terms of trade refer to the rate at which, the commodity of one country is exchanged with the commodity of the other country. The terms of trade have the most significant influence on the size of gain from trade of a country. More favourable the terms of trade, large may be the gains from trade. If a country has unfavourable terms of trade, it does not mean that the country derives no benefit from trade. It simply implies that the share of such a country out of the total gains from trade is relatively smaller. Closer the

terms of trade of a country to the domestic exchange ratio of two commodities lesser is the size of gain from trade for it and vice-versa.

- 2. Differences in Cost Ratio:** The difference in comparative cost ratios of producing two commodities in the two trading countries have much bearing upon the gain from international trade. If country A has comparative cost advantage in the production of cloth and B has cost advantage in the production of steel, they will specialise in these respective Goods and make gain from trade. If specialisation results in a relatively greater fall in the cost of cloth in country A than that in steel in country B, greater gain from trade will become available to A and vice-versa.
- 3. Reciprocal Demand:** The reciprocal demand refers to the elasticity of demand for the product of one country by the other country. If the demand for cloth (exportable of A) is less elastic in country B, the latter will offer more quantity of steel for one unit of cloth. It will cause the terms of trade to turn in favour of country A and this country will obtain a greater share from the total gain from trade. On the opposite, if the demand for steel in country A is less elastic or more intense, the term- of trade will move in favour of B and consequently greater gain from trade will become available to it. A country whose demand for the foreign products is more elastic but the demand for its products from the foreigners is less elastic, is likely to gain the most from international trade.
- 4. Level of Income:** The higher or lower level of money income of a country too determines the gain from trade for it. If the products of the home country command a strong and permanent demand, the expansion in its exports will raise the incomes from exports. The output in these industries will expand and the increased demand for labour will raise the money wages of workers. The employers in other industries will also raise wages to retain their more efficient workers. Thus, there will be an overall increase in money incomes. The import of relatively cheaper commodities, while domestic money incomes are high, signifies the gain from trade. On the opposite, the low domestic money income due to low exports or larger imports from abroad, while import prices are high, will reduce the level of welfare and result in smaller gain from trade.
- 5. Productive Efficiency:** If there is an improvement in the productive efficiency in the home country, the costs and product prices decline. As the foreigners can import commodities from this country at lower prices, the terms of trade go in favour of foreign country. The larger proportion of gain from trade too goes to the latter. An increased efficiency in a foreign country will enable the home country to import Goods at relatively lower prices.

This will cause an improvement in the terms of trade for the home country and larger share out of gain from trade will become available to the home country.

- 6. Factor Endowments and Technological Conditions:** If a country is capital-abundant and advanced from economic and technological viewpoints, it will have a large volume of foreign trade. Corresponding to the volume of its foreign trade, its share out of gain from international trade is also likely to be larger. On the contrary, a technically and economically backward labour-abundant country will have a small size of foreign trade. The gain from trade for such a country will also be relatively small.
- 7. Nature of Products Exported:** If a country predominantly exports the primary products, the term of trade for it will be unfavourable and the gain from trade for it will be smaller. On the opposite, if the exports of a country are largely of manufactured Goods, the terms of trade will be favourable for it. Such a country will obtain a relatively larger share out of the gains from trade.
- 8. Size of the Country:** A small country has a limited size of domestic market. Its productive resources too are limited and specific. The specialisation and exchange within the home country can bring very little benefits for it. As international trade commences, this country may completely specialise in the production of such commodities in which it enjoys comparative advantage over the other countries. The greater the difference between the international price and domestic price of its exported products, greater will be the share out of gain from trade for this country. A large country, on the opposite, possesses a large domestic market and diversified productive resources. If trade commences, it will have only incomplete specialisation. Since the small country can absorb very small quantity of the product available for export, it will have to dispose of a large part of its product in the home market. It may have substantial gain from specialisation and exchange within the home country but the gain from international trade will be very small.

In Fig. (i) for the large country A, the production possibility curve under the conditions of constant costs is AA_1 . In the absence of trade, consumption and production takes place at R where the community indifference curve I is tangent to the production possibility curve. After trade takes place, there is no change in terms of trade for country A so that the international price ratio line remains AA_1 . This country will however, modify its production pattern in such a way that some goods can be imported from country B. It may decide to move to P where it exports PS quantity of X commodity and imports SR quantity of Y. Since the terms of trade remain unchanged for country A, it fails to make any gain from trade.

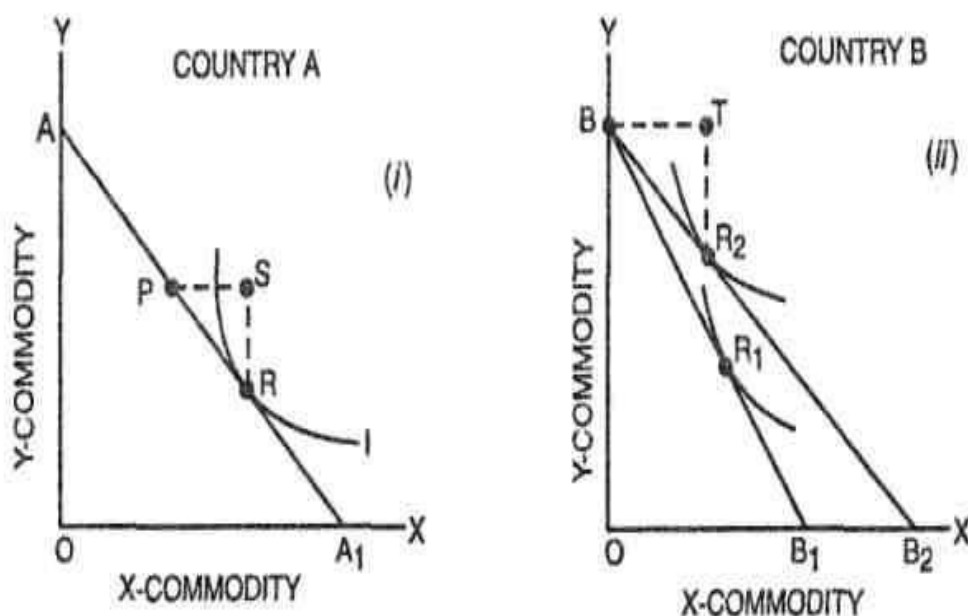


Figure 14

In Fig. (ii) for the small country B, the production possibility curve or domestic price ratio line under constant cost condition is BB_1 . Its tangency with the community indifference curve I_1 shows that production and consumption in this country, in the absence of trade, takes place at R_1 . As trade commences, this country specialises completely in the production of Y commodity. The international price ratio line is BB_2 , which is parallel to AA_1 . This country produces at B. The consumption equilibrium occurs at R_2 . So after trade it exports $TR_2 (= SR)$ of Y commodity to country A and imports $BT (= PS)$ quantity of X from country A. The movement from R_1 to R_2 in country B reflects the gain from specialisation and exchange to the small country B from the international trade. Since this country is able to import X-commodity at the lower international price, the terms of trade turn in favour of it. That also shows that the gains from trade go to small country B alone and large country goes without any gain from trade.

Check Your Progress-IV

Q1. Explain the factors affecting gains from international trade.

Ans: -----

Q2. How size of country will affect gains from international trade

Ans: -----

2.7.3 Static and Dynamic Gains from Trade

The gains from international trade are of two types: Static and dynamic gains.

Static Gains from Trade

- 1. Expansion in Production:** International trade based on the principle of comparative cost advantage, according to classical economists, assures the benefits of international specialisation and division of labour. All the available productive resources in the trading countries get optimally utilised resulting in the maximisation of production not only for the individual trading countries but also for the whole world.
- 2. Increase in Welfare:** International trade results in the increased production of consumable Goods in both home country and foreign country due to large world demand for products. Specialisation also leads to improvement in the quality of consumer products. As cheaper consumer products of superior varieties become easy available, there is definite rise in welfare of the people.
- 3. Rise in National Income:** International specialisation results in expansion of production in all the trading countries. More and more employment opportunities become available to the people. The expansion of production and employment leads to a rise in national income of the trading countries.
- 4. Vent for Surplus:** According to Adam Smith, international trade leads to the fullest utilisation of productive resources of the country. It becomes capable of creating a surplus of goods which can be easily disposed of in the foreign market. Thus, the vent for surplus also constitutes a gain from international trade.

Dynamic Gains from Trade:

The major dynamic gains from international trade are as follows:

- 1. Technological Development:** The international trade stimulates technical and scientific inventions and innovations as the producers in all the countries attempt to develop such techniques of production through which costs can be minimised and the speed of production can be accelerated. Trade facilitates the transfer of advanced technology from the developed to less developed countries. New ways of producing and organising production are spread to local economies through trade.
- 2. Increased Competition:** Trade stimulates competition, which makes the producers in all the countries to improve the quality of products and secure production at the least costs.

The international competition promotes efficiency of all the industries in the trading countries.

3. **Widening of Market:** International trade enlarges the size of market. Consequently, the producers are induced to expand the scale of production, volume of investment and employment. Consequently, the production frontiers in the trading countries can continuously be expanded.
4. **Increase in Investment:** As the demand for the home-produced Goods increases due to international trade, there is strong impetus to investment. The growth of export sector leads to the expansion of several allied ancillary industries creating more and more opportunities for investment. There is also substantial increase in foreign direct investments in the export sector of the economy.
5. **Efficient Use of Resources:** International trade paves the way for more efficient use of productive resources. The exploitation and use of the resources, previously considered economically non-viable, becomes economically viable due to increased demand in the foreign markets.
6. **Stimulus to Growth:** Production for exports and increased imports of Goods bring about a series of adjustments within the economic system that ultimately have stimulating effect upon the overall growth in the trading countries. Trade not only induces the growth of export industries, but also promotes the growth of infrastructure and services sector.

Check Your Progress- V

Q1. Write any three static gains from trade.

Ans:-----

Q2. How technological development will lead to dynamic gains?

Ans:-----

2.8 Summary

This unit discussed the comparative cost basis of trade between countries. No mention was made there in of factor endowments which affect comparative cost differences. The theory sought to explain how comparative cost differences made trade mutually advantageous to the trading partners but did not offer any hypothesis as to how the pre-trade cost ratios differ between countries. The modern theory, on the other hand, goes behind these pre-trade cost

ratios and seeks to predict the pattern to trade on the basis of the characteristics of pre-trade equilibria. Thus, modern theory (Heckscher-Ohlin) begins where the neo-classical (opportunity cost) theory of comparative advantage leaves off. There is little doubt that the movement of products from one country to another can at least reduce the factor price differentials. In the absence of trade, such differences are likely to be considerably large. The modern approach stresses that the introduction of international trade brings two types of gains, gains from exchange and gains from specialisation. These two gains together constitute the gains from international trade. When trade commences, consumers enjoy a higher level of satisfaction, partly because of improvement in terms of trade and partly on account of greater specialisation in the use of economic resources of the country.

2.9 Questions for Practice

A. Short Answer Type Questions

Q1. Write short notes on the following:

- a) Absolute Advantage
- b) Comparative Advantage
- c) Opportunity Cost

Q2. Explain the meaning of gains from trade.

Q3. What are the factors that determine the gains from trade?

Q4. Distinguish between static and dynamic gains from trade.

Q5. What implications does factor-intensity reversal has for H-O Theory and factor price equalisation theorem?

Q6. Explain factor price equalisation theory.

Q7. What are the obstacles to equalisation of factor prices?

B. Long Answer Type Questions

Q1. Explain relatively absolute and comparative advantage theory of international trade.

Q2. Define Heckscher-Ohlin theory in detail.

Q3. Explain Haberler's opportunity cost theory.

Q4. What is meant by gains from trade? In what way can terms of trade indicate the gains from trade?

Q5. Discuss the different approaches to the gains from trade.

Q6. Explain the meaning of gains of trade. What are die factors which determine the gains from trade?

- Q7. What is factor intensity reversal? What implications does it have for H-O theory and factor-price equalisation theorem?
- Q8. Explain clearly the Factor Price Equalisation theory.
- Q9. "International trade in commodities is a substitute for international movement of factors of production." Discuss.
- Q10. Explain the factor price-equalisation theorem. What are the obstacles to the equalisation of factor prices?

2.10 Suggested Readings

- Sodersten, B.: International Economics
- Salvatore, D.: International Economics
- Bhagwati, J.: Trade, Tariffs and Growth
- Ethier, W.J.: *Modern International Economics*

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER –IV

COURSE: INTERNATIONAL ECONOMICS

UNIT 3: TERMS OF TRADE AND SECULAR DETERIORATION HYPOTHESIS

STRUCTURE

3.0 Learning Objectives

3.1 Introduction

3.2 Meaning and Significance of Terms of Trade

3.3 Various Concepts or Types of Terms of Trade

3.3.1 Gross Barter Terms of Trade

3.3.2 Net Barter Terms of Trade

3.3.3 Income Terms of Trade

3.3.4 Single Factorial Terms of Trade

3.3.5 Double Factorial Terms of Trade

3.3.6 Real Cost Terms of Trade

3.3.7 Utility Terms of Trade

3.4 Factor Affecting Terms of Trade

3.5 Secular Deterioration in Terms of Trade

3.5.1 Assumptions

3.5.2 Causes of Secular Deterioration in Terms of Trade

3.5.3 Limitation of the Theory

3.5.4 Impact of Deterioration of Terms of Trade on Developing Countries

3.6 Summary

3.7 Questions for Practice

3.8 Suggested Readings

3.0 Learning Objectives

After reading this unit, learner will be able to:

- Describe the meaning of international trade
- Know about gains from trade determined by terms of trade
- Determine the concept and types of terms of trade
- Define the factors affecting terms of trade
- Examine Secular deterioration of terms of trade
- Describe the reasons of secular deterioration of terms of trade.

3.1 Introduction

Countries engage in international trade to get mutual gains due to differences in their absolute and comparative advantage. The unequal distribution of factors of production among international economies determines the capacities of nations to produce goods and services. All these differences in production possibilities lead to situations where some countries can produce some goods more efficiently than others; whereas no country in the world can produce all the goods efficiently, i.e. at the least possible cost of production. So, countries export goods in which they are efficient and import goods where production is less efficient. As a nation engages in international trade there is an increase in the production as well as welfare of people of these nations due to optimum allocation of these resources and specialization. Hence gains from trade arise in terms of higher domestic production, world production, and consumption of trading nations. But important question is that how these gains are distributed? To answer this question, one has to learn the concept of terms of trade. Free international trade leads to productivity gains and consumption gains in terms of more global output. Terms of trade determine these gains from exchange across nations. Further, the LDCs (Least Developed Countries) feel that their products have suffered a secular deterioration in their TOT as a result of which there has been an unjust transfer of income to developed countries at the expense of developing countries. Hence the concept of terms of trade has immense importance in the field of international trade.

3.2 Meaning and Significance of Terms of Trade

Terms of trade refer to the rate at which a country's exports are exchanged for its imports. The terms of trade are expressed as a ratio of import prices to export prices. The amount of

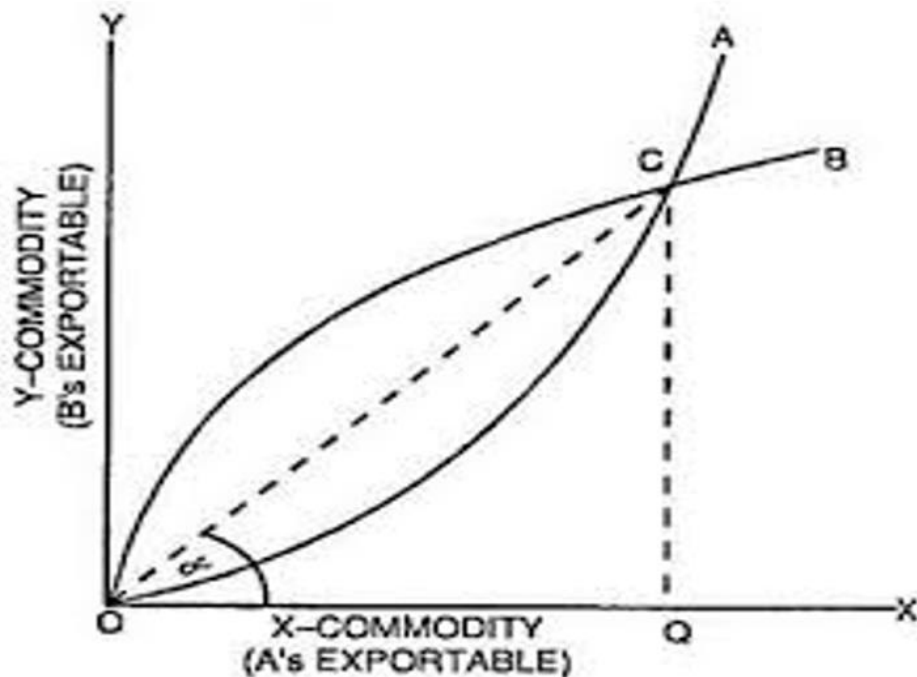
imported products/ commodities that an economy can purchase per unit of exported products/commodities exported. The terms of trade are said to be favorable to the country when the prices of its exports are high relative to the prices of its imports and vice-versa. In the words of famous economist Paul Samuelson "*Terms of trade are defined as the ratio of country's export prices to her import prices*". J.S.Mill defined the concept as "*Terms of trade illustrate an exchange relationship—the terms upon which a country exchanges exports for imports.*" Specialization and exchange due to international trade benefit all the trading partners. Because of complete specialization in the production of the commodities in which countries have comparative advantages—as suggested by classical economists like Adam Smith and David Ricardo, global production becomes larger. Now if countries trade with each other, every country will gain from such exchanges. However, such gain from specialization and exchange will be distributed between trading partners will depend on the terms of trade (TOT). It refers to the quantity of imports that exports buy and is also alternatively measured by the ratio of export price to import price. It is the ratio at which a country can export or sell domestic goods for imported goods. The concept of terms of trade also shows a country's capacity to Import.

Determination of Terms of Trade

J. S. Mill first time gives a theory of terms of trade determination by introducing the concept of reciprocal demand. In other words, actual TOT depends on the relative prices of exports and imports after the trade takes place. These relative prices will depend upon the strength, intensity, and elasticity of each country's demand for the other country's product or reciprocal demand. According to this theory terms of trade are determined by the reciprocal demand of two countries that is the demand of country A for goods of country B and the demand of Country B for the goods of country A. Later on, Alfred Marshall and Edgeworth developed the offer curve technique. The offer curves try to show how terms of trade are determined by interactions of demand for importable and supply of exportable goods. The offer curve analysis shows the determination of exact terms of trade. The offer curve of a country shows the amounts of one commodity which it is willing to offer at various prices for given amounts of another commodity. The offer curve will never be a straight line it is always a non-linear curve due to the law of diminishing marginal utility for purchased goods. For a given amount of imported commodity, the respective country is willing to offer less and fewer prices for every additional imported commodity. The determination in terms of trade is shown by figure 1.

Terms of trade are determined by the respective offer curves of two countries at the C point in the figure-1 through the straight line from the origin it is denoted. Here both countries are ready to exchange their products at particular terms of trade denoted by OC line from origin.

Figure-1 Terms of Trade Determination through offer curve Analysis



Check Your Progress- I

Q1. What do you mean by terms of trade?

Ans.-----

Q2. Define offer curve.

Ans.-----

3.3 Various Concepts or Types of Terms of Trade

The main types of terms of trade are given as follows:

3.3.1 Gross Barter Terms of Trade

The Gross Barter Terms of Trade is the ratio of import quantity index to export quantity index. An increase in gross barter terms of trade indicates an improvement in the trade condition

of a nation. The concept of gross barter terms of trade is used in the theory of reciprocal demand and in neoclassical theory to measure gains from international trade. Gross barter terms of trade are expressed in a formula as under:

$$T_Q = (I_q / X_q) \times 100$$

Where I_q stands for the import quantity index, X_q for the export quantity index, and T_Q for Gross Barter Terms of trade. We multiply the whole expression I_q / X_q by 100 to get rid of the decimal. Following example show the change in gross barter terms of trade:

$$2018 \quad T_Q = (100/100) \times 100 = 100 \text{ (Base Year)}$$

$$2019 \quad T_Q = (120/100) \times 100 = 120 \text{ (improvement)}$$

$$2020 \quad T_Q = (120/120) \times 100 = 100 \text{ (no change)}$$

$$2021 \quad T_Q = (100/120) \times 100 = 83.33 \text{ (deterioration)}$$

3.3.2 Net Barter Terms of Trade/ Commodity Terms of Trade

This is the most commonly used expression for the terms of trade changes in the contemporary world. The gross barter terms concept uses quantity index for imports and exports whereas the net barter or commodity terms concept makes use of the price index for imports and exports. The distinction between ‘Gross’ and ‘Net’ barter terms of trade was introduced by Taussing in 1927 (F.W. Taussing). Net barter terms of trade are expressed in a formula as under:

$$T_c = (X_p / I_p) \times 100$$

Where X_p stands for the export price index, I_p for the import price index, and T_c for Net Barter Terms of trade. We multiply the whole expression I_q / X_q by 100 to get rid of the decimal. Following example clarify the concept:

$$2018 \quad T_c = (100/100) \times 100 = 100 \text{ (Base Year)}$$

$$2019 \quad T_c = (120/100) \times 100 = 120 \text{ (improvement)}$$

$$2020 \quad T_c = (120/120) \times 100 = 100 \text{ (no change)}$$

$$2022 \quad T_c = (100/120) \times 100 = 83.33 \text{ (deterioration)}$$

3.3.3 Income Terms of Trade

Any country needs to take into account changes in its volume of exports resulting from export price changes; it is useful to correct the movements in commodity terms for changes in export volume. This is done by the concept of income terms of trade, which was first formulated by G. S.

Dorrance in 1948-49. A rise in income terms of trade only indicates that the country can obtain a larger volume of imports from the sale of its exports; its 'capacity to import' – based on exports has increased. Income terms of trade are expressed in a formula as under:

$$I = T_c X_q$$

Where T_c refers to net barter or commodity terms of trade index (i.e. X_p / I_p), X_q stands for the export quantity index and I stands for income terms of trade.

3.3.4 Single Factorial Terms of Trade

The single factorial terms of trade are the ratio of the export price index and the import price index adjusted for changes in the productivity of the factors used in export production. It was Jacob Viner who developed the concepts of single and double factorial terms of trade in 1937. The single factorial terms of trade are expressed in a formula as under:

$$S = T_c \cdot X_z$$

Where T_c refers to commodity terms, X_z stands for the export productivity index, and S refers to single factorial terms of trade.

$$2018 \quad S = (100 \times 100 / 100) = 100 \text{ (Base Year)}$$

$$2019 \quad S = (90 \times 100 / 100) = 90 \text{ (deterioration)}$$

$$2020 \quad S = (90 \times 120 / 100) = 108 \text{ (Improvement)}$$

3.3.5 Double Factorial Terms of Trade

When the commodity terms of trade (N) are corrected for changes in productivity in producing of exports and imports, the result is the double factorial terms of trade. The double factorial terms of trade will diverge from single factorial terms when there is a change in the factor cost of producing imports. This has no significance to the importing country because it only means that there has been an increase or a decrease in productivity in the country from which it is importing goods. The double factorial terms of trade are expressed in a formula as under:

$$D = T_c (X_z / M_z)$$

Where T_c refers to commodity terms, X_z and M_z stand for the export productivity index and import productivity index, and D refers for double factorial terms of trade.

3.3.6 Real Cost Terms of Trade

Real cost terms of trade were introduced by Jacob Viner to reflect real gains from international trade. This concept tries to correct commodity terms of trade by including the export productivity index and the real cost of producing export goods. The amount of utility sacrificed per unit of resources employed in producing exports is called the real cost of producing exports which can be expressed as the index of the real cost of producing exports X_r . The real cost terms of trade are expressed in a formula as under:

$$R = T_c \cdot X_z / X_r$$

Where R stands for real cost terms of trade, T_c is commodity terms of trade, X_z is export productivity index and X_r is the real cost of producing export goods.

3.3.7 Utility Terms of Trade

The concept improves real cost terms of trade which is also given by D.H. Roberston. In this concept real cost of imports has also been given importance along with the real costs of exports. The real cost terms of trade corrected for the relative utility of imports and of the domestic goods whose consumption is foregone because of the use of resources in export production (U_i). Symbolically it can be expressed as:

$$U = R \cdot 1/U_m$$

Where $R = T_c \cdot X_z / X_r$ and U_m is an index of the relative utility of imports and domestic commodities foregone.

Hence through the study of various concepts of terms of trade important point to note is that Gross Barter TOT indicates improvement in the trade condition of a nation and measure the gains from trade. Income TOT indicates the capacity to import by a nation. Commodity terms of trade indicate improvement in the economic welfare of a nation. It is the most commonly used measure of TOT. Single/Double factorial TOT indicates how the benefits of productivity enhancement percolated to foreign nations.

3.4 Factor Affecting Terms of Trade

The terms of trade of a country depend upon a number of factors and the most important factors are given as follows:

- 1) **Reciprocal Demand:** The terms of trade of a country are determined by the relative intensity of its import demand by foreigners and domestic demand for imports. When the demand for a country's exports is less price elastic as compared to imports, the terms of trade going to be favorable for this nation because exports fetch higher prices as compared to import prices. Contrary to this if demand for imports is less elastic as compared to export demand elasticity; the terms of trade tend to be unfavorable.
- 2) **Economic Growth:** Economic growth is the rise in the national output of a nation over a long period. Economic growth will cause an outward shift in the production possibility curve of the country due to higher output. Economic growth affects terms of trade through the demand and supply effect. The demand effect refers to an increase in demand for imports as a result of increased per capita income with economic growth which ultimately leads to high import prices and deterioration in terms of trade. The supply effect refers to an increase in the supply of import-substitutes that can lead to a decline in import prices and improvement in terms of trade.
- 3) **Tariff:** Imposition of trade barriers in terms of tariff and quotas leads to a fall in import quantity and helping in the improvement of terms of trade given that partner countries do not retaliate.
- 4) **Tastes and Preferences:** If the tastes and preferences of domestic consumers are more for imported products it will have an unfavorable effect on terms of trade and vice versa.
- 5) **Technological Changes and Factor Endowments:** With the increase in factor endowments and use of improved technology exports increased more as compared to imports it may lead to improvement in gross barter terms of trade.
- 6) **Balance of Payments Situation:** The balance of payments situation can also affect the terms of trade of a nation. If there is a deficit in balance of payments it leads to depreciation in the exchange rate which in turn increase in exports and decrease in imports and favorable terms of trade. In the case of BOP surplus, the exchange rate appreciates which results in a decrease in exports and import increase and terms of trade decline.
- 7) **Import Substitutes:** If the country produces import-substitute goods in enough quantities, its import demand for such goods will be less. As a result, country imports in less quantity and its terms of trade will be favorable and vice-versa.

Check Your Progress -II

Q1: Define net barter terms of trade.

Ans.-----

Q2: Define single factorial terms of trade.

Ans.-----

3.5 Secular Deterioration in Terms of Trade

The theory of international trade emphasis that free trade will benefit all partner countries as well as the world economy. Free trade is the first best policy for countries irrespective of their level of development. In the 1940s a debate was started by two development economists H.W. Singer and Raul Prebisch about the distribution of gains from trade between developed and developing nations. According to them the main reason for this biased distribution in favour of developed countries is the continuous (secular) decline in terms of trade of developing countries. This leads to support of import substitution policies instead of free trade policy for LDCs. This hypothesis is developed by Raul Prebisch and Hans Singer is considered as a major part of the dependency theory. The Prebisch- Singer hypothesis was initially developed by Hans Singer in 1948-49 which was later improved by Raul Prebisch. It argues that the prices of primary commodities will decline over time relative to manufactured goods which leads to a decline in terms of trade of developing countries. Developing countries are usually producers and exporters of primary products and developed nations are the producer and exporters of manufactured goods. The gap in per capita income between developed and developing countries arises, developing countries failed to get benefit from technical progress and have suffered the declining terms of trade.

Classical View on Terms of Trade: The classical school of thought argues that primary products will over time experience a rise in terms of trade relative to manufactured products. Their argument is based on diminishing returns that operate in primary product production and manufacturing sector experience increasing returns. Technical progress in manufactures will exceed that of primary products and hence the supply of industrial goods will grow faster than the supply of primary commodities. This leads to a decline in prices of these products and a decline in the

relative supply of primary products leads to a rise in their prices and ultimately leads to welfare gains from primary products of exporting nations.

Evolution of Thesis

Prebisch and Singer claimed that the mechanism suggested by classical economists does not work. The relative prices of primary goods fall and this is empirically proved by Hans Singer in his paper titled "*Post War Price Relations between Under-Developed and Industrialized countries*". Further, based on export statistics concerning the United Kingdom between 1870 and 1940, Raul Prebisch demonstrated that the terms of trade had a secular tendency to move against the primary products and in favour of the manufactured and capital goods. Hence the essence of the Prebisch-Singer Thesis is that the Peripheral or LDCs had to export large amounts of their primary products to import manufactured goods from industrially advanced countries. The deterioration in terms of trade is a major hindrance in the growth process of the LDCs. In addition, the industrialized countries have maintained control over the production of industrial goods. They could manipulate the prices of manufactured goods in their favour and against the interest of LDCs. Hence there has been a relative decline in international prices of farm and plantation products, minerals, and forest products and terms of trade remained unfavorable to the developing countries.

3.5.1 Assumptions

There are some assumptions or prior conditions that are necessary to explain the theories which are given as below:

- 1) As Income rises in the advanced countries, the pattern of demand shifts from primary products to manufactured products due to Engel's Law.
- 2) There is a slow rise in demand for primary products in developed countries.
- 3) The export market for products of LDCs is competitive.
- 4) The export market for products of developed countries is monopolistic.
- 5) Wages and prices are low in LDCs.
- 6) The appearance of substitutes for products of LDCs reduces demand for them.
- 7) The benefit of increased productivity is not passed by the producers of manufactured products in advanced countries to the LDC's through lower prices.
- 8) The economic growth in the LDCs is indicated by decline income terms of trade.

3.5.2 Causes of Secular Deterioration in Terms of Trade

- 1) **Differences in the income elasticity of demand:** It is evident empirically that the income elasticity of demand is higher for manufactured products than for primary products. Consequently, as LDCs grow they spent a large proportion of their income on manufactured products but developed countries spent a small proportion of their income on the purchase of primary products. Since primary products are major exports of LDCs and imports are manufactured products, the prices of their imports rise more rapidly as compared to prices of the exports which cause deterioration in their terms of Trade.
- 2) **Absence of qualitative improvement of products:** The major reason for lower prices of primary products in relation to manufactured goods is that underdeveloped countries continue to produce and export goods like coal, iron ore, tea, coffee, rice, sugar, etc. There is less chance of improvement of quality in these products. Whereas the quality of manufactured goods can be increased tremendously in every industry. That's why demand and prices of manufactured goods always keep an upward trend relative to the prices of primary products.
- 3) **Distribution of gains from technical progress:** As per theorists the gains from technical progress in developing countries have been passed on to the consumers in developed countries in terms of the low price of primary products. Whereas gain from technical progress in developed countries is retained by producers in terms of higher incomes.
- 4) **Unequal market power:** Another explanation for potential terms of trade deterioration is unequal market power in product and factor markets. The monopolistic and oligopoly market structure exists in industry and agriculture there exists a perfectly competitive market. That's why for manufactured products producers can charge high prices as compared to primary products.

Other Causes of deterioration in terms of trade

- Dampening Impact of Foreign Investment
- Debt problems of LDCs
- Weak Bargaining power of LDCs
- Protectionist Policies by Developed countries

- Regional Economic Groupings
- Growth of Synthetic products
- Dependence on developed countries
- Cyclical instability and balance of payments difficulties.

3.5.3 Limitation of the Theory

- 1) **Wrong Basis of Inference:** The whole argument of this thesis is based on those developing countries export primary products and import manufactured products. But LDCs exports and import a wide variety of products including both primary and manufactured products. Hence this thesis is based on wrong inferences.
- 2) **Neglect of Supply Conditions:** This thesis considers only demand conditions. The supply conditions which are likely to change and affect terms of trade significantly are neglected in this theory.
- 3) **Effect of Monopoly Power:** This thesis assumes that industry markets have monopoly and oligopoly elements which cause the high price for the industrial product which is not possible in perfectly competitive primary products markets. The empirical evidence has not supported such a line of argument.
- 4) **Inapplicability of Engel's Law:** Secular deterioration of terms of trade assumes that demand for primary products is based on Engel's law. But this law applies to food products and not to raw materials which constitute a large proportion of exports from LDCs.
- 5) **Lack of Empirical Evidence:** There are some empirical studies made by Morgan, Haberler, Kindleberger, Lipsey that have not found empirical support for the thesis.
- 6) **Wrong Policy Prescription:** This theory prescribed those developing countries must resort to import-substitution policies to stop this secular deterioration in terms of trade. In present times it is practically not possible to implement.
- 7) **Development of Export Sector Not at the Expense of Domestic Sector:** This thesis inference that foreign investment in developing countries enlarges the export sector but it was at the expense of the domestic sector. This means that foreign investment crowds out domestic investment. But it is not always true as a foreign investment also leads to the development of the domestic sector.

3.5.4 Impact of Deterioration of Terms of Trade on Developing Countries

- 1) This theory implied that because prices of exports of developing countries are lower than the prices of their imported manufactured products and created a huge gap in export receipts and import payments. Hence developing countries will ultimately have a low capacity to import.
- 2) Since there is a huge gap in export and import bills, the balance of payments deficits become a persistent problem for LDCs.
- 3) Due to the high balance of payment deficits, the LDCs became dependant on developed countries and other international institutions in terms of loans and borrowings. These countries take advantage of the situation of underdeveloped nations by enforcement of stiff borrowing conditions on them. Such conditions imposed by advanced nations may have adverse economic impacts on the economies of LDCs.
- 4) The continuous decline in terms of trade led to high borrowing from foreign countries which have landed low developed countries into debt traps.
- 5) The continuous balance of payments deficits, declining capacity to import, increasing external debt and reactionary import substitution policy in wake of deterioration in terms of trade will harm the overall economic growth of the nation.

Check Your Progress- III

Q1. Why elasticity of demand of primary products is low?

Ans. -----

Q2. Why terms of trade of developing countries continuously decline?

Ans. -----

3.6 Summary

The terms of trade are crucial in determining gains that a nation can achieve through international trade. For developing countries these topics have immense importance as terms of trade must be favorable for them. Terms of trade are also helpful for nations to analyze whether they can retain the benefits of economic growth and technological progress or it is going to partner countries. Free trade is not always beneficial for all nations. Prebisch-Singer Hypothesis acts as a major pillar of

the dependency theory and Import substituting Industrialization. The hypothesis argues that the prices of primary commodities have a tendency to decline over time relative to manufactured goods which leads to a decline in terms of trade for developing countries. In making this argument it is assumed that developing countries are the exporter of primary products and developed countries are the exporter of manufactured commodities. The classical thought is that primary products will over time experience a rise in terms of trade relative to manufacturers. They based their argument on higher technical progress experienced by manufacturers. The Prebisch-Singer Hypothesis has generated much debate. It has been widely criticized and then supported by various academicians.

3.7 Questions For Practice

A. Short Answer Type Questions

- Q1. What do you mean by terms of trade?
- Q2. Explain concepts of favorable and unfavorable terms of trade.
- Q3. Write a note on commodity terms of trade.
- Q4. Explain gross barter terms of trade.
- Q5. Explain single factorial terms of trade.
- Q6. Give two factors affecting terms of trade.
- Q7. What is Prebisch-Singer Thesis?
- Q8. What is the impact of the deterioration of TOT on developing countries?

B. Long Answer Type Questions

- Q1. What is the importance of terms of trade? Explain briefly the various concepts of terms of trade.
- Q2. Discuss various concepts of terms of trade. Explain the factors which influence the terms of trade of a country
- Q3. Discuss the various systems of terms of trade. What is the practical significance of these concepts?
- Q4. Critically Examine the Prebisch-Singer Thesis.
- Q5. What are the reasons for secular deterioration in terms of trade?

3.8 Suggested Readings

- Salvatore D. Theory and Problems of International Economics, Prentice Hall Upper Saddle River, New York.
- Paul R Krugman and Maurice. International Economics Theory and Policy Obstfeld Wesley Series in Economics
- Soderston B O. International Economics, Macmillan Press London
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- Mannur H.G., International Economics, Vikas Publishing House, New Delhi 2010, p.198.

Website Links

- <http://epgp.inflibnet.ac.in/Home/ViewSubject?catid=11>
- <http://epgp.inflibnet.ac.in/Home/ViewSubject?catid=11>

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

COURSE: INTERNATIONAL ECONOMICS

UNIT 4: COMMERCIAL POLICY-THEORY OF TARIFF, OPTIMUM AND EFFECTIVE RATE OF TARIFF

STRUCTURE

4.0 Learning Objectives

4.1 Introduction

4.2 Tariff Barriers and Types of Tariffs

4.3 Effects of Tariff (Partial Equilibrium Analysis)

4.4 Theory of Optimum Tariff

4.5 The Optimum Tariff Formula

4.6 Effective Rate of Protection

4.7 Non-Tariff Barriers

4.8 Summary

4.9 Questions for Practice

4.10 Suggested Readings

4.0 Learning Objectives

After reading this unit, learner will be able to:

- Know the meaning of tariff, types of tariff and effects of tariff
- Understand the meaning of optimum tariff
- Learn about the concept of the effective rate of protection
- Describe various types of non-tariff barriers

4.1 Introduction

A nation can adopt the policy of free trade as it leads towards efficient allocation of economic resources and promote a higher level of production and consumption for the nation. Free trade is always called the first-best policy because it is mutually beneficial for trading partners. Classical and modern theory favours free trade policy as it maximizes the total output and consumption of participating nations. Whereas there are various arguments against free trade policy and ask for the policy of protectionism. The term protection refers to a policy whereby domestic industries are protected from the competition of foreign products. The domestic industries can be protected by imposing import duties that raise the price of foreign products in comparison to domestic products. Other ways to protectionism are import quota and other non-tariff barriers. Under the policy of protection, the government imposes several kinds of restrictions on foreign trade. Hence the policy related to trade protectionism is known as the commercial policy of a country.

There are two instruments of commercial policy:

- A. Tariffs:** Tariffs are the most common instruments of commercial policy/trade policy and a detailed discussion on tariffs will be presented in the next section. A tariff is a duty or tax imposed by the government of a country upon the traded commodity as it crosses national boundaries. Tariffs can be levied both upon the export and import. When it is imposed on exporting goods and services it is called export duties and when it is imposed on imported goods and services then it is called import duties. They aim to change the volume of imports or exports as per the objectives of commercial policy. A tariff raises the prices of imported goods by making foreign goods more expensive and unattractive for domestic consumers and encourages the production of imports substituting domestic goods. However, tariff distorts the comparative advantage pattern by discouraging efficient production in the home country. Tariff leads to a fall in the volume of international trade.
- B. Non-Tariff Barriers:** Non- tariff barriers are invisible trade barriers. The non-tariff barriers mainly include direct restrictions (Quotas), monetary restrictions, technical and administrative barriers, etc. Quantitative restrictions or quotas are imposed to reduce the quantity of imports or exports. Import quotas are more common than export quotas.

4.2 Tariff Barriers and Types of Tariffs

As explained earlier tariff is a duty levied on traded commodities either imported or exported. However, import tariffs are more common as a policy than export tariffs. It directly increases the price of imported products and gives protection to domestic products from foreign competition.

Tariff can be divided on the following basis:

- 1. Based on the Criterion for Imposition:** Based on the criterion of imposition tariff can be divided into four types:
 - a) **Specific Tariff:** Specific tariff is the fixed or lump sum amount of money per physical unit or according to the weight or measurement of the commodity imported or exported. For example, tax imposed on wheat, rice and sugar will be according to their weight or measurement.
 - b) **Ad Valorem Tariff:** Ad Valorem is the Latin word which means 'on the value'. When the duty is levied as a fixed percentage of the value of the traded commodity, it is called an ad valorem tariff. For example: tariff on gold and jewellery. This tariff is generally imposed on the commodities consumed by the rich and they bear the greater burden of this tax and cheaper goods bought by the poor bear a lesser burden of such tariff.
 - c) **Compound Tariff:** Compound tariff is a combination of both the specific and ad valorem tariff. The structure of compound tariff includes a specific duty on each unit of the commodity plus a percentage of ad valorem duty.
 - d) **Sliding scale tariff:** The import duty which varies with the prices of the commodities is termed as sliding scale tariff. If the commodity is costlier there will be a high tariff and if the commodity is cheaper than the duty will be lower.
- 2. Classification Based on Purpose:** Based on this criterion of it divided into two types:
 - a) **Revenue Tariff:** The tariff which is primarily imposed for generating more revenue for the government is called the revenue tariff.
 - b) **Protective Tariff:** The tariff may be imposed by the government to protect the home industries from cutthroat competition from foreign-produced goods is called protective tariff.
- 3. Classification Based on Retaliation:** Based on this criterion of it divided into two types:

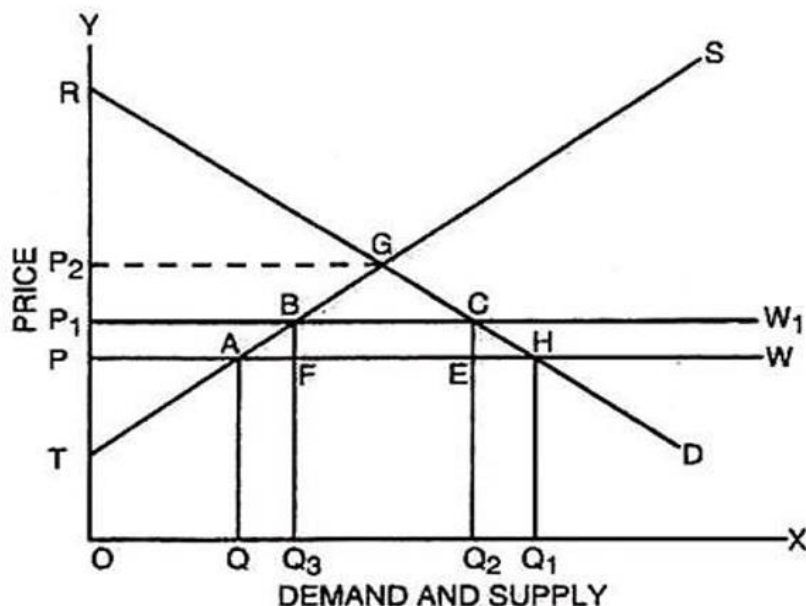
- a) Retaliatory tariffs: If a foreign country has imposed a tariff upon the exports from the home country and the latter imposes a tariff against the products of the former, the tariff resorted to by the home country will be regarded as the retaliatory tariffs.
- b) Countervailing Tariffs: If the foreign country has been exporting large quantities of its products in the market of the home country on the strength of export subsidies, the home country can neutralize the unfair advantage enjoyed by foreign products by imposing duties upon them as they enter the territory of the home country is called countervailing duties or tariff.

4.3 Effects of Tariff (Partial Equilibrium Analysis)

Under a commercial policy or trade policy tariff plays a vital role for the effective implication. But it depends on whether a country is small or large. If a small country imposes a tariff on the import of the product that competes with the product of the small domestic industry, the tariff can neither affect the international prices as the country is small nor can it affect the rest of the economy. In such a case, the partial equilibrium analysis that concerns the market for a particular product becomes the most appropriate.

In partial equilibrium analysis, the effect of tariff can easily be understood by following points with the help of diagram 1.

Figure 1-Partial Equilibrium Analysis of Tariff



- 1) **Protective or production effect:** In the above figure-1 demand and supply are measured along the horizontal and price along the vertical scale. D and S are the domestic demand and supply curves of the given commodity. Original PW is the world supply curve that is perfectly elastic supply curve and the pre-tariff price is OP and domestic supply is OQ and demand is OQ₁. If PP₁ unit tariff is imposed on import, the price rises to OP₁. At this higher price, the demand is reduced from OQ₁ to OQ₂ whereas domestic supply expands from OQ to OQ₃. Thus, the domestic production of import substitutes rises by the extent of OQ₃. It means the imports of this particular commodity declined from QQ₁ to Q₃Q₂. This is the protective, production, or import substitution effect.
- 2) **Consumption Effect:** The imposition of import duty on a particular commodity has the effect of reducing consumption and also the net satisfaction of the consumers. At the free trade price OP, the total consumption was OQ₁. After the imposition of the tariff, when the price rises to OP₁, the consumption is reduced from OQ₁ to OQ₂. Thus there is the reduction of consumption by OQ₁ - OQ₂ = Q₁Q₂. There is a net loss in consumer surplus amounting to are PHCP₁.
- 3) **Revenue Effect:** The imposition of import duty provides revenues to the government. The revenue receipts due to tariffs signify a revenue effect. The original price OP does not include any tariff and no revenue receipts become available to the government. Subsequently, when PP₁ per unit tariff is imposed, the revenue receipts of the government can be determined by multiplying the per unit tariff with the quantity imported EF. Thus the revenue effect due to tariff amount to $BF \times EF = BCEF$. This is the revenue effect of tariffs.
- 4) **Redistribution Effect:** The imposition of the tariff, on the one hand, causes a reduction in consumer satisfaction and, on the other hand, provides a larger producer's surplus or economic rent to domestic producers and revenue to the government. Thus, tariff leads to a redistributive effect in the tariff imposing country. This effect can be shown by:
BAF + CEH

The sum of these two triangles shows net loss to the society that is the loss is consumer surplus which is not compensated as some part of this consumer surplus loss is compensated by an increase in producer surplus and government revenue. Kindleberger calls this net loss as the 'deadweight loss' due to tariff. Hence tariffs lead to welfare loss to society.
- 5) **Terms of Trade Effect:** The classical theorists believed that tariff led to an improvement in the terms of trade of the tariff imposing country. According to modern theorists, these terms of

Trade after imposition of a tariff depend upon the elasticities of demand and supply of product of two countries. If the foreign supply of goods is perfectly elastic, the imposition of tariff is not likely to improve terms of trade for tariff imposing countries and vice versa.

- 6) **Competitive Effect:** The imposition of tariff can facilitate the growth of an infant industry which otherwise is not in a position to face foreign competition. As tariff makes the foreign product relatively more costly, the domestic infant industry finds an opportunity to grow behind the protective shield. Thus, tariff increases the competitive power of the industries of tariff imposing country.
- 7) **Income Effect:** The imposition of tariff reduces the demand for foreign products. The amount of money not spent on imported goods may either be spent on the home-produced goods or saved. If there is the existence of surplus productive capacity in the home country, a switch of expenditure from foreign to home-produced goods will lead to a rise in production, employment, and income. And if money is saved that results in greater accumulation of capital.

Check Your Progress- I

Q1. What is Compound tariff?

Ans-----

Q2. Define welfare effect of tariff?

Ans-----

Q3. What do you mean by countervailing tariff?

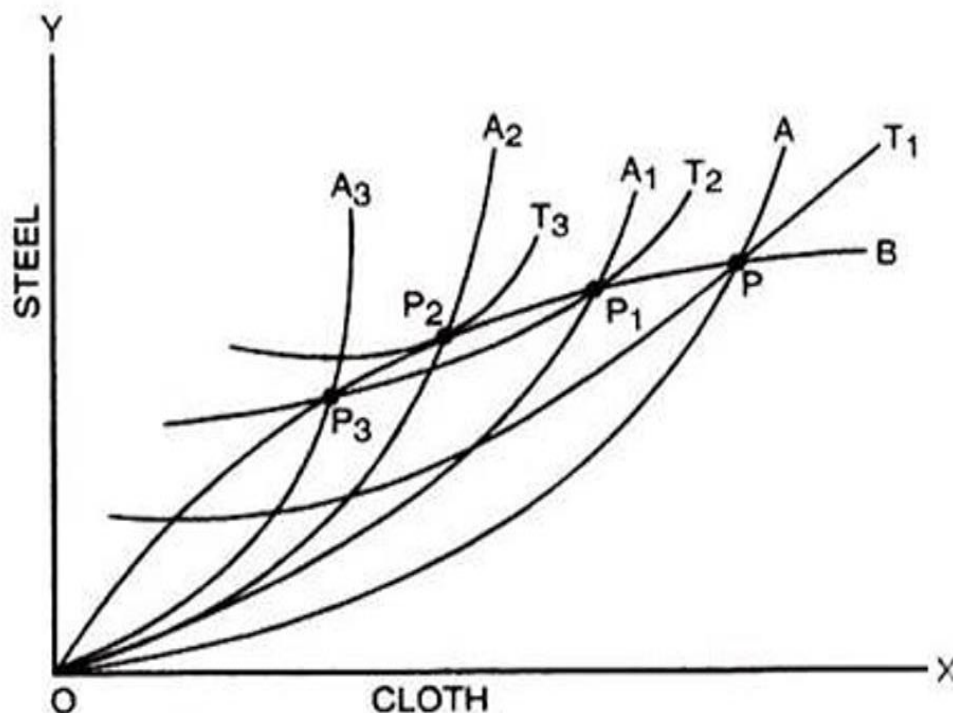
Ans-----

4.4 The Theory of Optimum Tariff

In certain situations, the tariff may fail to improve the terms of trade of a given country. This leads to a vital question, to what extent a country can go on increasing tariffs, improve its terms of trade and maximize economic welfare. Tariffs result in a gain for the tariff imposing home country in the form of improvement in the terms of trade. At the same time, tariffs involve a cost

in the form of a reduction in the volume of export and imports. So long as the gain from the tariff is more than the cost of it, the welfare of the tariff imposing country increases and it is worthwhile for it to raise the tariff. In case the cost of tariffs for the society is more than the gain from tariffs, there may be a reduction in the level of economic welfare and the worsening of the terms of trade. In such a situation, it is appropriate for the tariff imposing country to reduce tariff. The point of optimum tariff is reached when tariff does not further increase the net benefit to the given country and a level of economic welfare has become maximum. In the words of Sodersten, “the tariff that maximizes a country's welfare is called the optimum tariff”. The point of optimum tariff is determined where the trade indifference curve of the tariff imposing home country becomes tangent to the offer curve of the foreign country. This can be shown with the help of the following diagram 2

Figure 2: Determination of Optimum Tariff



Originally OA is the offer curve of the home country A and OB is the offer curve of foreign country B. T₁, T₂, and T₃ are the trade indifference curve of country A. Before the imposition of

the tariff, the exchange takes place at P. This point lies on the trade indifference curve T_1 . As tariff is imposed, the offer curve of country A shifts to OA_1 and exchange takes place at P_1 . This point occurs at the higher trade indifference curve T_2 . Thus, tariffs result in an improvement in terms of trade, on the one hand, and increase the level of welfare on the other. If there is a further increase in tariff, country A's offer curve shifts to OA_2 , and given the offer curve OB of country B, the exchange takes place at P_2 . This point occurs at the higher trade indifference curve T_3 . P_2 is the point of tangency between the trade indifference curve T_3 and foreign country B's offer curve OB. Compared with point P_1 , there is a further improvement in the terms of trade and an increase also in the level of welfare. In, country A raises the tariff still further, its offer curve shift to the left to OA_3 .

Given the offer curve of country B as OB exchange takes place now at P_3 . This point shows that terms of trade improve further but this point lies on a lower trade indifference curve T_2 . Although the terms of trade in this situation improve, yet there is a worsening in respect of the level of welfare. In such a situation, it is appropriate for the home country to reduce tariffs and move back to point P_2 where the welfare is maximum. Thus, P_2 is the point of optimum tariff which corresponds with the maximization of welfare.

4.5 The Optimum Tariff Formula

The economist and financial administrator have remained concerned with determining the rate of tariff that can ensure the improvement in terms of trade consistence with the maximization of welfare. They have preferred to call such a rate of the tariff the optimum rate of tariff. Kindleberger has stated the formula for specifying tariff in the following form:

$$T_o = 1/E - 1$$

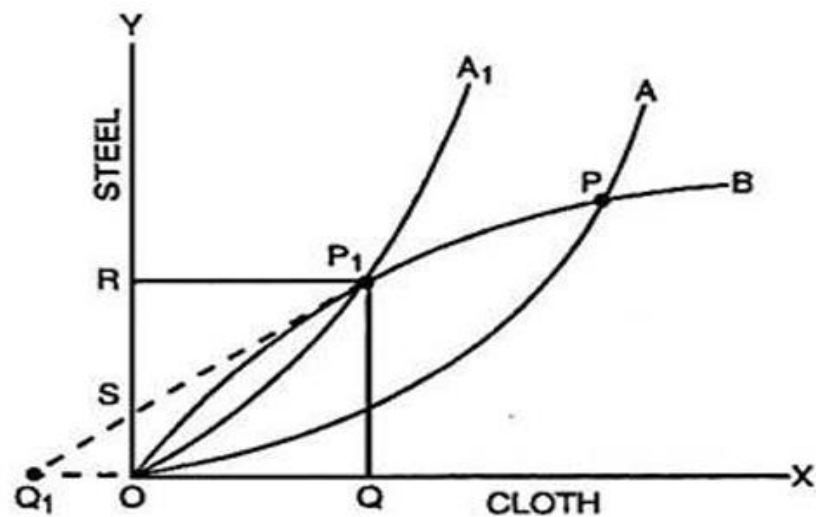
Here T_o denote the optimum rate of tariff and E stands for the elasticity of the offer curve of the foreign country at the specific point. The coefficient of E or the elasticity of the offer curve can be measured as below:

$$E = \frac{- (\text{Percentage change in imports})}{(\text{Percentage change export}) - (\text{Percentage change in import})}$$

The rate of optimum tariff can be derived geometrically with the help of diagram 3.

OA is the offer curve of tariff-imposing home country A and OB is the offer curve of the foreign country B. P is the original point of exchange and P₁ is the point of exchange after the imposition of tariff. It is assumed that P₁ is the point of optimum tariff.

Figure 3: Rate of Optimum Tariff



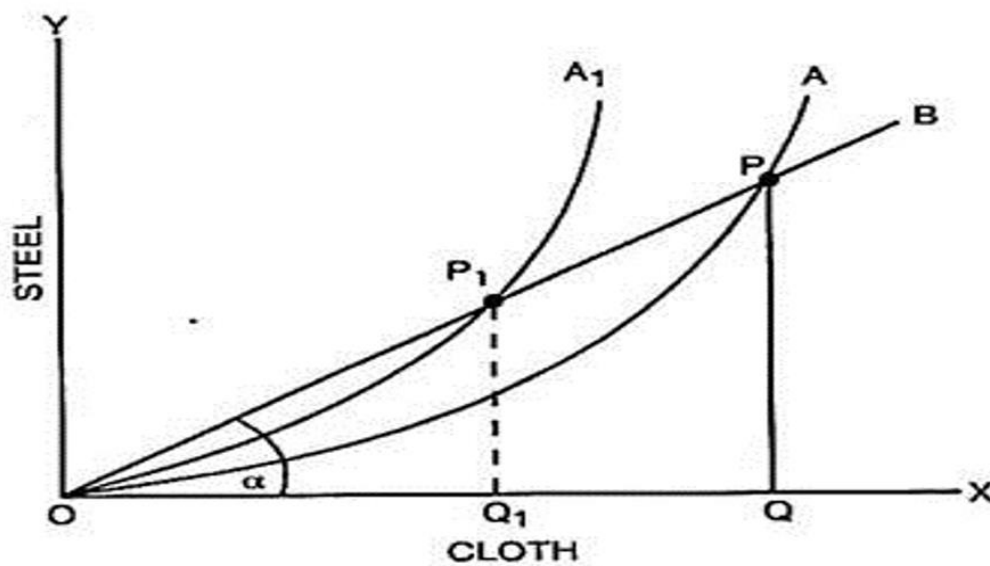
The slope of the offer curve at point P₁ is measured by the tangent drawn to OB at P₁. It meets the horizontal scale produced in the backward direction at Q₁. The optimum tariff at P₁ is (OQ₁/OQ). As OQ = RP, therefore, the optimum tariff can be expressed as OQ₁/RP₁. Since the Δ SSQ₁O and SP₁R are similar, OQ₁/RP₁ equal OS/SR.

Relationship between E and T₀

Elasticity of offer curve (E)	Optimum tariff rate (T ₀)
1	$T_0 = 1/1-1 = 1/1-1 = 1/0 = \text{infinity}$
2	$T_0 = 1/2-1 = 1/1 = 1 \text{ (100\%)}$
3	$T_0 = 1/3-1 = 1/2 = 0.5 \text{ (50\%)}$
4	$T_0 = 1/4-1 = 1/3 = 0.33 \text{ (33\%)}$
5	$T_0 = 1/5-1 = 1/4 = 0.25 \text{ (25\%)}$

If the elasticity of the offer curve is 1 it means that the Optimum rate of tariff will be infinity and if it is 2, that means optimum tariff is 100 %, it implies that prices will be two times after imposing tariff and so on we can calculate optimum tariff rate with the help of elasticity of offer curve. It follows that the optimum tariff rate that can maximize welfare goes on diminishing as the co-efficient E increases and vice-versa. It implies that there is an inverse relationship between the elasticity of the offer curve of country B and the optimum tariff rate for country A. In the extreme situation, when the elasticity of the offer curve of a foreign country is infinite the Tariff-imposing home country will fail to bring about an improvement in its terms of trade. This can be shown through diagram 4.

Figure 4: Perfectly Elastic Offer Curve of Foreign Country



OA is originally the offer curve of country A and OB is perfectly elastic ($e = \alpha$) offer curve of country B. The exchange takes place at P and country A imports PQ quantity of steel in exchange for the export of OQ quantity of cloth. The terms of trade at P for country A = $(QM/QX) = (PQ/OQ) = \text{Slope of Line OP} = \tan \alpha$. As country A imposes a tariff, its offer curve shifts to OA1. In this case, the exchange takes place at P1 where P1Q1 quantity of steel is imported against the export of OQ1 quantity of cloth. The TOT for country A at P1 = $(QM/QX) = (PQ1/OQ1) = \text{Slope of Line OP1} = \tan \alpha_1$. The slope of Line OP1 = $\tan \alpha$. Since TOT at P and P1 are both measured by constant $\tan \alpha$, the home country cannot improve the terms of trade

through tariff. There is only a reduction in the volume of trade and a consequent decline in the level of welfare.

4.6 Effective Rate of Protection

Until the early 1960's, the official rate of the tariff was intended to discourage the import of final products and to promote domestic production in the protected industry. The rate of tariff ad valorem on the import of final product was called the nominal rate of tariff. A ten percent tariff on a finished imported good was supposed to have a ten percent protection to the domestically produced import substitute. Higher the rate of nominal tariff, it was assured, higher would be the degree of protection and vice-versa. In other words, the nominal rate of the tariff was used to be regarded as a measure of the degree of protection. But the writers like B. Balassa, W. Corden, and H.G. Johnson suggest that the nominal rate of the tariff was not the appropriate measure of the degree of protection. According to them, the concept of the nominal rate of the tariff had a serious flaw in that it considered only the effect of the tariff on the final imported product. It did not recognize the structure of duties applied to the imported raw materials and intermediate goods required in the processing of the import substitutes. A country, many often, imports a raw material either duty-free or imposes a very low tariff rate on the imports of inputs than on the import of final commodity. Such a policy is adopted for encouraging domestic production and expansion of employment. For instance, a country may import cotton duty-free but impose a stiff rate of tariff on the import of cloth. Such a structure of import tariff brings about a relatively larger increase in the domestic value-added. The domestic value-added equals the price of the final commodity minus the cost of the imported inputs going into the production of the commodity. When no or lower tariffs are applied on imported inputs than on the final imported product, the rate of protection, called the effective rate of protection, exceeds the nominal tariff rate. So, under the usual assumptions of international immobility of labour and capital, the effective rate of duty will indicate the degree of protection of the value-added in the manufacturing process. The nominal tariff rate can be expressed through the following formula:

$$H = (P' - P) / P$$

Where H is the nominal tariff rate. P is the world price in the absence of tariff and P' is the domestic price of the final commodity including the tariff. The effective rate of protection, on the other hand, is measured by the following expression:

$$G = \frac{V' - V}{V}$$

Where G is the effective rate of protection. V is the domestic value-added under free trade and V' is the value-added after duty is imposed. Hence the effective rate of protection is real measure of protection then nominal rate of protection.

Check Your Progress- II

Q1. Define optimum rate of tariff.

Ans-----

Q2. How optimum tariff depend on elasticity of demand by foreign country.

Ans-----

Q3. How effective rate of protection is different from nominal rate of tariff?

Ans-----

4.7 Non-Tariff Barriers

Under commercial policy or trade policy apart from tariff a country also can protect the home country's import substitution industry and can resolve the problem of balance of payment deficit by fixing import quota and other non-tariff barriers. Import quota means to fix the quantity of imports.

1. **Import Quotas:** The import quota means the physical limitation of the quantities of different products to be imported from foreign countries within a specified period, usually one year. The import quota may be fixed either in terms of quantity or the value of the product. For instance, the government may specify that 60,000 colour T.V. sets may be imported from Japan. Alternatively, it may specify that T.V. sets the value of Rs. 50 crores can be imported from that country during a given year.

Types of Quotas:

There are different kinds of import quotas a country can fix which are as follows:

- a) **Tariff or Custom Quota:** In the case of tariff or custom quota, a certain specified quantity of a commodity is allowed to be imported by the government of the importing country either duty-free or at a low rate of import duty. The imports over this specified quantity are subject to a relatively higher rate of tariff.
 - b) **Unilateral Quota:** Under the system of unilateral quota, a country places an absolute limit upon the quantity of a commodity to be imported during a specified period. This limit is fixed without any prior negotiation or agreement with the foreign countries. The unilateral quota can be broadly of two types - (a) global quota and (b) allocated quota. In the case of global quota, the entire quantity to be imported may be obtained from anyone or more countries during the specified period. Under the allocated quota system, the total quantity of import quota is allocated or distributed among the different exporting countries based on certain criteria.
 - c) **Bilateral Quota:** In the case of the bilateral quota system, the import quota is fixed after negotiations between the importing and exporting countries. Haberler has called the bilateral quotas as agreed quotas.
 - d) **Mixing Quota:** Under this system, which is also known as indirect quota, the domestic producers in the quota-fixing country are required to make use of domestic raw materials along with the imported raw material in a specified proportion.
- 2. **Voluntary Export Restraints:** When an exporting country is voluntarily ready to restrict its exports to foreign countries due to threats from importing countries to put more stiff trade restrictions like tariffs and other barriers.
 - 3. **Technical, Administrative and Other Regulation:** Numerous barriers are there like custom restrictions on bringing certain products either on the ground that they constitute a health hazard or they do not meet the safety and health regulation in the country. In addition to this, there are regulations concerning labelling, packaging, custom formalities and endless columns to be filled in several forms by the one who is importing goods. All these are hidden trade barriers.
 - 4. **Export Subsidies:** An important instrument to influence international trade is export subsidies. The export subsidies are direct cash payments or the grant of tax relief to nations' exporters. However international agreements do not allow export subsidies however still many nations resort to this measure to promote their exports.

- 5. Dumping:** Dumping is an unfair method of promoting export through selling products at low prices in international markets compared to a higher domestic price for the same products. This is also called international price discrimination. Many countries resort to anti-dumping measures to reduce the impact of dumping on their domestic production.

All these measures besides many others constitute the so-called hidden non-tariff obstacles to international trade. These are man-made barriers and presently almost half of the world trade is subject to non-tariff barriers.

Check Your Progress- III

Q1. How non-tariff barriers different from tariff barriers?

Ans-----

Q2. Define Quota.

Ans-----

Q3. What are Anti-Dumping Measures?

Ans-----

4.8 Summary

In brief, we can say that tariff is a vital concept of international trade and plays important role in improving terms of trade, and even we can improve our balance of payment deficit through commercial policy or trade policy. Government adopts such trade policy that is beneficial for improving our balance of payment; it can be done through adopting the appropriate rate of Tariff. The concept of an optimum rate of tariff is also very important as it increases the welfare of the countries that are engaged in the trading process. We have seen the effect of tariffs from a microeconomic perspective. Further there are various types of non-tariff barriers exist through which countries can restrict their trade and protect domestic market from foreign competition.

4.9 Questions for Practice

A. Short Answer Type Questions

- Q1. Define tariff?
- Q2. Types of tariffs based on the criterion of imposition?
- Q3. What is the formula of the optimum tariff?
- Q4. Explain various types of Non-Tariff Barriers.
- Q5. What is the meaning of an effective rate of protection?
- Q6. What do you mean by foreign retaliation?
- Q7. What is a countervailing tariff?
- Q8. Define Quota.
- Q9. What is Dumping?

B. Long Answer Type Questions

- Q1. What is the meaning of tariff? What is the effect of tariff in the context of commercial policy in a small country as well as in a large country?
- Q2. What do you understand by the optimum rate of tariff and how it is determined?
- Q3. Discuss the importance of tariffs and also define an effective rate of protection?

4.10 Suggested Readings

- Paul Krugman, Maurice Obstfeld, and Marc Melitz, International Economics: Theory And Policy, Addison-Wesley (Pearson Education Indian Edition), 9th edition, 2012.
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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER –IV

COURSE: INTERNATIONAL ECONOMICS

UNIT 5: ECONOMIC INTEGRATION THEORY OF CUSTOM UNION

STRUCTURE

5.0 Learning Objectives

5.1 Introduction

5.2 Meaning and Types of Economic Integration

5.3 Partial Equilibrium Analysis of Custom Union

5.4 General Equilibrium Analysis of Custom Union

5.5 Factor affecting Success of a Custom Union

5.6 Some Famous Examples of Custom Union

5.7 Summary

5.8 Questions for Practice

5.9 Suggested Readings

5.0 Learning Objectives

After reading the unit, learner will be able to:

- Understand the meaning and types of economic integration
- Know about trade creation and trade diversion
- Explain theory of custom union
- Describe static and dynamic effects of custom union
- Evaluate the factors affecting the success of custom union

5.1 Introduction

When a group of two countries or more countries form an association or a union and the member countries agree to eliminate the tariff on imports from each other but not on imports coming from

the rest of the world. Hence a custom union reintroduces free trade among member nations but imposes a common external tariff against non-member countries of the world. According to R.G. Lipsey, “*Customs Union is that branch of tariff theory that deals with the effects of geographically discriminatory changes in trade barriers.*” The theory of custom union is not concerned with Pareto optimal conditions it represents suboptimal trade situations hence it is a case of the theory of the second-best. Pareto optimality can be achieved only in the case of free trade. A tariff creates conditions of Pareto non-optimality and therefore they result in welfare loss. The custom Union is a halfway house between the policy of free trade at one extreme and the policy of tariff protection at the other extreme. In this sense, custom union is a theory of second best. Custom Union Theory is pioneered by Jacob Viner (1950). J.E.Meade (1955) R.G. Lipsey (1957) Harry Johnson (1962) Jaroslav Vanek (1965) Cooper and Massell (1965) Murry Kemp (1969) and many others.

5.2 Meaning and Types of Economic Integration

A custom union is a form of economic integration which has become part of the vocabulary of Economics in the mid-1950s. In the words of Salvatore, “*Economic integration is the commercial policy of discriminatively reducing or eliminating trade barriers only among the nations joining together.*” Further, Carbaugh defined that, “*Economic integration is a process of eliminating restrictions on international trade, payments, and factor mobility. Economic integration thus results into the unitary of two or more national economies in a regional arrangement.*” The purpose of a custom union is to give special or preferential treatment to imports from partner countries/ member countries and discriminatory treatment to non-member countries. In the words of H.G.Mannur, a custom union reintroduces free trade among the member nations but introduces a common external tariff against the non-member countries of the world. Besides customs union, there are other types of economic integration and there are different degrees of economic integration. Based on degree of integration the type of preferential agreements are given as below:

- 1) Preferential trade Union or Area:** It is the loosest form of the trade agreement between two or more countries. The member countries reduce tariffs and give concessions to import from the member country. However, they maintain their individual tariff policy against the outside world.
- 2) Free Trade Union:** When two or more countries come in the trade agreement that they abolish all tariff duties on their mutual trade in all goods and services but retain their individual tariffs

against non-member countries or the rest of the world. Example: South Asian Free Trade Agreement (SAFTA).

- 3) **Custom Union:** It is a more formal form of economic integration. Under custom union member countries abolish all tariffs and non-tariff barriers on trade among themselves. However, for rest of the world, they adopt a common external tariff policy. Example BENELUX (Belgium, Netherland and Luxemburg).
- 4) **Common Market:** A common market is formed in which all trade barriers are removed between member countries, a common trade policy is adopted for non-members means countries form a custom union and in addition allows free movement of all factors of production among themselves. Example: European common Market in 1992.
- 5) **Economic Union:** It is the highest and most comprehensive form of economic integration as it includes all features of the common market and in addition unification of monetary, fiscal, exchange rate, industrial, and taxation policies of member countries. The economic union also harmonizes economic institutions like the establishment of a common currency system and banking system. Example: European Union.

It is clear from the above discussion that economic integration starts with a lower-level integration in form of the preferential trade agreement and goes to its highest form of economic union.

Check Your Progress-I

Q1. What do you mean by economic integration?

Ans: -----

Q2. Which are the lowest and highest forms of economic integration?

Ans: -----

5.3 Partial Equilibrium Analysis of Custom Union

Jacob Viner is the pioneer in the theory of custom union before the publication of his book, *The Custom Union Issues* it was commonly believed that the formation of custom union leads to a higher welfare level. Jacob Viner showed that the formation of the custom union can have both

positive and negative effects on the welfare of the member countries. He explained the welfare effects of custom union through two key concepts- Trade creation and Trade diversion. Let us first explain the concepts of trade creation and trade diversion.

Table-1 Trade Creation

Country	Production Cost (Rs per Unit)	X imposes 100% Uniform duty (Rs per unit)	X removes duty on imports from Y but not from Z (Rs per unit)
X Home Country	100	100	100
Y Partner Country	80	160	80
Z Rest of the World	60	120	120

The table-1 gives an example of three countries, X is the home country, Y is custom union partner country and Z is a non-member of the custom union country or the rest of the world. The first column shows the production cost per unit of a particular commodity Smartphone where the cost of producing one unit is highest in the home country and Z is the most efficient country because it produces one unit Smartphone with 60 Rs. Now home country X imposes a 100 percent tariff rate on both nations. X will not trade with any country as the cost of producing product domestically is lower than both Y and Z after imposition of tariff, hence no trade takes place and X produce good domestically only. Now X forms a customs union with Y country and removes tariff from the products of Y country but maintained the same tariff on Z country. Now the cost of importing one unit from Y country is less than producing the good domestically. Now trade takes place and this is called the trade creation effect according to Jacob Viner.

Table-2 is an example of trade diversion, the cost of production is the same as in table-1, and the only difference is that that now country X is imposing a 50 percent tariff rate on Y and Z countries. After the imposition of the tariff, the cost of importing from the rest of world Z is the least hence X import Smartphone from nation Z before the formation of custom union. Now suppose X country

form a custom union with nation Y and eliminate all tariffs from imports from Y country but maintain 50 percent tariff on country Z.

Table-2 Trade Diversion

Country	Production Cost (Rs per Unit)	X imposes 50% Uniform duty (Rs per unit)	X removes duty on imports from Y but not from Z (Rs per unit)
X Home Country	100	100	100
Y Partner Country	80	120	80
Z Rest of the World	60	90	90

Now cost of importing goods from Y is less as compared to Z rest of the world and X start importing from Y. Hence X diverted its trade from the most efficient producer Z nation to a high-cost country Y. This diversion of trade from low-cost country to high-cost country is called the trade diversion effect according to Jacob Viner. Here the formation of custom union creates welfare loss. The two effects will decide that custom union is increasing or decreasing the welfare of a nation.

1. Static Effects of Custom Union

Economic integration implies discrimination between member and non-member countries. Hence it is appropriate to see it through benefits percolated to individual member countries. Before the publication of the book "Custom Union Issues" in 1950 by Jacob Viner, it is generally argued that the formation of custom union will lead to an increase in economic welfare as some trade is better than no trade as we already discussed. But Jacob Viner showed that it is not always necessary that formation of custom union always improved welfare it can also worsen it depending upon the power of trade creation and trade diversion effects. Let us see the partial equilibrium effect of the formation of custom union through the following figure:

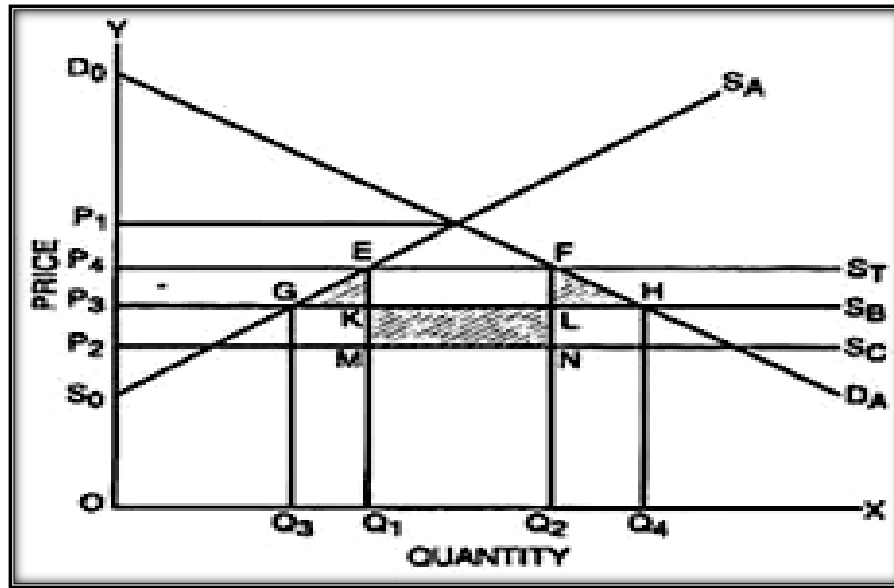


Figure 1: Trade Creation and Trade Diversion Effects

Pre- Custom Union Equilibrium

In figure 1 S_C line shows the perfectly elastic supply of C nation at P_2 price which is lowest, S_B is supply curve of B nation at P_3 price and domestic price of home country A is P_1 . P_4 is the price of the product of C nation after imposition of tariff which is equal to P_2 plus $P_2 P_1$ tariff duty imposed by home country on products of C country. Before the formation of custom union A trade with C at P_4 price because after imposition of tariff on B the price of the product of B nation P_3 plus tariff duty is higher than domestic price P_1 . Here C is the most efficient producer and A trades with C before the formation of custom union at P_4 tariff-ridden price. At P_4 price country produce OQ_1 quantity domestically and Import $Q_1 Q_2$ quantity from C nation. Consumer surplus is $D_0 F P_4$, Government revenue is $E F N M$, Producer surplus is $S_0 E P_4$. This is the situation of country A after imposition of the tariff as compared to free trade position at P_2 .

Post-Custom Union Equilibrium

After the formation of the custom union, Country A forms a custom union with country B and maintains its commercial policy with C as earlier. Now after the elimination of tariff, B nation can supply at P_3 price to A nation and A will start importing the particular product from B nation instead of C. Now C nation is eliminated from trade scene as its tariff-ridden price P_4 is higher than duty-free price P_3 of member nation B. After the formation of the custom union of A and B following are the effects.

- a) **Price Effect:** A nation is buying the product at a lower price P_3 as compared to pre-custom union price P_4 .
- b) **Consumption Effect:** Country A's consumption increase from OQ_2 to OQ_4 . The increased consumption in the country A is supplemented with increased imports by $Q_3Q_1 + Q_2Q_4$ which are equal to $Q_3Q_4 - Q_1Q_2$. In this Q_2Q_4 imports are increase as a result of increase in consumption at lower price for consumers hence it is called the trade creation effect due to consumption effect.
- c) **Production Effect:** The home country's domestic production is decreased from OQ_1 to OQ_3 . This will increase imports quantity Q_3Q_1 equal to a decrease in domestic production GK amount. This is the trade creation effect due to the formation of the custom union.
- d) **Welfare Effect:** There are both welfare increasing and decreasing effects. Welfare increasing effects are in terms of production and consumption effects or trade creation effects. Due to the production effect, there is an increase in imports and which will lead to a rise in consumer surplus equal to shaded triangle GEK. This is an addition to consumer surplus due to the trade creation effect of production effect. Further consumption of domestic country increase which also leads to increase in imports by Q_2Q_4 , this is also trade creation effect due to increase in consumption. It also leads to a rise in consumer surplus equal to shaded triangle FLH. The total increasing welfare effect is equal to the sum of two triangles GEK and FLH which is the rise in consumer surplus as a result of trade creation generated by the production and consumption effect.

Further, there is also a welfare reduction effect after the formation of custom union due to the trade diversion effect. Before the formation of custom union, A nation imports goods from the most efficient nation C who has the least cost of production. However, after the formation of the custom union, A diverted its trade from most efficient partner C to less efficient partner B. A was importing Q_1Q_2 from C nation but after the formation of custom union A import this amount of product from B instead of C. Here we only consider quantity Q_1Q_2 of imports which are diverted from C to B nation. For this Q_1Q_2 quantity, EFQ_1Q_2 is the total amount which consumers of nation A paid-for product of C, out of which $EFNM$ went to the country's government in terms of tariff revenue, Only MNQ_1Q_2 is paid to exporters from country C. $EFNM$ is not considered as the part of the cost of buying Q_1Q_2 quantity as it is transferred within the country only, from consumers to the

government. The actual cost of buying Q_1Q_2 quantity from C nation is MNQ_1Q_2 amount. Whereas after the formation of the custom union, for the same quantity of imports country A's consumers pay KLQ_1Q_2 to the exporters of country B which is more than the payment MNQ_1Q_2 paid to country C. The increased external payments are equal to shaded rectangle $KLNM$. This is welfare loss due to the trade diversion effect. Hence welfare loss due to trade diversion is equal to shaded triangle $KLNM$.

The net welfare effect is difference between the welfare increasing trade creation effect and the welfare reducing trade diversion effect. In diagram-1 the difference between the sum of two triangles (GEK plus FLH) and rectangle $KLNM$ show the net welfare effect for nation A. If $GEK+FLH$ is greater than $KLNM$, there is a net increase in the welfare of country A, If $GEK+FLH$ is less than $KLNM$, there is a net decrease in the welfare of country A and If $GEK+FLH$ is equal to $KLNM$, there is no change in the welfare of country A. Hence welfare effects of custom union depend upon the comparative strength of trade creation and trade diversion effects. So it is clear that the formation of custom union does not always increase the welfare of the nation.

2. Dynamic Effects of Custom Union

- a) **Economies of Scale:** As the size of the market increase the firms of countries start enjoying economies of scale. The formation of the custom union gives an economy opportunity to increase the scale of production after the extension of the market and large markets allow firms to realize economies of scale. Hence due to expansion of the market, increased competition and specialization create external and internal economies to scale.
- b) **Enlarged Competition:** This is the most significant dynamic effect of custom union is enlarged competition. After the formation of custom union firms are exposed to the competition of rival firms in member countries. Now it is compulsory for firms to become cost-efficient if they want to survive in the enlarged market of the custom union.
- c) **Expanded Domestic and Foreign Investment:** Large markets and competition give stimulus to new investment. First domestic investment expands as demand for new equipment and plants arise. Foreign investment also increases in the custom union because the non-member countries want to evade tariff duties by setting their plants and factories in the custom union territory. Hence the formation of custom union leads to the expansion of domestic and foreign investment.

- d) **Employment and Economic Welfare:** The formation of a common market allows free movement of factors of productions as labour, capital and enterprise are freely mobile within the territories of member countries. This result in improved employment scenario and optimal utilization of resources and ultimately higher economic welfare for member countries.
- e) **Economic Growth:** High competition and large size of the market, factor mobility leads to efficient utilization of resources, specialization, and economies of scale. There is technological advancement also and all these factors improve the economic growth scenario of member countries. All member nations will be able to achieve a higher level of economic growth.
- f) **Technical Advancement:** After the formation of the custom union, market expansion, competition enlarged, and zeal to achieve high factor productivity make the firms innovate, learn and adopt more advanced technology, managerial and scientific skills. There is a strong stimulus to adopt the new methods of production to improve the qualities of products.

5.4 General Equilibrium Analysis of Custom Union

Jacob Viner's partial equilibrium analysis gives us a basic understanding of the effects of custom union, for a more advanced understanding of custom union effects general equilibrium analysis is more useful. The most appropriate models for this understanding are Lipsey model.

The Lipsey Model

Jacob Viner asserted that trade diversion leads to welfare reductions, however, J.E. Meade and R.G. Lipsey have argued that Viner's conclusion is valid only if we assume the goods are consumed in the same fixed proportion regardless of the change in the structure of prices and substitution effect is absent. On the supply side, Lipsey assumes that supply is perfectly elastic, and there are constant returns to scale apply to production. There are two goods X and Y. There are three countries, A is home country, B is custom union partner country and C is rest of the world. The following diagram shows the general equilibrium analysis when goods are consumed in a fixed proportion. The figure 2 country A produces at D point which shows complete specialization in commodity X and exchanges this commodity with commodity Y at AC terms of trade and these are the best available term of trade to nation A. OR line shows that goods are consumed in a fixed proportion. A produces at D and consumes at G point. Now A forms a custom union with B nation

at DF terms of trade line available to nation A in a custom union. Now on DF terms of trade line A consumes at H point. H point is inferior to point G point in Figure 2.

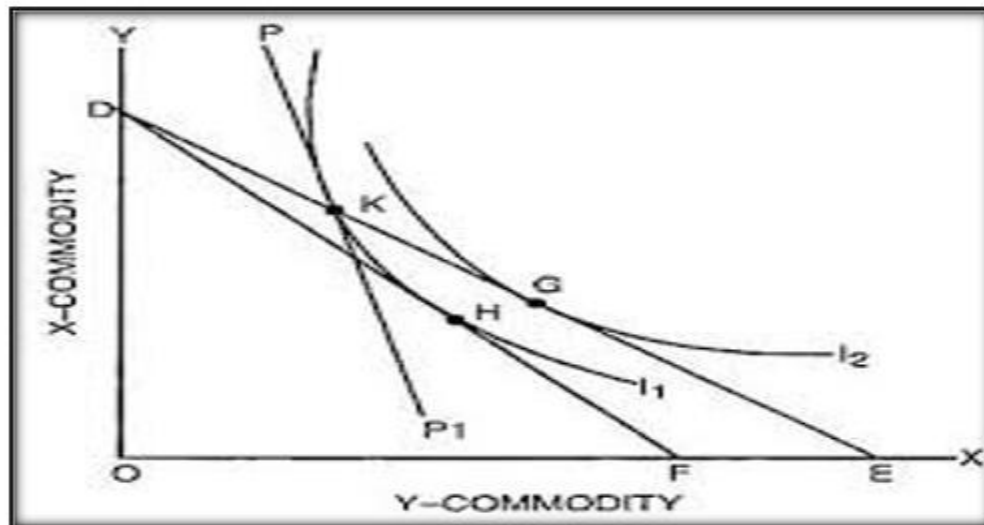


Figure: 2 Trade Diversion and Economic Welfare with Fixed Proportion of Consumption

So as trade is diverted from efficient nation C to less efficient nation B the economic welfare is the decline in terms of low consumption level. So here Vinor argument is true if consumption is taking place in fixed proportion then trade diversion leads to welfare loss for the home country. But Vinor argument ignored the fact that in reality the goods are not consumed in fixed proportion as price changes the substitution effect take place . If we drop the assumption of fixed proportion consumption, then trade diversion leads to a loss in the welfare of the nation which is shown by diagram 3.

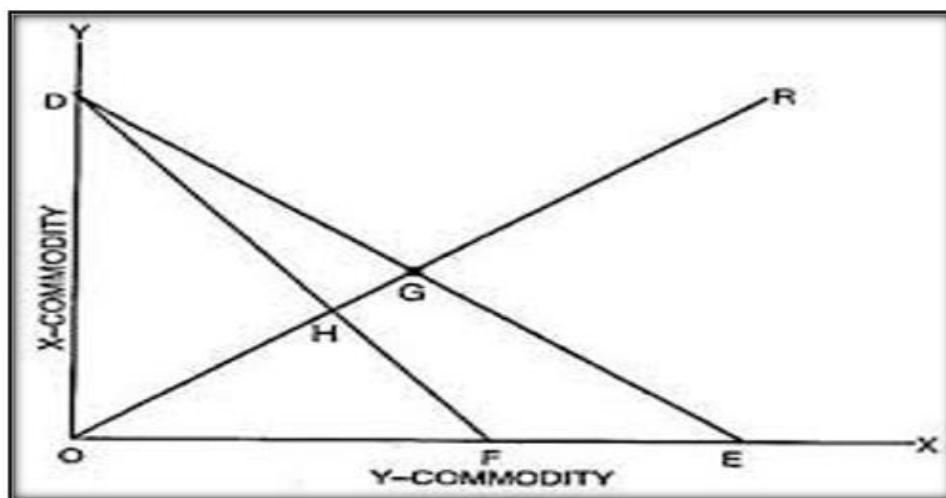


Figure 3: Trade Diversion and Economic Welfare when Consumption is not in fixed proportion

In the diagram, G point shows the consumption point of A nation in pre-custom union formation time. A nation produces at D and consumes at G point at DE terms of trade while importing Y commodity from C nation and this is free trade condition. The equilibrium condition is shown by tangency of terms of trade line DE and community indifference curve I_2 at G point. However, when country A imposes a tariff on Y commodity the terms of trade line become PP_1 line and the consumption point of A shifts from G to K. K consumption point is on a lower indifference curve I_1 . Imposition of tariff leads to a welfare loss as compared to free trade situation. The consumers in A start consuming more of X due to high tariff-ridden prices of Y commodity. Now A nation forms custom union with B nation. Here new terms of trade line are DF, after the formation of custom union A start importing Y commodity from B nation at DF terms of trade line. The consumers in A nation now start demanding more of Y commodity hence the consumption point shift from K to H which on same indifference curve I_1 . It is clear that after the formation of custom union trade diversion takes place but no welfare loss occurs to A nation as it is in equilibrium at the same indifference curve I_1 before and after the formation of custom union. Hence it can be concluded that trade diversion in the custom union does not always lead to welfare loss, it depends on cost and price structures in the economy.

Check Your Progress-II

Q1. How Trade Creation is different from Trade Diversion?

Ans: -----

Q2. How Dynamic gains from custom union are created?

Ans: -----

5.5 Factor affecting Success of a Custom Union

There are some factors which decides the success of custom union are explained as follows:

- 1) **Type of Economy:** If The custom union member countries are similar or competitive there gain from union formation more than countries that are dissimilar or complementary. Because among similar nations there is more competition to survive, innovate and produce and it increases the efficiency of nations.

- 2) **Distance or Proximity Between Member Countries:** The member countries gain more from economic integration if they are lying in the same region and proximity. Because high distance creates high transportation costs and reduces gains from mutual trade.
- 3) **Size of Custom Union:** The greater number of member countries creates more gain from trade among member countries. Because more countries create more options for trade in various commodities at low cost and situation goes near to free trade condition. Hence as the number of member countries increases, there is more increase in gain from international trade.
- 4) **Tariff Barriers:** If before the formation of custom union tariff barriers are high on mutual trade between member countries then countries benefit more after the formation of custom union.
- 5) **Quantum of Trade** The size of trade between member countries determines their gains from trade. If the extent of trade is high and a large number of goods and services are exchanged between nations then there will be more benefits from international trade.
- 6) **Political Stability in Member Countries:** These are some non-economic factors like social and economic stability in member countries is a requirement. For example, SAFTA's success is affected by political situations in some south Asian nations.

5.6 Some Famous Examples of Custom Union

- 1) **EUROPEAN UNION :** European Union is the most successful example of economic integration in the world. It is started as European Economic Community (EEC) formed on January 1, 1958, through the treaty of Rome signed in March 1957. Then it is renamed as European Union through Maastricht Treaty which is implemented on November 1, 1993. Presently there are 27 European countries are its member, It has a single currency Euro and a common monetary union. Its founder member the United Kingdom or Britain formally exit European Union on 31st January 2020.
- 2) **SAFTA:** South Asian Association on Regional Cooperation (SAARC) is a regional forum or union in South Asia to promote harmony and growth in the region. A major achievement of this association is an agreement to create South Asian Free Trade Agreement which come in effect on January 1, 2006. This agreement confirms that all barriers to trade between member countries will be removed by the year 2016. Under SAFTA member countries will give " Most

Favoured Nation" status to each other. Its member nations are all SAARC member nations, India Pakistan, Bangladesh, Bhutan, Maldives, Nepal, Afghanistan and Sri Lanka. How the success of this agreement is disrupted due to the volatile relationship between India and Pakistan.

- 3) **NAFTA:** The governments of Canada, Mexico, and the United States of America signed a free trade agreement in August 1992 which is called North American Free Trade Agreement. NAFTA has achieved substantial trade liberalization but now this agreement is replaced with a new agreement called United States-Mexico-Canada Agreement (USMCA) and all three countries ratified it in March 2020. USMCA comes into effect from July 1, 2020, replacing NAFTA.

5.7 Summary

The major objective of the custom union is to give special treatment to imports from member countries and biased or discriminatory treatment to imports from the rest of the world. There are various levels of economic integration and the degree of economic integration increases with each succeeding stage like Preferential trade agreement (PTA) is the lowest level of economic integration, next to it in the sequence is Free trade Area (FTA), Customs Union (CU), Common Market (CM) and Economic Union (EU) respectively. The basic components of the theory of custom union are trade creation and trade diversion. Trade creation tends to improve welfare whereas trade diversion tends to lower welfare. Further competitive nations gain more than complimentary nations due to economic integration. High-cost differentials between member countries create higher trade creation gains. If the initial pre-union tariff is high between members, then there is a greater scope of welfare increase. The union could lead to the realization of dynamic gains arising out of economies of scale, market interventions enforced competition, and expanded domestic and foreign investment increased income employment, and economic welfare in the economy. The most successful examples of the custom union are European Union (EU), the South Asian Free Trade Agreement (SAFTA), North American Free Trade Agreement (NAFTA).

5.8 Questions for Practice

A. Short Answer Type Questions

Q1. Explain Define Custom Union.

- Q2. Explain post custom union equilibrium.
- Q3. Give the examples of custom union
- Q4. What is Trade Creation and Trade Diversion?
- Q5. What is the highest form of economic integration?
- Q6. What is NAFTA?
- Q7. What is SAFTA?

B. Long Answer Type Questions

- Q1. What is the meaning of Economic Integration? Explain partial equilibrium analysis of custom union.
- Q2. Explain various types of Economic Integration.
- Q3. Explain General Equilibrium Analysis of Custom union.
- Q4. What are the factors which determine the success of a custom union?

5.9 Suggested Readings

- Paul Krugman, Maurice Obstfeld, and Marc Melitz, International Economics: Theory and Policy, Addison-Wesley (Pearson Education Indian Edition), 9th edition, 2012.
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- Kindleberger, C.P. (1973), International Economics, R.D. Irwin, Homewood.
- Rana & Verma, International Economics, Vishal Publishing Co.
- Sodersten B., Reed G. (SR) International Economics, 3rd edition. Macmillan, 1994.
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BACHELOR OF ARTS (LIBERAL ARTS)
SEMESTER-IV
COURSE: INTERNATIONAL ECONOMICS

UNIT 6: BALANCE OF PAYMENTS AND EXCHANGE RATE

STRUCTURE

6.0 Learning Objectives

6.1 Introduction

6.2 Balance of Payments: Meaning

6.3 Structure of Balance of Payments Accounts

6.4 Distinction between Balance of Trade and Balance of Payments

6.5 Adjustment Process in Balance of Payments

6.6 Foreign Trade Multiplier

6.7 Exchange Rate System

6.7.1 Fixed Exchange Rate its Merits and Demerits

6.7.2 Flexible Exchange Rate its Merits and Demerits

6.8 Summary

6.9 Questions for Practices

6.10 Suggested Readings

6.0 Learning Objectives

After reading this unit, you should be able to:

1. Understand the meaning of balance of payments
2. Distinguish between capital account and current account of balance of payments
3. Know the adjustment process of balance of payments
4. Describe the foreign trade multiplier
5. Distinguish between fixed and flexible exchange rate system and their merits and demerits

6.1 Introduction

In this unit, we will study the balance of payments problem and the types of foreign exchange rate. We often hear those developing nations have negative balances of payments and, as a result, have persistent foreign exchange deficits. Countries have been compelled to resort to corrective measures such as currency devaluations, tariffs, exchange controls, and contractionary monetary and fiscal policies as a result of persistent balance of payments imbalances. It is important to mention here that the so-called developed countries have not been an exception to this trend. Import substitution and export promotion policies to attain external balance have resulted in severe growth and trade issues for the world's economies. Besides this, we will also study the fixed and flexible rates of exchange and their merits and demerits.

6.2 Balance of Payments: Meaning

The balance of payments of a country is a systematic record of all its economic transactions with the outside world in a given year. It is a statistical record of the character and dimensions of the country's economic relationships with the rest of the world.

According to Harvey and Johnson, *“the balance of payments accounts for a country set out, in summary form, all the current and capital transactions which have taken place between the residents of that country and the rest of the world in a given period of time”*.

According to Bo Sodersten, *"The balance of payments is merely a way of listing receipts and payments in international transactions for a country."*

B. J. Cohen says, *"It shows the country's trading position, changes in its net position as foreign lender or borrower, and changes in its official reserve holding."*

6.3 Structure of Balance of Payments Accounts

A country's balance of payments account is built on the idea of double-entry bookkeeping. Each transaction is recorded on the balance sheet's credit and debit sides. However, there is one way in which balance of payments accounting varies from commercial accounting. Debits (-) appear on the left side of the balance sheet, whereas credits (+) appear on the right side. In balance of payments accounting, however, credits appear on the left side of the balance sheet and debits appear on the right.

A credit transaction occurs when a payment is received from a foreign nation, whereas a debit transaction occurs when a payment is made to a foreign country. Exports of goods and services, transfer receipts from foreigners in the form of gifts, grants, and other similar items, borrowings from abroad, foreigner investments in the country, and official sales of reserve assets such as gold to foreign countries and international agencies are the main items shown on the credit side (+). Imports of goods and services, transfer payments to foreigners in the form of gifts, grants, and other similar items, lending to foreign countries, investments by residents in foreign countries, and official purchases of reserve assets or gold from foreign countries and international agencies are the main items on the debit side (-). As a result, these credit and debit items are presented vertically in a country's balance of payments account, according to the idea of double-entry bookkeeping.

The balance of payments has three accounts, the current account, the capital account and the official settlements account.

1. Current Account

All transactions pertaining to trade in commodities and services, as well as unilateral transfers, are included in a country's current account. Travel and transportation charges, insurance, foreign investment income and payments, and other service transactions are all examples of service transactions. Gifts, foreign aid, pensions, private remittances, and charity donations are examples of transfer payments made to foreigners by foreign individuals and governments.

The most important items in the current account of the balance of payments are merchandise exports and imports. Exports are reported as a positive item and are computed f.o.b. (free on board), meaning that shipping, insurance, and other costs are not included. Imports, on the other hand, are presented as a negative item and are computed c.i.f., which implies they include all costs, insurance, and freight. A country's visible trade balance, often known as merchandise trade or simply balance of trade, is the difference between its exports and imports. The balance of trade is favourable when visible exports exceed visible imports. Imports exceeding exports, on the other hand, is unfavourable.

Exports of products and services, as well as receipts of transfer payments, are recorded as credits (+) in the current account since they reflect revenues from foreigners. Imports of products and services, as well as issuance of transfer payments to foreigners, are recorded as debits (-), since

they are payments to foreigners. The current account balance is the sum of these visible and invisible trade balances.

2. Capital Account

A country's capital account is made up of its financial asset transactions, which include short- and long-term lending and borrowing, as well as private and public investments. In simple words, the capital account illustrates the movement of loans and investments across international borders and indicates a change in a country's external assets and liabilities. Long-term capital transactions are international capital movements with a one-year or longer duration, such as direct investments such as the construction of a foreign factory, portfolio investments such as the purchase of foreign bonds and stocks, and international loans. Short-term international capital transactions, on the other hand, are for duration of three months to less than a year.

In the capital account, there are two types of transactions: private and government. Direct, portfolio, and short-term investments are all included in private transactions. Government transactions consist of loans to and from foreign official agencies.

Borrowings from other nations and foreign direct investment reflect capital inflows in the capital account. Because these are receipts from foreigners, they are positive goods or credits. Capital outflows, on the other hand, are represented by lending to foreign nations and direct investments in other countries. Because they are payments to foreigners, they are negative items or debits.

The capital account balance is the net value of short-term and long-term direct and portfolio investment balances.

3. The Official Settlements Account

The capital account includes the official settlements account, often known as the official reserve assets account. It is important to mention here that the balance of payment accounts in the United Kingdom and the United States show it as a distinct account. "The official settlements account measures changes in a country's liquidity and non-liquid liabilities to foreign official holders, as well as changes in its official reserve assets over the course of a year."

A country's official reserve assets comprise its gold stock, convertible foreign currency and SDR holdings, and its net IMF position." It illustrates how a country's net official reserve assets have changed over time.

Errors and omissions is a balancing item that ensures that the total credits and debits of the three accounts are equal in line with double entry bookkeeping rules, ensuring that a country's balance of payments is always balanced in the accounting sense.

The current account is used to pay for goods and services that have been produced currently; it also contains interest earned or paid on claims, as well as gifts and donations. On the other hand, capital account is concerned with the payment of obligations and claims. The current account of the balance of payments has a direct impact on national income. The capital account, on the other hand, has no direct impact on revenue; instead, it impacts the amount of assets held by a country.

6.4 Distinction between Balance of Trade and Balance of Payments

Balance of trade and balance of payments are two related terms but they should be carefully distinguished from each other because they do not have exactly the same meaning.

Balance of trade refers to the difference in value of imports and exports of commodities only, i.e., visible items only. The movement of goods between countries is known as visible trade because the movement is open and can be verified by the customs officials. Balance of payments is more comprehensive in scope than balance of trade. It includes not only imports and exports of goods which are visible items but also such invisible items as shipping, banking, insurance, tourism, interest on investments, gifts etc. In this way, the balance of payments includes both the visible and invisible items. The balance of trade is only a part of the balance of payments.

Equilibrium in Balance of payments

Balance of payments always balances means that the algebraic sum of the net credit and debit balances of current account, capital account and official settlements account must equal to zero.

Balance of payments is written as

$$B = R_f - P_f$$

Here,

B represents balance of payments, R receipts from foreigners, P payments made to foreigners.

When $B = R_f - P_f = 0$, the balance of payments is in equilibrium.

When $R - P > 0$, it implies receipts from foreigners exceed payments made to foreigners and there is surplus in the balance of payments.

On the other hand, when $R_f - P_f < 0$ or $R_f < P$ there is deficit in the balance of payments as the payments made to foreigners exceed receipts from foreigners.

If net foreign lending and investment abroad are taken, a flexible exchange rate creates an excess of exports over imports. The domestic currency depreciates in terms of other currencies. The exports become cheaper relative to imports.

Let us understand this with the help of an equation:

$$X + B = M + I$$

Here, X represents exports, M imports, I foreign investment and B foreign borrowing

$$\text{or } X - M = I - B$$

$$\text{or } (X - M) - I - (-B) = 0$$

The above equation shows that the balance of payments is in equilibrium. Any positive balance in its current account is exactly offset by negative balance on its capital account and vice versa. In the accounting sense, the balance of payments is always balanced. This can be shown with the help of the following equation:

$$C + S + T = C + I + G + (X - M)$$

or

$$Y - C + I + G + (X - M) [Y = C + S + T]$$

Here, C represents consumption expenditure, S domestic saving, T tax receipts/investment expenditures, G government expenditures, X exports of goods and services and M imports of goods and services.

In the above equation $C + S + T + GNI$ or national income (K) and $C + I + G = A$, where A is called 'absorption'.

In the accounting sense, total domestic expenditures ($C + I + G$) must equal current income ($C + S + T$), that is $A = Y$. Moreover, domestic savings (S_d) must equal domestic investment (I_d). Similarly, an export surplus on the current account ($X > M$) must be offset by an excess of domestic savings over investment ($S_d > I_d$). According to the basic concept of accounting, the balance of payments always balances in the accounting sense. The inflow and outflow of a transaction are recorded on the credit and debit sides of the accounting system, respectively. As a result, the credit

and debit sides are always equal. If the current account is in deficit, it is compensated for by a corresponding surplus in the capital account, which is achieved via borrowing from overseas or withdrawals from gold and foreign exchange reserves, and vice versa. As a result, the balance of payments is always balanced in this regard.

Disequilibrium in Balance of Payments

Disequilibrium in the BOP of a country may be either a deficit or a surplus. When a country's autonomous receipts (credits) do not match its autonomous payments, the country's BOP shows a deficit or surplus (debits). There is a surplus in the BOP if autonomous credit receipts exceed autonomous debit payments, and the disequilibrium is considered to be favourable. A deficit or surplus in BOP of a country appears when its autonomous receipts (credits) do not match its autonomous payments (debits). If autonomous credit receipts exceed autonomous debit payments, there is a surplus in the BOP and the disequilibrium is said to be favourable. On the other hand, if autonomous debit payments exceed autonomous credit receipts, there is a deficit in the BOP and the disequilibrium is said to be unfavourable or adverse.

Check Your Progress I

Q1. Define balance of payments.

Ans. -----

Q2. What do you mean by capital account?

Ans. -----

6.5 Adjustment Process in Balance of Payments

When the expenditure is greater than income it leads to deficit in the balance of payments. To solve this problem, there is a need to equalize the two. The policies such as expenditure-reduction, expenditure-switching, devaluation and absorption approach are used for adjustment in the balance of payments. Let us discuss in detail the adjustment process of balance of payments.

A. Expenditure-Reduction Policies

A balance of payments deficit indicates that expenditure exceeds income. It should be corrected by bringing expenditure and income into balance. Monetary and fiscal policies are employed to

reduce expenditures. A contractionary or tight monetary policy involves lowering interest rates in order to limit the money supply, whereas a contractionary fiscal policy involves cutting government spending and/or raising taxes. As a result, expenditure reducing policies reduce aggregate demand through higher taxes and interest rates, thereby reducing expenditure and output. As a result of the decrease in expenditure and output, the domestic price level falls. This gives rise to switching of expenditure from foreign to domestic goods. Consequently, the country's imports are reduced and the balance of payments deficit is corrected.

Expenditure-Switching Policies:

The policy of shifting expenditure away from foreign-produced products and toward domestic-produced goods will result in an increase in domestic output. The payments imbalance will improve as long as the marginal propensity to spend is smaller than unity. There are two types of expenditure-switching policies that may be distinguished. One is devaluation, which tends to shift both local and international expenditures towards domestically produced items by making the country's goods relatively cheaper compared to imported goods. The other is the use of import restrictions, which tends to divert the spending of domestic consumers, towards the home-produced substitutes of foreign products. Controls may also be implemented sometimes in order to boost exports or, in other words, to persuade foreigners to shift their spending to domestic products.

B. Devaluation and Balance of Payment Adjustment

The devaluation of a currency means the deliberate lowering down of the external value of a unit of home currency expressed in terms of gold, SDR's or a foreign currency by an official edict. It is important to mention here that devaluation is different from exchange depreciation. The depreciation involves the reduction in the exchange value of home currency on account of the free working of market forces; whereas devaluation is the deliberate government decision to lower the value of currency to achieve equilibrium in the balance of payments.

Devaluation raises the domestic price of imports and reduces the foreign price of exports of a country. It is referred to as expenditure switching policy because it switches expenditure from imported to domestic goods and services. When a country devalues its currency, the price of foreign currency increases which makes imports dearer and exports cheaper. Hence, the consumer starts switching their demand to the home-produced goods and it will encourage the substitution of home-produced goods in place of foreign products. Thus, devaluation helps in improving the balance

of payments through promoting exports and restricting imports. Let us understand the process with the help of figure 6.1.

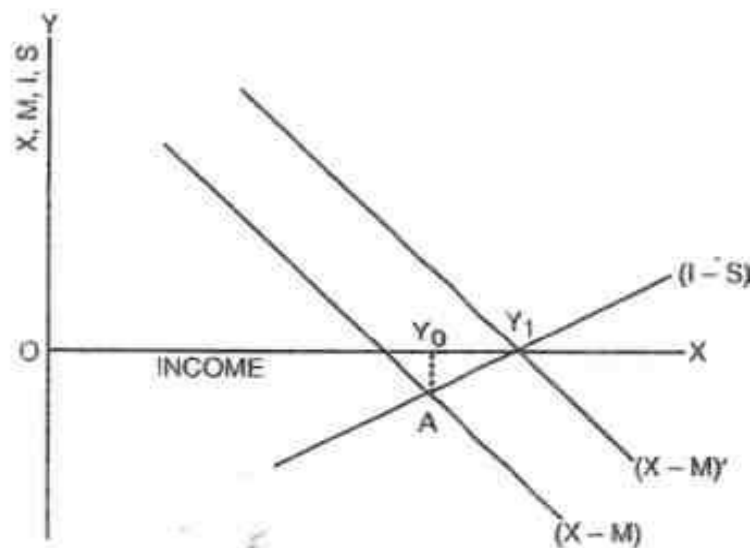


Figure 6.1

It is evident from figure 6.1 that on the X-axis, we take income and, on the Y-axis, we take exports, imports, investment and savings. The curve $(X-M)$ is the net exports or balance of payments function. It varies inversely with income. The curve $(I-S)$ is the net investment function which varies directly with the level of income. Initially given $(X-M)$ and $(I-S)$ function, the equilibrium takes place at the income Y_0 . In this equilibrium position, there is a balance of payments deficit amounting to AY_0 . The devaluation of home currency enlarges exports and reduces imports so that $(X-M)$ shifts upto $(X-M)'$. Its intersection with $(I-S)$ takes place exactly at the horizontal scale at the income Y_1 . Since no gap is left between $(X-M)$ and the horizontal scale, the BOP deficit has been completely wiped out.

It is important to mention here that the beneficial effects of devaluation are not permanent. These can be available only for a limited time period until the cost-price structure abroad and in the home country does not adjust to the new exchange parity. There are two alternative approaches to analyse the effect of devaluation upon the balance of payment situation:

- i. **Elasticity approach or Marshall-Lerner condition:** This approach is related to the price effect of devaluation. The extent by which devaluation can effect an improvement in the

payments deficit of a country depends upon the magnitude of the price elasticities of demand for and supply of imports. Marshall-Lerner condition states that when the sum of price elasticities of demand for exports and imports in absolute terms is greater than unity, devaluation will improve the country's balance of payments, i.e.,

$$e_x + e_m > 1$$

Here, e_x is the demand elasticity of exports and e_m is the demand elasticity for imports. On the other hand, if the sum of price elasticities of demand for exports and imports in absolute terms is less than unity, $e_x + e_m < 1$, devaluation will worsen the BOP. If the sum of these elasticities in absolute terms is equal to unity i.e., $e_x + e_m = 1$, devaluation has no effect on the BOP situation.

- ii. **Absorption Approach:** This approach was developed by Sydney Alexander. The absorption approach to balance of payments is general equilibrium in nature and is based on the Keynesian national income relationships. It is, therefore, also known as the Keynesian approach. It runs through the income effect of devaluation as against the price effect to the elasticity approach. This approach states that if a country has a deficit in its balance of payments, it means that people are 'absorbing' more than they produce. Domestic expenditure on consumption and investment is greater than national income. If they have a surplus in the balance of payments, they are absorbing less. Expenditure on consumption and investment is less than national income. Here the BOP is defined as the difference between national income and domestic expenditure.

C. Exchange Controls

Exchange controls try to divert domestic spending into consumption of domestically produced goods and services, while on the other, they attempt to divert domestic investment. It is said to be the most extreme method of BOP adjustment. A full-fledged exchange control system establishes complete government control over the country's foreign exchange market. Foreign currency generated through exports and other means must be turned over to the government. The available foreign exchange supply is then distributed among the various purchasers (importers) based on national needs and set priorities. The fundamental aim of exchange controls, according to the BOP, is to ration out the available supply of foreign exchange in line with national interests.

Check Your Progress II

Q1. Difference between devaluation and depreciation.

Ans. -----

Q2. Define Marshall-Lerner condition.

Ans. -----

6.6 Foreign Trade Multiplier

In an open economy, the foreign trade multiplier is an extension of Keynes' investment multiplier. The foreign trade multiplier investigates the multiple effects of net exports (X-M) on a country's national revenue. It is the coefficient that links an increase in exports to an increase in revenue.

Let us suppose that the government expenditure and investment remain unchanged; therefore, the foreign trade multiplier can be defined as a ratio of a change in income (ΔY) to a net change in exports (ΔX).

$$K = \frac{\Delta Y}{\Delta X}$$

In a four-sector system, the aggregate demand is determined as

$$Y = C + I + G + X$$

Assuming G and I to remain unchanged, the change in exports can be understood as the excess of incremental income (or output) over the incremental consumption of the domestically produced goods.

$$\Delta X = \Delta Y - \Delta C$$

$$\frac{\Delta Y}{\Delta X} = 1 - \frac{\Delta C}{\Delta Y}$$

Taking the reciprocals on both sides

$$\frac{\Delta Y}{\Delta X} = \frac{1}{1 - \frac{\Delta C}{\Delta Y}}$$

$$K_f = \frac{1}{1 - \frac{\Delta C}{\Delta Y}} = \frac{1}{1 - b}$$

As a result, we get a foreign trade or export multiplier expression that is similar to the one used in the investment multiplier. $(1-b)$ also indicates the marginal propensity to save (S/Y) and is a leakage from the income stream and the magnitude K_f is the reciprocal of it. However, 's' is not the inverse of b in the traditional sense. b is the marginal propensity to consume of the domestically produced goods. A part of the consumption goods may be imported from the foreign countries.

$$\Delta C = \Delta C_h + \Delta C_r$$

Here,

C_h is the consumption of domestically produced goods and C_r is the consumption of foreign goods or imports (M)

$$\frac{\Delta C}{\Delta Y} = \frac{\Delta C_h}{\Delta Y} + \frac{\Delta M}{\Delta Y}$$

$$b' = b + m$$

Thus, in the context of K_f , $(1 - b) = (s + m)$ and not just s as in the case of a closed two-sector model. Therefore,

$$K_f = \frac{1}{b + m} = \frac{1}{s + m}$$

If $s=0.25$ and $m = 0.15$, the foreign trade multiplier (K_f) will be equal to

$$K_f = \frac{1}{s + m} = \frac{1}{0.25 + 0.15} = \frac{1}{0.40} = 2.5$$

But the simple investment multiplier (K) in a two-sector economy will be $= \frac{1}{s} = \frac{1}{0.25} = 4$

This demonstrates that K_f has a lower strength than K. It is important to note that this disparity is due to import leakage, or the marginal propensity to import (m). The foreign trade multiplier will be less if there is more import leakage, and vice versa. The amount of industrial development, degree of self-sufficiency, relative costs of domestic versus imported goods, people's tastes and import restrictions determined whether a nation has a high or low marginal propensity to import.

In a four-sector model the equilibrium may be determined when

$$Y=C+I+G+(X-M)$$

If it is assumed that government spending (G) and exports (X) are autonomously given and C, I, G and M are the linear functions of income, the effect of a net increase in exports upon national income can be determined as below:

$$Y=C+I+G+(X-M) \quad \dots(i)$$

$$C = C_0 + bY_d$$

$$C=C_0+b(Y-T)$$

$$C=C_0 + b[Y-T] \quad \dots(ii)$$

$$I = I_0 + aY \quad \dots(iii)$$

$$G=G \quad \dots(iv)$$

$$X=X \quad \dots(v)$$

$$M = M_0 + mY \quad \dots(vi)$$

Here C_0 , I_0 , G , X and M_0 are the autonomous amounts of consumption, taxes, investment, government expenditure, exports and imports respectively. T is the fixed amount of tax, b , a , and m are the marginal propensities to consume, tax, invest and import respectively. Y_a is the disposable income which is the excess of national income (Y) over taxes (T).

Substituting (ii), (iii), (iv), (v) and (vi) in equation, (i), we have

$$Y=C_0+b[Y-T]+I_0+aY+G+X-M_0-mY$$

$$Y = C_0+bY-bT+I_0+aY+G+X-M_0-mY$$

$$Y-by-aY+mY = C_0+I_0+G+X-M_0-bT$$

$$Y[1-b-a+m] = C_0+I_0+G+X-M_0-bT$$

$$Y = \frac{1}{1-b-a+m} [C_0+I_0+G+X-M_0-bT]$$

The above equation is the multiplier equation and the magnitude of foreign trade or export multiplier (K_f) is:

$$K_f = \frac{1}{1-b-a+m}$$

If $b=0.60$, $a = 0.20$ and $m = 0.10$, the magnitude of foreign trade multiplier can be determined by substituting these values:

$$K_f \frac{1}{1-0.60-0.20+0.10} = \frac{1}{1-0.70} = \frac{1}{0.30} = \frac{10}{3} = 3.33$$

6.7 Exchange Rate System

The balance of payments and the foreign exchange rate are inextricably linked, and they are two different ways of looking at the same issue, namely a country's international receipts and payments situation. It is worth noting that not all national currencies are accepted globally for the settlement of foreign transactions. Foreign exchange is a word that refers to foreign currency that is accepted globally by all trading nations. A price must be set between the two currencies in order to convert domestic currency to foreign currency. The amount of domestic currency that must be paid per unit of foreign exchange is referred to as the foreign exchange rate. As a result, the foreign exchange rate is a price that is set by the demand for and supply of foreign exchange, just like the price of any other commodity.

6.7.1 Fixed Exchange Rate System

A pegged exchange rate is another term for a fixed exchange rate. In this case, all international transactions take place at the rate of exchange fixed by the monetary authority. The exchange rate is either fixed by the government through legislation or it comes into existence through the intervention in the foreign exchange market by the authorities. If market forces or speculator actions cause the rate of exchange to deviate from the set equilibrium level, the monetary authority or government intervenes in the foreign currency market to keep the rate of exchange at the equilibrium level. Market intervention in such a situation is called pegging, i.e., the sale or purchase of foreign exchange in the foreign exchange market. When there is an excess supply of foreign exchange, the authorities purchase it, and when there is an excess demand for it, they sell it.

Merits of Fixed Exchange Rate System

Following are the merits of fixed exchange rate system:

- 1. Promotion of International Trade:** If the exchange rates are fixed or stable, the prices of internationally traded goods become more stable and predictable. Under this system, the

exporters know in advance what they will receive in terms of the domestic currency and importers know how much they will have to pay.

2. **International Division of Labour and Specialisation:** The system not only promotes international trade but also contributes in raising productivity and absolute output through increased international division of labour and specialisation.
3. **Promotion of Economic Integration:** It is just like a common currency in which the exchange value of the currency remains unchanged in terms of the domestic currency of a particular country. Therefore, it paves the way for greater degree of economic integration among the countries.
4. **Long-term Capital Investments:** In this system, there is a little scope for uncertainty and risk. Therefore, the investors can plan long-term international investments.
5. **No Adverse Effect of Speculation:** As the exchange rate remains fixed under this exchange system, there is little scope for speculation and the consequent adverse effects.
6. **Confidence in the Strength of Currency:** This system does not involve appreciation or depreciation of currency and if the value of currency declines, there is no risk of loss due to larger holding of foreign currency. This will increase the confidence in the strength of the domestic currency.
7. **Beneficial for Trade-dependent Countries:** It is imperative that the countries which depend upon trade should have more stable exchange rates so that chronic fluctuations in the rates of exchange cannot create severe dislocations in trade and domestic production.
8. **Growth of Money and Capital Markets:** It is also useful to stimulate the growth of money and capital markets through facilitating rapid expansion of trade and international capital flows.

Demerits of Fixed Exchange Rate System

The main demerits of fixed rates of exchange are as follows:

1. **Primacy to Exchange Stability:** Maintenance of exchange rate at some official level by the authorities under this system results in sacrifice of the objectives of price stability and full employment.

2. **International Transmission of Economic Variations:** It is generally believed that stability of exchange rate is responsible for transmitting the economic disturbances in one country to another.
3. **Need to Build Exchange Reserves:** To undertake the pegging operations authorities have to maintain the exchange rate at an official level. For this purpose, it has to maintain sufficient reserves of foreign currencies; however, the holding of these reserves of foreign currencies in the idle form is very costly, uneconomical and wasteful.
4. **Heavy Burden upon the Authorities:** For undertaking the pegging operations, the government or monetary authority has to mobilise sufficient international liquid resources. If it fails in the event of mobilise reserves of foreign currencies, the home currency has to be devalued.
5. **Exchange controls:** For adopting the policy of fixed exchange rate, it is necessary that complicated exchange control mechanisms should be adopted. The quite complicated exchange control mechanism will result in misallocation of economic resources, bureaucratic inefficiency and corruption.
6. **No Solution to the BOP Problem:** Due to the high involvement of the government in this the fixed exchange rate system cannot resolve the problem of BOP deficit; it simply increased it.
7. **Suited only for Short Period:** This policy cannot be pursued as a long-term policy because technological and structural changes take place in the economies. As a result, the official rate of exchange may be rendered unrealistic. Besides this, stable exchange rates are practically impossible and economically inefficient in the long run.
8. **Greater need for Institutional Arrangements:** The fixed exchange system, however, requires accommodating transactions for the BOP adjustments. It means under this system, to overcome their recurring needs of liquidity, countries have to rely upon the international lending institutions.

6.7.2 Flexible Exchange Rate System

It is also called a fluctuating exchange rate system. It is determined by the free working of the market forces. If there is an excess of demand for foreign currency over its supply, the foreign currency appreciates whereas the home currency depreciates. On the other hand, when the supply

of foreign currency exceeds the demand for it, the foreign currency depreciates and the exchange value of home currency appreciates in terms of the foreign currency. Thus, there are appropriate variations in the exchange rates to maintain the BOP equilibrium.

It is important to mention here that whether there is a BOP deficit or surplus, it can be easily counterbalanced by the free movement of the exchange rates. The monetary or fiscal authorities of the country are not required to intervene to correct the disequilibrium in BOP.

Merits of Flexible Exchange Rate System

The main merits of the flexible exchange rate system are as below:

- 1. Simple Mechanism:** This system is very simple because without involving any intervention of the monetary or fiscal authorities in the foreign exchange market it can work efficiently.
- 2. Continuous Adjustments:** Through appropriate changes in the rates of exchange, there are smooth and continuous adjustments in foreign exchange market under this system.
- 3. No Need of Accommodating Gold or Capital Movements:** The automatic exchange rate adjustments ensure the maintenance of BOP equilibrium even without the accommodating transactions of gold or capital movements.
- 4. No Necessity of Adjustments through Price and Income Changes:** This system can ensure the automatic BOP adjustment through the simple mechanism of freely flexible exchange rates rather than price and income variations.
- 5. Removal of the Problem of International Liquidity:** In a system of flexible exchange rates, a deficit country is simply to allow its currency to depreciate and adjust the BOP equilibrium. The activities of speculators will ensure the additional supply of liquid resources or withdrawal of surplus liquidity from the exchange market.
- 6. Economical:** The flexible exchange system is very economical. There is no idle holding of international currency reserves which is essential under the system of fixed exchange rates. The countries having a flexible exchange system can make optimum use of their entire available exchange reserves.
- 7. No Need of International Institutional Arrangements:** In a system of flexible exchange rates, there is no necessity of international monetary institutions for borrowing and lending of short-term funds for maintaining exchange rate parities and to settle BOP problems.

8. **Autonomy in Domestic Policies:** In case of a flexible exchange system, the continuous automatic adjustments in external disequilibria can be possible without resort to deliberate deflationary or inflationary policies.
9. **No Necessity of Controls:** In contrast, the flexible exchange system can maintain the exchange values of the currencies at their natural level through market adjustments. The regime of controls can be dismantled, if reliance is placed upon the flexible exchange rates.
10. **No Retaliation:** In the past, under the system of fixed exchange rates, the world was witness to competitive and retaliatory devaluation. Such developments and tariff warfare are not likely to exist, at least to some extent, under a system of freely flexible exchange rates.

Demerits of Flexible Exchange Rate:

The main demerits of flexible exchange rates are as follows:

1. **Possibility of Disequilibrium:** Due to free working of the market forces, it is believed that the demand and supply forces in the foreign exchange market operate in such a way that the exchange rate diverges farther and farther from the natural level of rate of exchange and the variations in the rate of exchange fail to bring about the BOP equilibrium.
2. **Indirect Government Intervention:** In this system, indirect government intervention through the impact of monetary and fiscal policies can be possible. The imposition of additional excise duties raises costs and prices of the products and has a discouraging effect upon exports.
3. **Not Practical:** It is believed that in the regime of price controls, for instance, control over commodity prices, wages, interests, rents, profits etc., there can be no justification of letting the price of foreign exchange to be determined by the market forces.
4. **Exchange Risks and Uncertainty:** The flexible exchange system causes frequent variations in the rates of exchange which create exchange risks, breed uncertainty and impede the international trade and capital movements.

Check Your Progress III

Q1. What do you understand by the flexible exchange rate system?

Ans. -----

Q2. Write any two merits of fixed rates of exchange?

Ans. -----

6.8 Summary

In this unit, we have studied that the balance of payments reflects a country's international economic situation in a variety of ways. The balance of payments in the case of an underdeveloped nation will indicate the extent to which the country's economic progress is reliant on financial support from industrially advanced capital lending countries. The balance of payments assists in analyzing or assessing a country's short-term international economic prospects, identifying the extent of its international solvency, and determining the appropriateness of a national currency's foreign exchange rate. As a result, a country's balance of payments acts as a barometer of its economic health.

6.9 Questions for Practices

A. Long Answer Type Questions

- Q1. What is meant by balance of payments? Explain the balance of payments structure of a country.
- Q2. Explain the adjustment process in balance of payments.
- Q3. Explain in detail the foreign trade multiplier process.
- Q4. What is meant by fixed (pegged) rates of exchange? What are the merits and demerits of fixed exchange rates?
- Q5. Explain the flexible exchange rates. What are the merits and demerits of flexible exchange rates?

B. Short Answer Type Questions

- Q1. Explain the meaning of balance of payments.
- Q2. Distinguish between balance of payments and balance of trade.
- Q3. What do you mean by devaluation?
- Q4. Discuss the elasticity approach to devaluation.
- Q5. What is an absorption approach to balance of payments adjustment?
- Q6. Discuss the balance of payments adjustment through controls.
- Q7. What is foreign trade multiplier?

Q8. Distinguish between fixed and flexible rates of exchange.

6.10 Suggested Readings

- P. Kindleberger: International Economics
- Bo, Soderston & Geoffrey Reed: International Economics
- D. K. Salvatore: International Economics
- K. C. Rana & Verma, K. N: International Economics
- H. G. Mannur, International Economics
- H.L Ahuja, Macro Economics

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

COURSE: INTERNATIONAL ECONOMICS

UNIT 7: STRUCTURE OF TRADE: TRADE BETWEEN DEVELOPING AND DEVELOPED COUNTRIES, UNEQUAL EXCHANGE AND ITS IMPACT ON BOPs

STRUCTURE

7.0 Learning Objectives

7.1 Introduction

7.2 Trade between Developing and Developed Countries

7.3 Unequal Exchange and its impact on Balance of Payments

7.4 Current Problems of Trade and Finance of Developing Countries

7.5 Summary

7.6 Questions for Practice

7.7 Suggested Readings

7.0 Learning Objectives

After reading this unit, learner will be able to:

- Understand the trade between developing and developed countries
- Know the impact of unequal exchange on balance of payments
- Describe the current problems of developing countries.

7.1 Introduction

Foreign trade has a significant part in economic development. It is really important for less developed countries (LDCs). It provides the urge to develop the knowledge and experience that make development possible. The pattern of comparative advantages between the developed countries (DCs) and the LDCs is such that developed countries specialize in industrial production and exports while the less developed countries specialize in agricultural goods

production and exports, has resulted in unequal exchange and unfavorable trade conditions for the LDCs collectively.

7.2 Trade between Developing and Developed Countries

Trade between developed and underdeveloped countries usually causes difficult issues. Most developing nations' economies are built on agriculture, and many of them are tropical, thus they rely significantly on the proceeds from the export of one or two crops, such as coffee, cocoa or sugar. Such commodities have highly competitive markets, which mean that prices are particularly sensitive to changes in demand or supply. In contrast, the prices of manufactured goods, which are the most common exports of industrialised nations, are usually far more constant. As a result, as the price of its export product changes, the tropical country's "terms of trade," or the ratio of export prices to import prices, fluctuate dramatically, sometimes wreaking havoc on the domestic economy. Efforts at price stabilisation and output control have been attempted for nearly all key basic commodities. These initiatives have had varying degrees of success.

Trade between developed and developing countries has long been a source of disagreement. As multinational firms from rich nations transfer business to countries with cheaper labour pools and relatively less economic or political influence, critics point to exploitation of foreign labour and the environment, as well as the abandoning of native labour requirements.

Developing nations are becoming increasingly important in global trade. They accounted for 30 per cent of global exports in 2006, up from 19.5 per cent in 1996. The BRIC economies (Brazil, Russia, India, and China) now account for more than a quarter of all exports, up from 6 per cent to 12.4 per cent. China was responsible for a large chunk of this increase, with its share in global exports virtually tripling from 2.7 per cent to 7.6 per cent. India, on the other hand, while being a huge economy, made little contribution. Its proportion of global exports is still relatively modest, at little over 1 per cent in 2006. In contrast, industrialized nations export proportion dropped, with the United States' share falling from 13.9 per cent to 9.5 per cent. Japan's decrease was particularly dramatic; its share dropped from 8.6 per cent to 5.4 per cent.

However, the importance of developing nations as a source of import demand has increased as well, owing to increased foreign exchange availability and purchasing power, a fast rising middle class, and a strong desire for imported products. Between 1996 and 2006, EU imports to China

increased by more than fourfold, while imports to Russia, (South-South Asia) SSA, Eastern Europe and Central Asia increased by more than thrice. Developing nations also imported 38 per cent of total exports from the United States in 2006, up from 31 per cent in 1996.

It is important to mention here that successful developing nations have frequently adopted export-led economic growth policies, diversifying their economies away from basic commodities and toward manufactured goods. Developing nations have grown their presence in manufactured goods exports in recent years. In 2006, China's market share surpassed that of both the United States and Japan, rising from 3.2 per cent in 1996 to 9.8 per cent in 2006. Other developing nations' exports of manufactured products have also grown, with SSA's part growing from 7.1 per cent to 18.7 per cent. Developing nations boosted exports of mineral fuels and chemicals, the two product groups with the largest growth rates from 1996 to 2006. This was mostly due to higher pricing, but it was also owing to new natural resource discoveries and greater production efficiency.

7.3 Unequal Exchange and its Impact on Balance of Payments

It is generally believed that trade between developed countries (DCs) and less developed countries (LDCs) is characterized by unequal exchange.

Neo-Marxists define it as a decline in periphery nations' (undeveloped nations) trading terms. The reason for this is that in the centre (developed nations), entrepreneurs' and productive factors' earnings rise faster than productivity, but in the periphery, income rises slower than productivity. The main reason for this is that monopolistic components in the center's product and factor markets have allowed them to maintain growing factor incomes while productivity gains have been dispersed through price reductions in the periphery.

According to Sutcliffe, unequal exchange means that, “exporters in industrialised countries possess more monopoly power than the exporters of underdeveloped countries thereby leading to unfavourable terms of trade for the latter.

Uneven trade between the periphery and the centre, according to Amin, is caused by wage disparities. Wages in the centre are higher due to increased productivity, whereas wages on the periphery are lower due to lower productivity. The rate of surplus value is higher on the periphery because real wages are lower.

Emmanuel propounded the theory of unequal exchange in international trade between DCs and LDCs in his book *Unequal Exchange: A Study in the Imperialism of Trade* (1970), which contributed to the latter's exploitation by the former. His theory is based on Marx's production price theory. He argues that the major cause of economic disparity between DCs and LDCs is disparities in production processes and wages, which result in uneven trade exchange.

Emmanuel argues that LDCs have failed to capitalise on technical advancements to help them develop. On the other hand, through labor-saving technology, DCs have increased the 'organic composition of capital'. This has resulted in unequal exchange between them.

In the words of Emmanuel's, "Inequality of wages, as such, all other things being equal, is alone the cause of the inequality of exchange."

Unequal exchange, according to Emmanuel, happens when two unequal countries produce two different goods that are not in direct competition. Because wages are low in LDCs, the commodity's cost of production and price are similarly cheap. On the other hand, because wages in DC are high, the commodity's cost of production is high, and its price is high. As a result, the LDC commodity is cheaper and the DC commodity is more expensive, there is an uneven exchange of trade between the two. The reason for this is that in order to get a given quantity of imports from the latter nation, the former country (LDC) exports more of its commodity (DC).

Let us understand the unequal exchange between two countries. A and B are two countries that produce good X and good Y, respectively. Assume that the pay rate in industrialised nation A doubles, allowing it to buy four units of each item, but the wage rate in developing country B only buys two. Because both nations' profit rates are the same, the pricing in both countries are based on a percentage of profit on unit labour expenses $(1 + r)$.

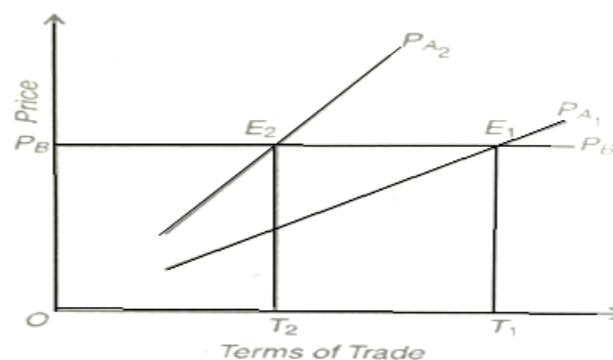


Figure 7.1

The theory of unequal exchange is explained in Figure 7.1. It is clear from the figure that prices in the two nations are plotted on the vertical axis, while terms of trade are plotted on the horizontal axis. $P = 1$ is used to represent the price of commodity Y in less developed nation B, which is represented by the horizontal line PPB. The price of commodity X in country A is shown by the curve P_{A1} , the equilibrium terms of trade is given by OT_1 . An increase in wages and costs leads to the rise in price in country A which shifts its price curve to the left as P_{A2} . As a result, the terms of trade of country B are reduced to OT_2 . Unequal exchange is measured as the difference between the actual terms of trade, OT_1 , and the changed terms of trade, OT_2 . Thus, the terms of trade of country B have worsened by T_1T_2 .

Economists have strongly criticised Emmanuel's theory of unequal exchange for the following reasons:

1. According to this theory wage differences between DCs and LDCs are the reason for unequal exchange; however, it does not explain many factors that affect wage differences between the two types of countries.
2. This theory believed that wage differences lead to unequal exchange, there can be unequal exchange between DCs because differences in wages are also found among them. So the theory breaks down as it is equally applicable on DCs and not on LDCs alone.
3. If wage differences are measured in money wages and are caused by variations in labour productivity, LDCs' terms of trade may be extremely poor. There would be no disparities in costs and prices per unit of production if differences in money salaries equaled differences in productivity in LDCs and DCs. LDCs' terms of trade become unfavourable only when real wages do not grow at the same rate as productivity in comparison to DCs.
4. According to this theory, unequal trade exchange leads to LDCs being exploited by DCs. Economists disagree with Emmanuel's point of view since unequal exchange hasn't stopped LDCs from growing.
5. Capital is assumed to be movable within countries under the theory. If this is correct, then wage disparities will be reduced as money flows from rich to developing countries. As a result, the theory falls apart.

Developed countries exploit less developed countries by pushing them to specialise in the export of primary items with inelastic demand in terms of both price and income, according to

economists. As a result, LDCs continue to confront stagnating export revenues, which are frequently accompanied by price fluctuations. In LDCs, this has resulted in a foreign exchange shortage and a BOP deficit.

Economist gives two reasons for BOP deficit:

- (a) DCs maintain high export prices to LDCs while maintaining low import prices from LDCs.
- (b) Foreign capital from DCs dominates major sectors of LDCs, resulting in huge profits, interest, and principal outflows.

Check Your Progress- I

Q1. Explain the meaning of foreign trade.

Ans:-----

Q2: Why foreign trade is important for developing countries?

Ans:-----

Q3. Define unequal exchange?

Ans:-----

7.4 Current Problems of Trade and Finance of Developing Countries

Less developed nations see foreign trade as a mechanism of global income inequalities between rich and poor countries, where the poor are exploited by the strong. Foreign trade, according to LDCs, was and continues to be a development engine for the less developed countries of the 18th and 19th centuries. The statistics on worldwide economic inequalities after WWII are shocking. While one-fifth of the world's population lives in the developed world, which has more than three-fourths of the world's GNP and living standards, the remaining four-fifths of the world's population lives in the developing world, which has just one-fourth of the world's GNP. With around 30 per cent of the world's population, the poorest LDCs have just 3 per cent of the world's revenue and their average per capita income of about US \$120 is less than 3 per cent of the average per capita income in the market economies of the DCs. It is important to mention here that the annual GNP growth rate in the United States alone exceeds the overall GNP growth rate in India or the total GNP growth rate in Africa minus South Africa.

Global income gaps are not only wide, but they are also widening at an alarming rate. All of this has caused LDCs to feel that there is a fundamental flaw in the system that connects wealthy and poor nations through international trade in products and services, as well as international capital and labour migrations between the two sorts of countries: industrial rich and agrarian poor.

LDCs think that today's economic development process, which is founded on the age-old principle of comparative advantage, has been extremely frustrating for them. They believe that international interdependence between them and affluent countries is not founded on equality or justice. They also believe that the so-called comparative advantage in agricultural products production and exports was artificially and purposefully established by the colonial production pattern imposed on them by industrial nations with ulterior objectives. By destroying industry and entrepreneurship that existed in LDCs prior to colonisation, colonial powers promoted their own comparative advantage in industrial manufacturing, and LDCs in Asia, Africa and Latin America were reduced to the status of primary producers of raw materials, minerals and some farm products. As a result, LDCs became low-cost suppliers of these commodities for metropolitan industrial powers, who inundated LDC marketplaces with their manufactured goods. This colonial pattern of production and trade connection resulted in a number of negative effects for LDCs, many of which are documented in colonial imperialism's history.

Excessive reliance on foreign trade or excessive export concentration in two or three lines of production do not constitute a cause for serious concern in and of themselves, provided that foreign trade in that narrow range of export concentration was profitable or lucrative to the country concerned. The condition of the LDCs is difficult since their export products, such as tea, coffee, cocoa, bananas, sisal, aluminium, bauxite, tin, jute, and other textiles, suffer from low income and price elasticity of demand in the global market.

These commodities face a number of challenges in addition to low income and price elasticity. As a result, their development chemistry has very little "modernization, education and skill" substance; they also have little opportunity for expanding employment and creating well-paid jobs. The DCs, on the other hand, have developed a near-monopoly level of specialisation in industrial manufactured products manufacturing.

They manufacture electronics and electrical goods, as well as transportation equipment such as automobiles, ships, and aircrafts, as well as tractors, military hardware, and pharmaceuticals.

They also provide services such as international shipping, banking, insurance, and foreign exchange operations. The demand for these items is high, and the supply situation is improving. They benefit from strong demand elasticity of income and rising returns to scale in manufacturing and supply. They also have a high degree of modernization content in that they provide limitless opportunities for the application of science and technology, as well as high levels of education, competence and technical and management abilities. In general, industrial output provides opportunities for more job creation and higher pay.

Let us examine the trade problems of less developed countries in detail

- 1) **Poverty among Developing Countries:** In comparison to the affluent countries of the globe, the average per capita income of all emerging countries is extremely low. It is crucial to note that utilising exchange rates to convert other nations' per capita income into dollars without taking into account disparities in the buying power of money in each country substantially exaggerates the differences in per capita incomes between developed and developing economies. Aside from that, income disparity in emerging nations is significantly higher than in wealthy countries. Due to sluggish development and high unemployment in the 1980s, industrialised nations strengthened the trade protection they offered to several of their big sectors against imports from emerging countries. These were the sectors in which emerging nations had or were acquiring a competitive edge.
- 2) **Exports of Primary Products:** Most of the developing nations export primarily primary items in their early stages of development, and as a result, their products cannot command a good price in the international market. Developing nations have been unable to increase their export profits due to a lack of variety in their exports.
- 3) **Unfavourable Terms of Trade:** Another issue with trade that these developing nations confront is that the terms of trade are always in their favour. In the lack of adequate infrastructure and a quality-improvement effort, these nations' terms of trade deteriorated over time, eventually working against the country's overall interests. According to Wilson, Sinha, and Castrce's (1969) empirical study on LDCs' terms of trade, between 1950-53 and 1962-65, LDCs' commodity terms of trade deteriorated by approximately 9 per cent, whereas DCs' commodity terms improved by about 10 per cent. Besides this, the study also discovered that both LDCs and DCs improved their income terms of trade over the same

time, however the LDCs improved by 57 per cent while the DCs improved by 136 per cent. LDCs also believe that agricultural protectionism in the DCs, as well as the development of synthetic and other alternatives for natural raw materials that the LDCs sell to the DCs, are threatening their export prospects.

- 4) **Imports for Maintenance and Development Work:** The developing nations are dealing with an increase in developmental imports, which include various types of machinery and equipment for the development of various industries, as well as a significant increase in maintenance imports for collecting intermediate goods and raw materials required by these industries. The increasing amount of imports has posed a major issue in terms of round-the-clock administration of international trade.
- 5) **Higher Import Intensity:** Another particular challenge confronting developing nations is the increased import intensity in the growth of industries as a result of the import intensive industrialisation process used in these countries to fulfil the needs of elitist consumption i.e., colour TVs, VCR, Refrigerators, Motorcycles and cars etc. Such an increase in elite spending has resulted in a massive weight of growing imports in these emerging countries, culminating in a major balance of payment problem.
- 6) **Adverse Balance of Payment Position:** Developing nations are grappling with the challenge of rising imports and poor export growth, resulting in a widening balance of payments imbalance. In certain nations, the imbalance has grown to such a degree at one point in time that it has resulted in a major international trade crisis. Furthermore, the LDCs are treated unfairly by international liquidity and monetary arrangements. It is a well known fact that LDCs' trade deficits have exploded in recent years. To make matters worse, the LDCs' foreign debt burden has increased a lot. As a result, debt-service obligations eat up a substantial portion of LDC export profits, leaving the LDCs short on both developmental capital and international liquidity: a balance of payment restriction and a lack of foreign exchange resources can be an obstacle to the development of less developed countries
- 7) **Depreciation and Depleting Foreign Exchange Reserve:** The steep devaluation of developing nations' currencies against the dollar and other currencies has resulted in a significant rise in the value of their imports, resulting in a massive trade deficit. As a result of

rising import volumes and a persistent balance of payment issue, developing countries may face depletion of foreign currency reserves.

- 8) **International Liquidity Problem:** The majority of poor countries have been dealing with a far more acute international liquidity crisis. As a result of their chronic lack of capital and technology, many countries are heavily reliant on industrialised countries for their limited resources. In addition to this, poor nations are only allocated a modest portion of new foreign reserves produced across the world. LDCs got only \$3.7 billion of the \$102 billion in international reserves produced between 1970 and 1974, accounting for less than 4 per cent of total international reserves. Similarly, 75 per cent of SDR allocations go to developed countries, with the remaining 25 per cent going to developing countries, where 75 per cent of the world's population lives in poverty. It is paradoxical that those who do not require more liquidity benefit the most from it, while others who do require it the most are denied access.
- 9) **Unequal Distribution of Gains from Trade:** The way markets operate and the nature of traded commodities varies between developing and developed nations. As a result of these disparities, the industrialised nations reap a disproportionate share of the advantages of trade. Worse, such disparities frequently lead to LDCs being more reliant on DCs. According to Salvatore, “With developing nations specialising in primary commodities and developed nations specialising in manufactured products, all or most of the dynamic benefits of industry and trade accrue to developed nations, leaving developing nations poor, undeveloped and dependent.”
- 10) **Export Instability:** LDC exports tend to fluctuate more dramatically from year to year than exports from industrialised nations. Variability in the export sector contributes to variations in GDP and domestic price levels since many LDCs have a relatively high degree of openness (i.e., a high ratio of international trade to GDP). As a result of international trade, business cycles are passed from industrialised to underdeveloped countries. This creates a lot of uncertainty for both producers and consumers. Furthermore, the insecurity of exports makes growth planning more challenging.
- 11) **Inadequate International Aid Arrangements:** According to less developed countries international aid arrangements are inadequate. Aid is insufficient, and it disproportionately benefits the relatively wealthy LDCs rather than the poorest and most needy LDCs. Aid is

also utilised as a political weapon by the DCs, with aid going to LDCs that share the DCs' political philosophies and military goals. Worse, foreign funding comes with conditions, such as procurement tying, project tying and double tying. Procurement-tying occurs when aid is granted with the express requirement that the recipient nation purchase all of its commodities from the donor country. This would prevent the aid-receiving country from "shopping about," that is, purchasing commodities from the world's lowest sources of supply. Because assistance-giving nations must overprice their commodities supplied to aid-receiving countries, the net value of aid to LDCs would be reduced. Aid would be tied to specific projects that are of export importance to the developing countries.

12) Protectionist Framework of Developed Countries: The protectionist framework of the DCs works against the LDCs' ability to produce and export industrial goods. In addition to tariff obstacles, the DCs have imposed a slew of non-tariff barriers to the LDCs' products. LDCs are particularly worried about the widespread coverage given to the loss of employment in the DCs as a result of cheaper textile, garment, and other imports from the LDCs.

To put the difficulties in perspective, the repercussions of considerable importance to the LDCs, insofar as they produced structural deformities within the LDCs and the system of unequal trade relationships between the LDCs and the DCs, should be briefly remembered. We may say the following facts about LDCs in general.

Agriculture is overly reliant on it as a source of national revenue, employment, and livelihood for millions of people, as well as a major source of foreign exchange earnings with which they may fund their non-agricultural imports. They are too reliant on foreign trade, as seen by their astonishingly high foreign trade-to-GDP ratios.

There is an overabundance of export concentration in two or three agricultural commodities that are subject to poor demand and supply situations, as well as future decline prospects.

Check Your Progress- II

Q1. What do you mean by international liquidity?

Ans:-----

Q2 Define import intensity.

Ans:-----

Q3 Define international aid.

Ans:-----

7.5 Summary

In this unit, we have studied that the less developed countries view foreign trade not as a proverbial engine of economic growth, but as a mechanism of world income disparities between rich and poor countries, where the weak are exploited by the powerful. Thus, international trade and the current international economic system favors rich countries at the expense of developing nations. Besides this, we have also studied that poverty, foreign debt, shortage of international liquidity, export instability, inadequate foreign aid are some of the current problems which the developing countries are dealing with.

7.6 Questions for Practices

A. Short Answer Type Questions

- Q1. What are the features of less developed countries?
- Q2. State the composition of developed and less developed countries' trade.
- Q3. Mention four problems of developing countries.
- Q4. What is export instability?
- Q5. How unequal exchange impacted the BOP?

B. Long Answer Type Questions

- Q1. Explain in detail the trade between developed and less developed countries.
- Q2. Define unequal exchange. What is the impact of unequal exchange on BOP?
- Q3. Mention in detail the problems of less developed countries.

7.7 Suggested Readings

- P. Kindleberger: International Economics
- Bo, Soderston & Geoffrey Reed: International Economics

- D. K. Salvatore: International Economics
- K. C. Rana & Verma, K. N: International Economics
- H. G. Mannur, International Economics
- H.L Ahuja, Macro Economics

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER –IV

COURSE: INTERNATIONAL ECONOMICS

UNIT 8: IMF AND INTERNATIONAL MONETARY SYSTEM

STRUCTURE

8.0 Learning Objectives

8.1 Introduction

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8.2.1 Meaning and Definition

8.2.2 Importance of International Monetary System

8.2.3 Evolution of International Monetary System

8.3 Gold Standard: 1880-1914

8.3.1 Adjustment Mechanism under Gold Standard: The Price-Specie Flow Mechanism

8.3.2 Collapse of Gold Standard

8.3.3 Inter war Period 1918-1939

8.4 Bretton Woods Exchange Rate System and International Monetary Fund

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8.5 International Monetary Fund (IMF)

8.5.1 Objectives of IMF

8.5.2 Organisation and Financial Structure of the Fund

8.5.3 Functions of IMF

8.5.4 Working, Lending Facility and Special Drawing Rights (SDRs)

8.6 Summary

8.7 Questions for Practices

8.8 Suggested Readings

8.0 Learning Objectives

After reading this unit, learner will be able to:

- Define the International Monetary System and underlying its importance.
- Describe the Gold Standard and its basic Adjustment Mechanism.
- Understand the reasons for collapse of Gold Standard.
- Know about Reconstruction and Exchange Rates in the Inter War Period 1914-1939.
- Describe the Bretton Woods exchange rate system and International Monetary fund.
- Know about factors responsible for the downfall of the Bretton Woods System.
- Know about the Objective, Functions and Organisation of IMF.
- Understand more about the working of IMF through its lending facility and SDRs

8.1 Introduction

In order to understand how the international monetary system works, you should recall that every country has its own unique currency. A currency that is acceptable in one country is not generally accepted in another country. For example, a Rupee is not legally accepted as a medium of exchange in United States of America. This indicates that there should be some system in place to facilitate currency exchange activities as international trade depends on the smooth exchange of currencies between countries.

The first half of the 20th century was marked by two World Wars and a Great Depression that caused enormous economic destruction in both Europe and the United States. These historic events sparked the need to create such an international monetary system that would stabilize currency exchange rates, reduce the severity of balance-of-payments deficits of individual countries and eliminate destructive mercantilist trade policies such as competitive devaluations and foreign exchange restrictions. A well-functioning international monetary system is a public good that is essential for promotion of trade and financial stability. The present lesson will give insights to a comprehensive understanding of the various aspects of evolution of International Monetary Systems and International monetary fund.

8.2 International Monetary System

In this section you will learn about the meaning, definition, role and evolution of the International monetary system.

8.2.1 Meaning and Definition

International monetary system is a well-designed system that governs the use and exchange of money around the world and between countries. Each country has its own currency as money and the international monetary system governs the rules for valuing and exchanging these currencies. In other words, the international monetary system determines how foreign exchange rates are set and how governments can affect exchange rates. Thus, the central element of the international monetary system involves the arrangements by which exchange rates are set.

The purpose of an exchange-rate system is to facilitate and promote international trade and finance. International Monetary System is also known as “International Monetary and Financial System” and “International Financial Architecture”. There are many participants like MNCs (Multinational Corporations), Investors, Financial Institutions etc. in the International Monetary System. It is the global network of the government and financial institutions that determine the exchange rate of different currencies for international trade. It serves as a governing body that sets rules and regulations by which different nations exchange currencies with each other.

To sum up we can say that international monetary system is a set of arrangements, rules, practices and institutions under which payments are made and received for international transactions across national boundaries.

As defined by Eichengreen (2008), *“the international monetary system is the glue that binds national economies together. Its role is to lend order and stability to foreign exchange markets, to encourage the elimination of balance-of-payments problems, and to provide access to international credits in the event of disruptive shocks”*

In short, we can define international monetary system as a set of arrangements, rules, practices and institutions under which payments are made and received for international transactions across national boundaries.

8.2.2 Importance of International Monetary System

The Role of the international monetary system was well described by economist Robert Solomon: *“Like the traffic lights in a city, the international monetary system is taken for granted until it begins to malfunction and to disrupt people’s lives”*.

In global economy where different nations trade with each other, many kinds of problems may arise like the uneven distribution of benefits, the instability of the financial system, the fear of

global monopolies and oligopolies. These problems provide sufficient reason for well-established international monetary system. Also, with the growing complexity in the international trade and financial market, the international monetary system is necessary to assign a standard value of the international currencies. The rules and regulations set by the international monetary system to regulate and control the exchange value of the currencies are agreed upon by the respective governments of the nations. Thus, the government's stand may affect the decision making of the international monetary system. For example, change in the trade policy of a government may affect the international trade of goods and services.

International monetary system motivates and encourages the nations to participate in the international trade to improve their BOP and minimize the trade deficit. It aims to maximize the flow of international and investments through equitable distribution of the gains from trade among the nations of the world. It also helps in reallocating the capital and investment from one nation to another. It has grown over the years as a single architectural body with a vision to integrate the global economy. Some of the important achievements of the international monetary system over the years have been the establishment of World Bank and International Monetary Fund in the year 1944.

As suggested by Salvatore, there are basically three criteria to consider while evaluating the role of international monetary system. These are (i) Adjustment, (ii) Liquidity, and (iii) Confidence. The process of correcting balance-of-payments deficits is known as Adjustment. An efficient monetary system completes this adjustment process with least cost and time. Liquidity means the availability of sufficient international reserve assets to correct BOP deficits. Here the role of International monetary system is to correct the BOP deficit of individual nations without deflating their currencies or creating inflationary pressures. Confidence refers to the knowledge that the adjustment mechanism is working adequately and that international reserves will retain their absolute and relative values.

8.2.3 Evolution of International Monetary System

There have been four stages in the evolution of the international monetary system:

- a) Gold Standard (1880-1914)
- b) Inter-war period (1918-1939)
- c) Bretton Woods system (1947-1971)
- d) Present International Monetary system (1972- Present)

In the subsequent sections you will study about first three stages. The fourth stage, i.e. the present International monetary system will be discussed in the next lesson.

8.3 Gold Standard: 1880-1914

Historically, gold has been one of the most popular exchange mediums that have been extremely effective as an asset that stores value. In the simplest terms, the gold standard is a monetary system that ties a currency's value directly with gold. Therefore, the currency can be exchanged for a set amount of gold and is guaranteed by the government. The Classic Gold Standard, from 1880 to 1914, was the initial phase of the International Monetary System. The other name of Classic Gold Standard is International Gold Standard. Only a few countries joined the Gold Standard in the early years of its existence. It was eventually adopted by almost all countries. During this time, gold coins and bullions were commonly used. This gold standard gave birth to a system of fixed exchange rates with minimum fluctuations. Because of the most fixed exchange rate, International trade saw a boost during this time. There was rapid expansion of free international trade. The exchange rates and prices were mostly stable. Further, free flow of labour and capital across political borders encouraged economic growth and world peace also. Gold Standard also made all countries of the world abide by strict monetary policy. This standard was helpful in correcting trade imbalances.

Under the gold standard, the countries accepted the major assets gold in settlement of international debt. The central bank of the country was always ready to buy and sell gold at the specified price. The rate at which the standard money of the country was convertible into gold was called the mint price of gold. However, the actual exchange rate between these currencies was above or below the mint parity rate by the cost of shipping gold between two countries.

A unit of a country's currency was defined as a certain weight of gold. A pound sterling could be converted into 113.0015 grains of fine gold and the U.S. dollar into 23.22 grains. Through these old equivalents, the value of the pound was $113.0015 / 23.22$ times that comes out to be approximately or 4.885 times that of the dollar. Thus 4.885 dollars was the 'par value' of the pound.

8.3.1 Adjustment Mechanism under Gold Standard: The Price-Specie-Flow Mechanism

The gold standard had some powerful automatic adjustment mechanism that could achieve the simultaneous achievement of balance of payment equilibrium by all the countries. The price-specie flow mechanism is a model developed by David Hume to explain how trade imbalances can be automatically adjusted under the gold standard. This mechanism is best illustrated using

an example. Suppose there is a trade deficit i.e. more imports than exports. This results in an outflow of gold, subsequently decreasing domestic money supply. Then the price level falls, which in turn makes domestic goods relatively cheaper than foreign goods. This leads to more exports and less imports thereby self-correcting the trade imbalance.

8.3.2 Collapse of Gold Standard

Before World War I, gold standard worked efficiently and remained widely accepted. It succeeded in ensuring exchange stability among the countries. But with the starting of the war in 1914, gold standard was abandoned everywhere mainly because of two reasons (a) to avoid adverse balance of payments and (b) to prevent gold exports falling into the hands of the enemy.

The excessive use of gold exchange standard was also responsible for the break-down of gold standard. Many small countries which were on gold exchange standard kept their reserves in London and New York. As movement of gold involves cost, before 1914, such movement was not needed because London was working as the international monetary centre and the countries having deposit accounts in the London banks adjusted their adverse balance of payments through book entries. But, rumours of war and abnormal conditions forced the depositing countries to withdraw their gold reserves. As a result of this, the money in circulation exceeded the gold reserves of the country and those countries have to give up on Classic Gold Standard. This led to the abandonment of the gold standard.

Political instability among the European countries also was responsible for the failure of gold standard. There were rumours of war, revolutions, political agitations, fear of transfer of funds to other countries. All these factors threatened the safe working of the gold standard and ultimately led to its abandonment. After the war in 1918, efforts were made to revive gold standard and, by 1925, it was widely established again. But, the great depression of 1929-33 ultimately led to the breakdown of the gold standard which disappeared completely from the world by 1937.

8.3.3 Inter war Period 1918-1939

The period between World War I and World War II is known as the Interwar Period. This was the next episode of the International Monetary System from 1918 to 1939. After the World War I, a wave of economic nationalism swept the European countries. With an objective to secure self-sufficiency, each country followed protectionism and thus imposed restrictions on international trade. This was a direct interference in the working of the gold standard. In this inter-war period, Britain was fast losing its position as an international financial centre. In the

absence of such a centre, every country had to keep large stocks of gold with them and large movements of gold had to take place. During this time, Britain was replaced by the United States of America as the dominant financial powerhouse across the globe. During this period, all the economies had gone into a depression with a higher inflation rate. The gold standard system collapsed with a higher supply of money. Almost all countries started focussing on domestic revamping and not on international trade.

Check Your Progress- I

Q 1: What do you understand by the International Monetary System?

Ans.-----

Q 2: Write the three criteria to consider while evaluating the role of international monetary system.

Ans.-----

8.4 Bretton Woods Exchange Rate System and International Monetary Fund

It was in the 1940s that the United Kingdom and United States started discussion to formulate a new international monetary system. J.M. Keynes, a British economic thinker, and Harry Dexter White, a U.S. Treasury official, paved the way to create a new monetary system. In the year 1944, 730 representatives of the United States, the United Kingdom, and 42 other nations met at Bretton Woods, New Hampshire, to formulate the unified rules and policies that could provide the framework necessary to create fixed international currency exchange rates. They signed the Articles of Agreement known as the Bretton Wood agreement. This led to the creation of Bretton Woods System also known as Gold Exchange Standard.

The new system also facilitated the creation of immensely important structures in the financial world i.e., the International Monetary Fund (IMF) and the International Bank for Reconstruction and Development (IBRD), which is known today as the World Bank. However, the new international monetary system reflected the plan drawn up by Harry D. White of the United States. Treasury, rather than the plan submitted by John Maynard Keynes, who headed the British delegation.

The Bretton Woods agreement attempted to recreate key parts of the gold standard and produced a fixed but adjustable exchange regime, which was implemented in 1946. The

agreement recognized the more important role of United States in world economy and incorporated the US dollar in international reserves.

8.4.1 Creation of IMF

As discussed above, the IMF was conceived in July 1944, when representatives of 44 countries agreed on a framework for international economic cooperation after the Second World War. They believed that such a framework was necessary to avoid a repetition of the disastrous economic policies that had contributed to the Great Depression. The system devised at Bretton Woods called for the establishment of the International Monetary Fund (IMF) basically for two purposes. First, to oversee that nations followed a set of agreed upon rules of conduct in international trade and finance and second objective was to provide borrowing facilities for nations to correct the temporary balance-of-payments difficulties.

The IMF came into formal existence in December 1945, when its first 29 member countries signed its Articles of Agreement. It began operations on March 1, 1947. Later that year, France became the first country to borrow from the IMF. The IMF's membership began to expand in the late 1950s and during the 1960s many African countries became independent and applied for membership. With the admission of the Soviet Republics and other nations during the 1990s, IMF membership reached 187 at the beginning of 2012. Today, the International Monetary Fund (IMF) is an organization of 190 countries, working to foster global monetary cooperation and facilitate international trade. Andorra is the latest member which joined on October 16, 2020.

8.4.2 Operation of Bretton Woods Exchange Rate System

The Bretton Woods system was a gold-exchange standard. The United States was to maintain the price of gold fixed at \$35 per ounce and be ready to exchange on demand dollars for gold at that price without restrictions. Other nations were to fix the price of their currencies in terms of dollars (indirectly in terms of gold) and intervene in foreign exchange markets to keep the exchange rate from moving by more than 1 per cent above or below the par value. Specifically, a nation would have to sell its dollar reserves to purchase its own currency in order to prevent it from depreciating by more than 1 per cent from the agreed par value. To prevent an appreciation of its currency by more than 1 per cent from the par value the nation would have to purchase dollars with its own currency. Within the allowed band of fluctuation, the exchange rate was determined by the forces of demand and supply.

The adjustment process under the Bretton Woods system had three stages, depending on the seriousness of payments problems:

- a) For temporary imbalances restrictive policies were to be avoided, and financing was to be pursued.
- b) For more serious problems, deficit countries were expected to adopt more restrictive monetary and fiscal policies, and surplus countries had an equal and parallel responsibility.
- c) For fundamental payments disequilibrium deficit countries were expected to devalue their currency but only after consultations with the IMF

Until the late 1950s and early 1960s, when other currencies became fully convertible into dollars, the U.S. dollar was the only intervention currency. So the new system was practically a *Gold-Dollar Standard*. Nations were to finance temporary balance-of-payments deficits out of their international reserves and by borrowing from the IMF. Only in a case of fundamental disequilibrium was a nation allowed, after the approval of the Fund, to change the par value of its currency. Exchange rate changes of less than 10 per cent were allowed without Fund approval. Thus, the Bretton Woods system was in the nature of an adjustable peg system combining general exchange rate stability with some flexibility.

8.4.3 Collapse of Bretton Woods Exchange Rate System

An important factor to cause the collapse of the Bretton Woods System was the domestic inflation in the United States particularly after the escalation of Vietnam War from 1965. Another predominant cause of the breakdown of the Bretton Woods System was the problem of liquidity. Any system of fixed or stable exchange rate could work efficiently only if there were sufficient international reserves. During the 1950's and 1960's, the U.S. deficits in BOP continued to increase. As Europe and Japan recovered from the war, international demand for dollars soared, putting pressure on the U.S. balance of payments. In 1960, the economist Frederic Triffin warned that international demand for dollars would mean either the U.S. losing all its gold or severe deflation in the rest of the world. The accuracy of his prediction quickly became apparent.

Consequently, the United States balance of payments reflects a steady flow of gold out of the country. The gold stock has declined to very near the "safe limit" of \$17 billions. Over the next few years, the U.S., U.K. and European countries cooperated to maintain international dollar liquidity while limiting gold outflows from the U.S. But by 1967, foreign claims on gold

exceeded the U.S.'s gold reserves. In response, the U.S. resorted to capital controls, creating an international dollar shortage.

By the end of March 1968, U.S. gold reserves had fallen to \$10.7 billion. The end of Bretton Woods System came in August 1971, when President Nixon unilaterally suspended the dollar's convertibility to gold. In December 1971, there was an effective dollar devaluation of about 10.7 per cent. But the relief was short-lived. In March 1973, the U.S. government devalued the dollar by a further 10 per cent. This attempt to revive the fixed exchange rates also failed, and by March 1973, the major currencies began to float against each other.

Check Your Progress-II

Q1. Write a note on the creation of IMF.

Ans.-----

Q2. Which factors led to the breakdown of Bretton woods system?

Ans.-----

8.5 International Monetary Fund (IMF)

An integral part of the Bretton Woods system was the establishment of the IMF, which still administers the international monetary system. Member nations subscribe by lending their currencies to the IMF. The IMF then re-lends these funds to help countries in balance-of-payments difficulties.

8.5.1 Objectives of IMF

The Articles I of Agreement of the International Monetary lay out the six objectives for which the IMF was set up. These objectives are as follows:

- a) To promote international monetary cooperation.
- b) To facilitate the expansion and balanced growth of international trade.
- c) To promote exchange stability, to maintain orderly exchange arrangements among members, and to avoid competitive exchange depreciation.
- d) To assist in the establishment of a multilateral system of payments and in the elimination of foreign exchange restrictions that hamper the growth of world trade.
- e) To give confidence to members by making the general resources of the Fund temporarily available to them under adequate safeguards

- f) To shorten the duration and lessen the degree of disequilibrium in the international balance of payments of members.

8.5.2 Organisation and Financial Structure of the Fund

Organisation Structure:

The IMF is run by a Board of Governors, an Executive Board and an international staff. Every member country delegates a representative (which is usually heads of central banks or ministers of finance) to the Board of Governor. It meets once a year and takes decision on fundamental matters such as electing new members or changing quotas. The Executive Board is entrusted to the management of day-to-day policy decisions. The Board comprises 24 executive directors who supervise the implementation of policies set by the member governments through the Board of Governors. The IMF is headed by the Managing Director who is elected by the Executive Board for a five year term of office.

Financial Structure:

The capital or the resources of the Fund come from two sources:

- (i) Subscription or quota of the member nations, and
- (ii) Borrowings.

Each member country is required to subscribe an amount equivalent to its quota. It is the quota on which payment obligations, credit facilities, and voting right of members are determined. As soon as a country joins the Fund, it is assigned a quota which is expressed in Special Drawing Rights (SDRs). At the time of formation of the IMF, the quota of each member was made up of 25 per cent. in gold or 10 per cent of its net official holdings of gold and US dollars (whichever was less). Now this has been revised. The capital subscriptions or quota is now made up of 25 per cent of its quota in SDRs or widely accepted currencies (such as the US dollar, euro, the yen or the pound sterling) instead of gold and 75 per cent in country's own currency. The size of the Fund equals the sum of the subscriptions of members. The Fund is authorised to borrow in special circumstances if its own resources prove to be insufficient. It sells gold to member countries to replenish currency holdings. It is entitled to borrow even from international capital market. Though the Articles of Agreement permit the Fund to borrow from the private capital market, till date no such use has been made by the IMF.

8.5.3 Functions of IMF

IMF has three principal functions (1) surveillance of financial and monetary conditions in its member countries and of the world economy, (2) financial assistance to help countries overcome major balance of payments problems, and (3) technical assistance and advisory services to member countries. These functions are discussed in detail as follows:

- 1) Surveillance:** IMF is exercising surveillance to ensure proper working and balance in the international monetary system, i.e., by avoiding manipulation in the exchange rates and by adopting intervention policy to counter short-term movements in the exchange value of the currency. There are two main components of surveillance: country surveillance and multilateral surveillance. Through country surveillance, the IMF visits the country once a year to assess its economic policies and where they are headed. It reports its findings in the Public Information Notice. Multilateral surveillance is when the IMF surveys global and regional economic trends. It reports these twice a year in the World Economic Outlook and Global Financial Stability Report. These two reports point out problems and potential risks to the world economy and financial markets. This is how IMF watches the economics and economic policies of its members.
- 2) Financial assistance:** The Fund is helping the member countries in eliminating or minimizing the short-period disequilibrium of balance of payments either by selling or lending foreign currencies to the members. The Fund also helps its members towards removing the long period disequilibrium in their balance of payments. In case of fundamental changes in the economies of its members, the Fund can advise its members to change the par values of its currencies. The other financial assistance will be discussed in detail in the subsequent subsection under the heading lending operations.
- 3) Technical assistance and advisory services to member countries:** Technical assistance helps countries strengthen their economic policy, tax policy, monetary policy, exchange rate system, and financial system stability. The IMF's technical assistance and advisory programs have become increasingly important in recent years. Some analysts now believe that this is IMF's most important function. IMF technical assistance operations focus primarily on its core areas of expertise i.e. financial and macroeconomic policy management. The IMF's Technical Assistance department plays a key role in the implementation of the IMF's development-oriented strategy. There has been increased demand for assistance in areas such as government transparency, compliance with international standards and codes, strengthening domestic financial systems and poverty

reduction. Demand has been especially great in the areas of fiscal policy and administration of technical assistance. In addition to helping countries design appropriate fiscal policies, the Fund also help them build the institutions needed to support and implement them.

8.5.4 Working, Lending Facility and Special Drawing Rights (SDRs)

Working of IMF

The IMF serves as a global hub for knowledge on economic and financial issues. It shares this knowledge with government institutions such as finance ministries and central banks in different forms. This ranges from support on a policy issue to holistic capacity development. This hands-on advice, peer-to-peer learning, and training are delivered to the countries in various ways. IMF staff offer expert advice to country officials both in country and remotely from headquarters. Such visits are focused on targeted issues and initiated at the request of the member country.

A global network of regional capacity development centres (RCDCs) and training programs help to implement the IMF's mandate to deliver capacity development services to its member countries. IMF also provides in-person and online training for government officials on targeted macroeconomic and financial topics. Online training is also provided to the general public through massive open online courses in partnership with edX.

IMF also provides periodic assessments of global prospects in World Economic Outlook, of financial markets in its Global Financial Stability Report, of public finance developments in its Fiscal Monitor, and of external positions of the largest economies in its External Sector Report.

Lending Facility

When a country requests a loan, the IMF give the country the money needed to rebuild or stabilize its currency and re-establish economic growth. The IMF offers member countries a variety of loans tailored to meet specific uses.

- 1) Poverty Reduction and Growth Trust (PRGT) Loans:** These are low-interest loans for low-income countries to reduce poverty and improve growth.
- 2) Exogenous Shocks Facility (ESF) Loans:** These are loans to low-income countries that provide lending for negative economic events that are outside the control of the government. These events could include commodity price changes, natural disasters, and wars that can interrupt trade.

- 3) **Stand-By Arrangement (SBA) Loans:** Countries with short-term balance of payment issues apply for stand-by arrangement (SBA) loans from the IMF. SBA loans are meant to help countries emerge from an economic crisis.
- 4) **Extended Fund Facility (EFF) Loans:** Countries with long-term balance of payment issues that require economic reforms apply for extended fund facility loans.
- 5) **Supplemental Reserve Facility (SRF):** The IMF provides supplemental reserve facility (SRF) assistance to meet short-term financing on a large scale. An example of this was when the loss of investor confidence during the Asian financial crisis of 1997 caused enormous outflows of money and led to massive IMF financing.
- 6) **Emergency Assistance Loans:** These are designed to provide assistance to countries that have had a natural disaster or are emerging from war.

Special Drawing Rights (SDRs)

The IMF issues an international reserve asset known as (SDRs) that can supplement the official reserves of member countries. The SDR was created as a supplementary international reserve asset in the context of the Bretton Woods fixed exchange rate system. The SDR serves as the unit of account of the IMF. The SDR value in terms of the U.S. dollar is determined daily based on the spot exchange rates observed at around noon London time, and is posted on the IMF website.

The SDR was initially defined as equivalent to 0.888671 grams of fine gold—which, at the time, was also equivalent to one U.S. dollar. After the collapse of the Bretton Woods system, the SDR was redefined as a basket of currencies. Presently, the value of the SDR is based on a basket of five currencies—the U.S. dollar, the euro, the Chinese renminbi, the Japanese yen, and the British pound sterling. The SDR basket is reviewed every five years, or earlier if warranted, to ensure that the basket

A general allocation of SDRs requires Board of Governors approval by an 85 per cent majority of the total voting power. Once agreed, the allocation is distributed to member countries in proportion to their quota shares at the Fund. Total global allocations are currently (as on August 3, 2021) about 660.7 billion (equivalent to about US\$943 billion). This includes the largest-ever allocation of about SDR 456 billion approved on August 2, 2021. This largest SDR allocation in the history of the IMF (effective on August 23, 2021) addresses the long-term global need for reserves for addressing the impact of the COVID-19 pandemic.

Check Your Progress-III

Q1. Explain financial structure of funds.

Ans.-----

Q2. Define SDRs

Ans.-----

8.6 Summary

International monetary system is a set of arrangements, rules, practices and institutions under which payments are made and received for international transactions across national boundaries. International monetary system motivates and encourages the nations to participate in the international trade to improve their BOP and minimize the trade deficit. There have been four stages in the evolution of the international monetary system: Gold Standard (1880-1914), Inter-war period (1918-1939), Bretton Woods's system (1947-1971) and Present International Monetary system (1972- Present). Under the gold standard, the countries accepted the major assets gold in settlement of international debt. The central bank of the country was always ready to buy and sell gold at the specified price. In the Inter-war period, Britain was replaced by the United States of America as the dominant financial powerhouse across the globe. The Bretton Woods system was a gold-exchange standard. The United States was to maintain the price of gold fixed at \$35 per ounce and be ready to exchange on demand dollars for gold at that price without restrictions. This system was in the nature of an adjustable peg system combining general exchange rate stability with some flexibility. An integral part of the Bretton Woods system was the establishment of the IMF, which still administers the international monetary system. Member nations subscribe by lending their currencies to the IMF. The IMF then re-lends these funds to help countries in balance-of-payments difficulties. The IMF serves as a global hub for knowledge on economic and financial issues. IMF has three principal functions (1) surveillance (2) financial assistance (3) technical assistance. The IMF issues an international reserve asset known as (SDRs) that can supplement the official reserves of member countries. The SDR serves as the unit of account of the IMF. The SDR value in terms of the U.S. dollar is determined daily based on the spot exchange rates observed at around noon London time, and is posted on the IMF website.

8.7 Questions for Practices

A. Short Answer Type Questions

- Q1. Write a note on the Inter War Period.
- Q2. Write the different stages of the evolution of International Monetary System.
- Q3. Examine the lending facility of IMF.
- Q4. What do you understand by the Price-Specie-Flow Mechanism under Gold Standard?
- Q5. Describe the role of international monetary system in the globalisation era.

B. Long Answer Type Questions

- Q1. Explain various functions and working of International Monetary Fund.
- Q2. Write a detailed note on the Bretton wood system.
- Q3. Point out the main features of Gold Standard. What factors caused the collapse of Gold Standard?
- Q4. What are the objectives of IMF? Also describe the organisational and financial structure of IMF.

8.8 Suggested Readings

- Salvatore, Dominick (2019) Introduction to International Economics. 11th Edition, Wiley, pp 655-675
- Obstfeld, Maurice, and Paul R. Krugman (2003) International Economics: Theory and Policy. Pearson Education, Inc, pp 496-526
- Sodersten, Bo, and Geoffrey Reed (1994) International Economics. New York: St. Martin's Press. Pp 659-657
- Theo Eicher, John H. Mutti, Michelle H. Turnovsky. International Economics (2009), 7th Edition, Routledge, pp 626-657
- Official Website of International Monetary Fund: www.imf.org

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

COURSE: INTERNATIONAL ECONOMICS

UNIT 9: PRESENT INTERNATIONAL MONETARY SYSTEM: PROBLEMS AND REFORMS

STRUCTURE

9.0 Learning Objectives

9.1 Introduction

9.2 Exchange Rate Developments: Post Bretton Woods System

9.2.1 European Monetary System (EMS)

9.2.2 Jamaica Accord

9.2.3 The Plaza Accord, 1985 (G5)

9.2.4 The Louvre Accord, 1987 (G7)

9.3 International Liquidity

9.3.1 Problems of International Liquidity

9.3.2 IMF and International Liquidity

9.4 Present Managed Floating Exchange Rate System

9.4.1 Key Features

9.4.2 Problems with Present Exchange Rate Arrangement

9.4.3 Proposals for International Monetary Reforms

9.5 Summary

9.6 Questions for Practice

9.7 Suggested Readings

9.0 Learning Objectives

After reading this unit, learner will be able to:

- Understand the various Exchange Rate Developments in the International Monetary system after the collapse of Bretton woods System.
- Describe Problems of International Liquidity and examine the role of IMF to solve it.

- Know about the Key features of Present Managed Floating Exchange Rate System.
- Identify the major Problems of Present Exchange Rate Arrangement.

9.1 Introduction

After the downfall of the Bretton Woods System, there has not been any formal International Monetary System in place. The economic performance of nations in the period since 1973 has been mixed. There has been a continuing expansion of trade in goods and services, both in absolute terms and as a ratio to output. The period has also seen a significant expansion in capital flows between economies. At the same time, economic performance, as measured by the two most basic macroeconomic indicators i.e., inflation and growth in real output has been somewhat disappointing. Inflation rose sharply after 1973 in many countries because of macroeconomic responses to the oil price hikes. More recently, the industrial countries appear to have returned to a period of sustained low inflation, but the same cannot be said for developing countries. Wide fluctuations of exchange rates may have undesirable effects on inflation, employment and international competitiveness of the developed as well as underdeveloped nations. In the present lesson you will be reading about how the present international monetary system, after the collapse of Bretton woods system has evolved over the time and what kind of challenges it is facing in the light of excessive fluctuations and uncertainty in the international financial market. The present-day International Financial Architecture is a managed float system. All the currencies of all the countries can freely float against one another in an open market under the managed float system. Let us now study the journey, problems and reforms of present International Monetary system in the subsequent sections.

9.2 Exchange Rate Developments: Post Bretton woods System

After the collapse of the Bretton Woods system, efforts were taken to evolve a more stable international exchange rate system and to deal with the problem of international liquidity through different systems accords over a period of time. These accords are discussed in detail as follows:

9.2.1 European Monetary System (EMS)

The Bretton Woods System was used to maintain stability among major currencies. However, it was dropped in 1971. In the previous lesson you have gone through the reasons of collapse of Bretton woods system. European countries then launched the European Monetary System (EMS) in 1979 to achieve monetary stability through a stable exchange rate. The EMS launched

the European Currency Unit (ECU) and the European Exchange Rate Mechanism in order to achieve the overarching goal of monetary stability and work towards the idea of a single market in Europe. The European Monetary System mainly relied upon the ECU and the existing exchange rate mechanism. Exchange rates were only allowed to deviate within a certain range from the fixed central point, which was determined by the ECU. In the EMS, exchange rate fluctuations of member countries currencies were limited to 2.25% from the fixed central point, which was determined by the European Economic Community

In 1988, the EMS was set to undergo a three-stage reform that eased the transition to a common European Monetary Union (EMU). The first stage introduced free capital movements across Europe and was a part of the 1992 crisis. It continued functioning under the Maastricht Treaty, which was signed in 1992 and laid the foundation for the European Union.

The second and third stages came in 1998 and 1999 respectively, after the introduction of the Euro. The EMS and its exchange rate system were replaced by the adoption of the Euro and the formation of the European Central Bank, which has authority over the EU's monetary policy.

9.2.2 Jamaica Accord

In the year 1972, US and European countries negotiated on the reform of the international monetary system. After four years, an agreement on an amendment of the Articles was reached in Jamaica in January 1976. A new Article IV of Agreement was approved by the Board of Governors of IMF in April 1976, and was ratified by 2/3rd of the member nations in 1978.

The first amendment of this article permitted creation of SDR. The contents of that amendment are as under:

- (i) A member country is free to choose its own exchange rate system i.e. legitimizing floating rates.
- (ii) The Fund will exercise surveillance over the exchange rate policies and adopt specific principles to guide member countries.
- (iii) By 85% supermajority, the Fund may reintroduce a system of adjustable peg.
- (iv) To downgrade the monetary role of gold (gold cannot be used for international transactions).
- (v) To designate SDR as the principal reserve asset in the international monetary system.

9.2.3 The Plaza Accord, 1985 (G5)

The Plaza Accord was the agreement between G-5 countries i.e., France, West Germany, Japan, the U.S. and the U.K., to depreciate the U.S. dollar with respect to other international currencies by intervening in the foreign exchange market. The governments of G-5 signed this Accord on September 22nd 1985 at the Plaza Hotel in New York in which the U.S. accepted to intervene in the foreign exchange market to devalue its currency. As per the accord, the U.S. dollar was devalued by 51 per cent. The rationale for the devaluation of the U.S. dollar was to reduce the current account deficit of the U.S. which was 3.5 per cent of GDP.

The Plaza Accord was successful in reducing the current account deficit of the U.S. as devaluation of the U.S. dollar made U.S. exports cheaper to its trading partners. The outcome of the Plaza Accord was the emergence of Japan as a real player in managing the international monetary system. However, currency speculation depreciated the U.S. dollar further even after the end of co-ordinated interventions.

9.2.4 The Louvre Accord, 1987(G7)

An economic summit of the leaders of the world was organized against the background of exchange rate instability and the quest for a new exchange rate regime. The economic summit held in Paris at the Louvre Museum on February 22, 1987 came to be known as the Louvre Accord. A new compromise exchange rate system between flexible and fixed exchange rate arrangements was agreed by the G-7 countries (the U.S., Japan, the U.K., West Germany, France, Italy and Canada) as the authorities of major industrial countries recognized that further substantial shift in exchange rates could hamper their economic growth. The main agenda of the Louvre accord was to curb excess volatility of the exchange rates, to achieve greater stability with co-operation and co-ordinate macroeconomic policies.

The G7 was expanded in 1999 to include twenty countries as a response to the financial crises of the late 1990s and the growing recognition that key emerging-market countries were not adequately included in the core of global economic discussions and governance. At present the G20 members are: Argentina, Australia, Brazil, Canada, China, France, Germany, Japan, India, Indonesia, Italy, Mexico, Russia, South Africa, Saudi Arabia, South Korea, Turkey, the United Kingdom, the United States, and the European Union. These members account for more than 80% of world GDP, 75% of global trade and 60% of the world population.

Check Your Progress- I

Q 1: Write a short note on the European monetary System.

Ans.-----

Q 2: Give the List of countries included in G5, G7 and G10 respectively.

Ans.-----

9.3 International Liquidity

The term ‘International Liquidity’ in its simplest form, comprises of all reserves that are available to the monetary authorities of different countries for meeting their international disbursement. The various components of International Liquidity are:

- a) Gold held by Central Bank (gold held by private individual is not included)
- b) Foreign currencies held by the central bank
- c) Borrowing facilities available from IMF under different schemes
- d) Credit facilities available under swap and other related credit agreements
- e) Special drawing rights (SDR)
- f) A country borrowing capacity in the international money market

In the literature on international liquidity, distinction is made between owned and borrowed reserves. Foreign exchange surplus, after meeting all current and capital account obligations of the country with the rest of the world, are “owned” reserves. Similarly, the official gold stock of a country constitutes its owned reserves. Capital imports in the form of borrowings from abroad and direct investments by foreign countries constitute borrowed reserves. Both owned and borrowed reserves are the source of international liquidity.

Form the point of view of an individual country, the international liquidity has the demand and supply aspects. The demand for international liquidity arises out of demand for imported goods and services, capital outflows and unilateral transfers. The supply of liquidity concerns the sources of international liquidity. An excess of demand over supply causes depletion or shortage of international liquidity reserves. On the opposite, an excess of supply over demand would make addition to international liquidity reserves of a given country.

International liquidity has become a key focus of international policy debates over recent years. International liquidity and its drivers are of major importance for international financial stability, both in the build-up phase for vulnerabilities and when any resulting financial

imbalances occur. With increasing financial integration, global financial conditions have a growing impact on domestic economic conditions in each country, affecting international capital flows and the dynamics of credit, financial asset and property prices in all major economies. Shortages of global liquidity can have important implications for economic growth, as experienced in 2008–09.

9.3.1 Problems of International Liquidity

The problem of international liquidity is associated with the problem of international payments. These payments arise in connection with international trade in goods and services and also in connection with capital movements between one country and another. Broadly speaking, the problem of international liquidity has two aspects: quantitative and qualitative. The quantitative aspect of the problem relates to the adequacy of international liquidity. The qualitative aspect of the problem pertains to the nature and composition of international reserves for liquidity. A major source of worry in maintaining international economic relations is the quantitative aspect of the problem of international reserves. It is generally feared that in future there is likely to arise a shortage of international liquidity.

It is regarded that there is no guarantee that the present international monetary system will automatically provide an increase in the supply of international liquidity over the years to finance the expanding volume of international trade and payments. As such, the total quantity of international reserves under the present international monetary system is going to be extremely inadequate for the world's future demands. In its qualitative aspect, the problem is related to the use of the dollar and sterling as reserve components. The U.S. dollar and the pound sterling are the principal reserve currencies or "key currencies" because of their role as the major trading currencies for carrying out a large number of international trade and investment transactions.

The world community has, however, continued to face the severe strains of international liquidity aggravating the balance of payments deficits and internal economic problems such as unemployment, poverty and inflation. The main reasons for the inadequacy of international liquidity are as follows:

- 1) Balance of Payments Deficits:** BOP deficits of the majority of countries in the world are on the increase. In particular, after globalisation, these countries have been facing persistent BOP deficits. Too much dependence on exports has exposed these economies to international fluctuations in the demand for their products. On the other hand, in order to

develop, their import requirements have been on the increase. As a result, they are faced with foreign exchange constraints. This has necessitated larger inflow of aid and foreign investment. Consequently, debt service and interest on debt have risen, leading to decline in the net inflow of foreign capital.

- 2) **Redistribution of International Reserves:** The international reserves have been redistributed in favour of more advanced countries. A large majority of the member countries of the IMF and other international financial institutions have received inadequate financial resources to meet their liquidity requirements. The distribution of international reserves is biased and favours the developed countries. It is primarily based on the quotas in the IMF. Whenever the IMF quotas are revised, the larger share goes to the developed countries.
- 3) **Attitude of the Advanced Countries:** The problem of shortage of international liquidity has persisted on account of the attitude adopted by the advanced countries. It is important that they should reduce their BOP surpluses. However, the majority of the advanced countries have shown little interest in adopting policies for getting rid of their surpluses and helping in increasing the international liquidity. They put forward the argument that the international liquidity crisis is not on account of their accumulated payments surpluses. They allege that international liquidity has arisen due to the mismanagement of the economies, extravagant public spending and unproductive expenditure.
- 4) **Limited Access to Markets of Advanced Nations:** The basic cause of mounting BOP deficits and inadequacy of international liquidity is that the LDC's have very little access to the markets of the advanced countries. On the one hand, the advanced countries advocate free trade but, on the other hand, they have maintained a regime of tariffs and other import restrictions upon the exports of the LDC's. The formation of regional economic grouping among the advanced countries of Europe and North America and consequent imposition of a high common external tariff not only exposes the double standards on the part of advanced countries on the issue of free trade, but also amounts to denying the access to the LDC's of their markets. In such a situation, the latter cannot easily resolve their problems of payments deficits, mounting debt burden, low development and shortage of international liquidity.

In short, we can say that the problem of international liquidity is concerned with the imbalances in the demand for and supply of international liquidity. International liquidity shortage leads to recession in the world economy, whereas international liquidity surplus tends to have an inflationary impact on international economy. Solution to this problem relates to attempts at

balancing supply and demand for international liquidity. If the national currencies of all the countries become fully convertible, and freely acceptable in international payments, no shortage of international liquidity can arise. Also, if all the deficit countries are allowed to have an unlimited and unconditional access to borrowing and trading, there would have been no problem of international liquidity.

9.3.2 IMF and International Liquidity

The International Monetary Fund (IMF) has been established with an objective of extending short-term financial assistance to its members to overcome the balance of payments difficulties as well as emergency situations. It contributes to the international liquidity in two ways by providing conditional liquidity and by providing unconditional liquidity.

- 1) **Conditional Liquidity:** The IMF provides conditional liquidity under its various lending schemes. The credit provided to the members is generally subject to certain conditions. Most of the IMF loans require an adjustment programme to be undertaken by the member country for improving its balance of payments position. Moreover, obtaining funds from the IMF under agreed conditions increases the member's access to international capital market. Important credit facilities provided by the IMF are (a) basic credit facility, (b) extended fund facility, (c) compensatory financing facility, (d) buffer stock facility, (e) supplementary financing facility, (f) trust fund, (g) structural adjustment facility, etc. In order to make the resources easily and more adequately available, the IMF has been introducing various procedure changes from time to time
- 2) **Unconditional Liquidity:** The supply of unconditional liquidity takes the form of reserve assets that can be used for balance of payments financing. The IMF provides unconditional liquidity through the allocation of Special Drawing Rights (SDRs), and also in the form of reserve positions in the Fund. Member countries can use their holdings of SDRs and reserve positions in the Fund to finance their balance of payments deficits without having to enter into policy commitments with the Fund.

9.4 Present Managed Floating Exchange Rate System

A managed float exchange rate system is an international financial arrangement, whereby central banks intervene only periodically to support a country's currency and to stabilize volatile fluctuations in foreign exchange rates. In other words, Managed Float is a floating exchange rate in which a government intervenes to change the direction of the float by buying or selling currencies. A managed float is sometimes called a "dirty float" because exchange

rates are free to fluctuate, but central banks are committed to intervening under conditions of perceived instability.

A floating exchange rate is determined in foreign exchange markets depending on demand and supply, and it generally fluctuates constantly. The managed float system works when the financial authority of a country allows the currency to float (allowing its exchange rate to move up or down) depending on supply and demand in the foreign exchange market but still intervenes in the market to make sure the exchange rate does not move beyond assumed official limits. This is because big fluctuations in the external value of a currency can increase investor risk and perhaps damage business confidence.

The central bank can bring about depreciation in currency to improve the balance of trade or improve the current account by making exports more prices competitive. To reduce the prices of imported capital and technology or essential inputs, the central bank can bring about an appreciation of the currency to enhance long run growth potential.

9.4.1 Key Features of Managed Floating Exchange Rate System

Managed floating exchange rate regime has three main features:

- a) First, floating of exchange rate is based on market supply and demand so that the exchange rate plays a role as a price signal.
- b) Second, the range of floating adjustment is based on trade and current account balances to reflect the “managed floating” nature.
- c) Third, the exchange rate is determined with reference to a basket of currencies, rather than the bilateral exchange rate.

These features are discussed in detail as follows;

- 1) Based on Market Supply and Demand Model:** In theory and practice, resource allocation is efficient when the supply and demand is broadly in balance. When the supply and demand is not in balance, optimization of resource allocation is not possible. When total exports are persistently smaller than total imports, resources are not adequately channelled to the export sector, and it would result in shortage of foreign exchange and consequently import demand for consumer and capital goods cannot be met. When total imports are persistently smaller than total exports, resources are overly concentrated in the export sector and subsequently the foreign exchange earned through export cannot be absorbed by import and can only be invested overseas. If investment is concentrated in low-yield sectors overseas, the resource is not allocated efficiently.

- 2) **Range of floating adjustment is based on trade and current account balances:** The equilibrium exchange rate determination theory treats exchange rate as a function of current account balance or trade balance. If the function has a linear relationship with current account balance, it could be adjusted accordingly. However, the relationship is much likely to be non-linear, which means exchange rate floating needs to be progressed in a gradual and proper manner and should be managed in line with the state of the economy and BOP Position.
- 3) **Exchange rate is determined with reference to a basket of currencies:** Theoretically, the best indicator to measure the international relative price of tradable is real effective exchange rate, i.e., the exchange rate measured by a basket of currencies of major trading partners. The exchange rate regime with reference to a basket of currencies helps in adjusting exports and imports, current account, and balance of payment in a more effective manner. The real effective exchange rate (REER) is the weighted average of a country's currency in relation to an index or basket of other major currencies. The weights are determined by comparing the relative trade balance of a country's currency against that of each country in the index. An increase in a nation's REER is an indication that its exports are becoming more expensive and its imports are becoming cheaper. The reference of a basket of currencies is reasonable in theory. In practice, however, the nominal effective exchange rate, which is not inflation-adjusted, is more frequently used.

9.4.2 Problems with Present Exchange Rate Arrangement

The Present Exchange Rate Arrangements i.e., a system of managed floating exchange rate has been practiced by many countries at present. The central banks have been trying to control fluctuations of exchange rates around some narrow band. However, the demand and supply forces are mainly determining the exchange rate. Managed floating exchange rates are also known as a dirty float because the government is trying to intervene so that exchange rate volatility becomes more moderate.

However, the current international monetary system is not functioning too well. Exchange rate volatility, financial crises, persistent global imbalances, accumulation of US dollar debt abroad are undermining the confidence of the US dollar. The use of the US dollar as the most dominant international currency creates tension between national and global monetary policy making. The major problems of present exchange arrangement are discussed in detail as under:

1. Excessive Fluctuations in Exchange Rates and Large Disequilibrium in Balance of Payments:

- a. Market forces may fail to determine the appropriate exchange rate and hence managed floating exchange rate regime may not provide the desired results and may also lead to misallocation of resources.
- b. Volatile exchange rate introduces considerable uncertainty in export and import prices and consequently to economic development.
- c. It is expected that a wildly fluctuating exchange rate at the mercy of national and international currency speculators would hamper the trade flow and investments.
- d. Countries may become involved in rounds of competitive devaluations in order to capture a competitive advantage equivalent because of interest rate policies and the movement of short-term capital.
- e. Different governments try to set their exchange rates at levels that are inconsistent with each other. A depreciating currency will help a country's exporting sector. However, the cost of imports will invariably rise leading to cost push inflationary pressures.

2. Incompetent in Avoiding Global Financial Crises:

Another problem of the present International Monetary System is that it is incompetent in avoiding global financial crises. There have been four serious financial crises over the past few decades. Mexico in the years 1994 and 1995 has suffered from major economic and financial downfall. These crises came to an end in December 1996. Similarly, in the year 1997, Southeast Asia had suffered from a major economic breakdown. Russia and Brazil also had to go through serious financial crises in the year 1998 and 1999 respectively. In 2007-2009, the Global Economic Crisis questioned the current International Financial Architecture. There have been many such major financial breakdowns over the past few years, which the International Financial Architecture was unable to avoid.

Present exchange arrangements were also unable to prevent the international financial crises that occurred in the 20th centuries. The 2007–2009 global financial crises are considered as the worst global economic crisis since the Great Depression of 1930s. In 2014, Falling commodity prices and the annexation of Crimea and Ukraine led to the collapse of Russia's economy.

More recently, the rapid spread of COVID-19 in 2020 has brought a profound impact on the global economy and forced countries around the world to adopt different intervention measures. The economic response policies implemented by governments during the pandemic,

including income support, fiscal measures, and international aid, have a restraining effect on exchange rate volatility.

Check Your Progress -II

Q 1: Describe the key features of Managed Floating Exchange Rate System.

Ans.-----

Q 2: What are the various components of International Liquidity?

Ans.-----

9.4.3 Proposals for International Monetary Reforms

A well-functioning international monetary system should ensure exchange rate stability, facilitate current account adjustment, provide sufficient international liquidity for the world economy, and promote international trade and investment. In short, it should provide an international framework for sound national economic policymaking. In order to reduce the instability of exchange rate and avoid large exchange rate misalignments, alternative proposals have been suggested by various economists from time to time. These are discussed as under:

- 1. Establishment of Target Zones:** Williamson called for the establishment of target zones in 1986. According to him, the leading industrial nations should estimate the equilibrium rate of exchange and agree on the permitted fluctuations. The equilibrium rate of exchange may be determined by the forces of demand and supply. A band of fluctuations 10 per cent above and below the equilibrium rate of exchange may be allowed. The exchange rate may be prevented from moving outside the target zones by official intervention in foreign exchange markets. The leading industrial nations seem to have agreed upon some such target or reference zones between the dollar and the yen and between dollar and German mark at the Louvre agreement in February 1987. But the boundaries of these target zones seem to be much smaller than 10 per cent as advocated by Williamson. The proposal of target zones as, however, been criticised on the ground that it embodies the worst characteristics of fixed and flexible exchange systems.
- 2. Policy Coordination:** In 1984 another proposal was advanced by Mc Kinnon concerned with the policy co-ordination among the leading countries. As per this proposal, the United States, Germany and Japan should fix the exchange rate among their currencies at their equilibrium level determined by the purchasing power parity. Then they would co-ordinate their monetary

policies for keeping the exchange rate fixed. For instance, a tendency for dollar to depreciate vis-a-vis yen would signal that the United States should reduce the growth rate of its money supply, while Japan should increase it. The net over-all change in the money supply in these three countries should take place at a rate consistent with the non-inflationary expansion of the world economy.

- 3. Objective Indicators:** The objective indicators include growth of GNP, inflation-unemployment mix, balance of trade, fiscal balance, growth of money supply and international reserves. The variations in the magnitude of these indicators will create the necessity of adopting restrictive or expansionary economic policies. The IMF Interim Committee in 1986 made a proposal based upon the objective indicators of economic performance for signalling the nature of co-ordinated macroeconomic policies that the countries should follow under the supervision of the IMF so that the world economy grows along a sustainable non-inflationary path.
- 4. International Capital Flows:** Another proposal emphasises upon restricting international speculative capital flows. It recognises that the instability in exchange rates and global imbalances in trade and payments are caused by huge international capital flows. In this regard, Tobin had suggested in 1978 the imposition of a transactions tax which should become progressively higher, the shorter the duration of transaction.

According to Dornbusch and Frankel, the financial capital flows can be restrained through dual exchange rates i.e. less flexible one for trade transactions and a more flexible one for purely financial transactions not related to international trade and investments. Tobin and Dornbusch believed that smooth working of the international financial system can be achieved by restricting international hot money flows through capital market segmentation. Such proposals are, however attacked by the critics on the ground that it is next to impossible to separate non-productive or speculative capital flows from productive flows related to international trade and investments.

- 5. Sacrifice of Autonomy:** Still another proposal for reforming the international monetary system was put forward by Cooper in 1985. According to him, international economic cooperation and policy co-ordination required the sacrifice of autonomy in economic decision-making by the individual countries. If the leading industrial nations, give up some of their autonomy in the years to come, there can be hope for more efficient and smooth working of present international monetary system.
- 6. Maintaining the Status Quo of Dollar-Led International Monetary System:** Although there are lot of weaknesses in the current international system, however, the dominant status

of dollar is irreplaceable. The most important thing for the international monetary system is that the U.S and the Eurozone return to a sustainable and fiscally-sound growth path. Over a certain period of time, this will allow international interest rates to return to normal levels, alleviate fears of carry trades and hot-money inflows in emerging markets, and restore confidence in the main reserve currencies. According to Nakao (2010), neither euro and yen, and SDRs become the global reserve currency or denominated currency. After all, the direction of reforming the IMS should be the stabilization of the current system by strengthening US dollar as anchor currency.

To sum up, various proposals to reform the international monetary system are closely connected. But the approach of different nations towards these proposals lacks the mutual consensus. The recent observed trends indicate that advanced countries have not only been working at the cross-purposes, but, they have also shown no interest to accommodate the trade and financial interests of the less-developed world. In these circumstances, the instability and recurring crises in the international monetary system are not expected to be tackled effectively.

9.5 Summary

After the collapse of the Bretton Woods system, efforts were taken to evolve a more stable international exchange rate system and to deal with the problem of international liquidity through different systems accords over a period of time. European countries launched the European Monetary System (EMS) in 1979 to achieve monetary stability through a stable exchange rate. The EMS launched the European Currency Unit and the European Exchange Rate Mechanism in order to achieve the overarching goal of monetary stability and work towards the idea of a single market in Europe. The Jamaica Accords were a set of international agreements that took the form of recommendations to change the "articles of agreement" that the International Monetary Fund (IMF) was founded upon. The agreement was concluded at Kingston, Jamaica by a committee of the board of governors of the IMF. The Plaza Accord was successful in reducing the current account deficit of the U.S. as devaluation of the U.S. dollar made U.S. exports cheaper to its trading partners. The outcome of the Plaza Accord was the emergence of Japan as a real player in managing the international monetary system. The economic summit held in Paris at the Louvre Museum on February 22, 1987 came to be known as the Louvre Accord. A new compromise exchange rate system between flexible and fixed exchange rate arrangements was agreed by the G-7 countries (the U.S., Japan, the U.K., West Germany, France, Italy and Canada). The G7 was expanded in 1999 to include twenty countries

as a response to the financial crises of the late 1990s The G20 members are: Argentina, Australia, Brazil, Canada, China, France, Germany, Japan, India, Indonesia, Italy, Mexico, Russia, South Africa, Saudi Arabia, South Korea, Turkey, the United Kingdom, the United States, and the European Union. The problem of international liquidity is concerned with the imbalances in the demand for and supply of international liquidity. International liquidity shortage leads to recession in the world economy, whereas international liquidity surplus tends to have an inflationary impact. The International Monetary Fund (IMF) has been established with an objective of extending short-term financial assistance to its members to overcome the balance of payments difficulties as well as emergency situations. It contributes to the international liquidity in two ways by providing conditional liquidity and by providing unconditional liquidity to international economy. A managed float exchange rate system is an international financial arrangement, whereby central banks intervene only periodically, not only to support a country's currency, but to stabilize volatile fluctuations in foreign exchange rates also. A well-functioning international monetary system should ensure exchange rate stability, facilitate current account adjustment, provide sufficient international liquidity for the world economy, and promote international trade and investment. Present exchange arrangements were unable to prevent the international financial crises that occurred in the 20th centuries. The 2007–2009 global financial crises are considered as the worst global economic crisis since the Great Depression of 1930s. In order to reduce the instability of exchange rate and avoid large exchange rate misalignments, alternative proposals have been suggested by various economists from time to time. The recent observed trends indicate that instability and recurring crises in the international monetary system are not expected to be tackled effectively as advanced countries have shown no interest to accommodate the trade and financial interests of the less-developed world.

9.6 Questions for Practice

A. Short Answer Type Questions

- Q1. Explain the term Managed floating exchange rate system.
- Q2. What do you understand by Jamaica Accord?
- Q3. Differentiate between the conditional and unconditional liquidity.
- Q4. Describe the reform proposal of Mc Kinnon concerned with the policy co-ordination among the leading countries.
- Q5. What is meant by real effective exchange rate (REER)?

B. Long Answer Type Questions

- Q1. What are the main problems of present exchange rate system? Also mention the various proposals to reform the international monetary system.
- Q2. Write a detail note on various exchange rate developments that took place after the breakdown of Bretton woods system.
- Q3. Comment upon the problem of international liquidity. What role can IMF play to solve this problem?
- Q4. Explain the proposals for international monetary reforms

9.7 Suggested Readings

- Jhingan, M.L. (2009). International Economics, New Delhi: Varinda Publications.
- Vaish, M.C. and Singh, S. (2018) International Economics, Delhi: Oxford and IBH Publishing Co. Pvt. Ltd.
- Rana, K.C.& Verma, K.N. (2010). International Economics, New Delhi: Vishal Publishing Co.
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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

COURSE: INTERNATIONAL ECONOMICS

UNIT 10: ROLE OF COMMON CURRENCY IN REGIONAL BLOCS AND COMMON MARKET, FINANCIAL GLOBALIZATION AND FINANCIAL CRISIS

STRUCTURE

10.0 Learning Objectives

10.1 Introduction

10.2 Common Currency: Meaning

10.2.1 Monetary Union and Monetary Authority

10.3 Conditions to Make a Monetary Union

10.3.1 Optimal Currency Zone

10.3.2 Advantages and Disadvantages of Monetary Unions

10.4 Common Market

10.4.1 Trading Blocs

10.4.2 Free Trade Area and Custom Union

10.4.3 Advantages and Disadvantages of Regional Trade Agreements (RTAs)

10.5 Evolution of the European Currency Union

10.6 Advantages and Disadvantages of a Common Currency

10.7 Common Currency and Regional Economic Cooperation

10.8 Financial Globalisation

10.9. Financial Globalisation and the Crisis

10.9.1 Financial Globalisation and Sources of the Crisis

10.9.2 International Capital Movements and the Financial Crisis

10.9.3 Financial Crisis and Banks

10.9.4 Valuation Channel

10.10 Summary

10.11 Questions for Practice

10.12 Suggested Readings

10.0 Learning Objectives

After reading this unit, learner will be able to:

- Know the meaning of common currency
- Define common market
- Examine the study of European union
- Describe the advantages and disadvantages of common currency and common market
- Define financial globalisation
- Evaluate financial crisis

10.1 Introduction

In the past, countries have entered into currency unions to facilitate trade and strengthen their economies and also to unify previously divided states. In the 19th century, Germany's former customs union helped to unify the disparate states of the German Confederation with the aim of increasing trade. More states joined beginning in 1818, sparking a series of acts to standardize the value of coins transacted in the area. The system was a success and led to the political unification of Germany in 1871, followed by the creation of the Reichsbank in 1876 and the Reichsmark as the national currency.

In 1865, France spearheaded the Latin Monetary Union, which encompassed France, Belgium, Greece, Italy, and Switzerland. Gold and silver coins were standardized and made legal tender, and freely exchanged across borders to increase trade. The currency union was successful and other countries joined. However, it was formally disbanded in 1927 amid political and economic turmoil during the early part of the century. Other historical currency unions include the Scandinavian Monetary Union of the 1870s based on a common gold currency.

10.2 Common Currency: Meaning

Three sets of factors, according to Barro, are likely to encourage the initiation of currency unions across the globe in the future:

- (i) the increasing number of countries in the world
- (ii) globalization
- (iii) the diminishing role of independent national monetary policies, especially for small countries.

For many of the growing number of smaller countries, the costs of maintaining separate currencies and floating exchange rates are likely to be very high. For them, therefore, the net

benefits from joining a monetary union (or simply using another country's currency) are likely to be significant (Barro 2001). This could encourage the formation of an increasing number of currency unions over time. The increased pace of globalization (including the spread of trade in goods and services and financial transactions and the heightened diffusion of technology) is also likely to encourage the formation of currency unions. In an increasingly globalizing world, there is likely to be greater synchronization of business cycles across countries, and hence the net benefits of having fewer currencies to conduct cross-border business are likely to be larger. Moreover, as the world gets more integrated, the volume of transactions involving citizens of different countries will increase. As international transactions become a larger share of total global transactions, the attractiveness of common currencies relative to a multitude of sovereign currencies is likely to increase. The benefit that economists and central bankers attribute to national monetary policies is also diminishing. There is growing scepticism about the usefulness of independent monetary policies, especially to smaller developing economies, for counter-cyclical stabilization purposes. All these factors have the potential to increase political support for monetary and economic integration across countries. Overall, therefore, events may become more favourable to the formation of currency unions.

A group of independent countries that share a single currency. That is, these countries, while maintaining sovereignty on economic policy, taxes, and similar issues, have transferred responsibility for a monetary policy to a central bank shared by participating members. The most famous monetary union is the Eurozone, though another example is the West African Monetary Union. A monetary union is also called a currency union.

There are more than 20 official currency unions, the largest of which is the Euro, which is used by 19 of the 28 members of the EU. Another is the CFA franc, backed by the French treasury and pegged to the euro, which is used in 14 Central and West African countries in addition to Comoros. The Eastern Caribbean Dollar is the official currency for Anguilla, Antigua and Barbuda, Dominica, Grenada, Montserrat, Saint Kitts and Nevis, Saint Lucia, and Saint Vincent and the Grenadines.

10.2.1 Monetary (or Currency) Union and Monetary Authority

A monetary union exists when two or more countries share the same currency. The most important example is the Eurozone. 19 members of the EU (out of 28) now use the Euro. Sharing a single currency is seen by many as a necessary measure to complete a single market between member countries, for the following reasons:

- 1) **Elimination of Exchange Rate Costs and Risks:** A British firm buying goods from Germany has to change Pounds into Euros, which involves a commission payment to a bank, unlike a French firm that already has a Euro bank account. A British firm also faces the risk of a change in the value of the pound against the Euro when exporting or importing to a Eurozone country. A fall in the value of the pound makes imports more expensive, and a rise in its value may make British goods less competitive in Europe. Countries in the Eurozone don't face these risks when trading with each other. Exchange rate costs and risks are a kind of trade barrier that impede movement towards a single market.
- 2) **Price Transparency:** A single currency improves the efficiency of a common market by making it easier for buyers and sellers to compare prices being charged in different countries. It makes it harder for multinationals to operate price discrimination (charging different prices in different countries) as all prices are in the same currency.

Monetary union requires a single monetary authority. In the Eurozone this is the European Central Bank (ECB). It performs the same functions for all the Eurozone countries as the Bank of England (B of E) does for the U.K. These functions are:

- 1) **Setting Interest Rates:** The ECB sets interest rates for the Eurozone much as the B of E does for the U.K. The ECB sets interest rates at the level it believes is needed to keep inflation under control (around 2%).
- 2) **Managing the Foreign Currency Reserves of the Eurozone:** The ECB can intervene in the foreign exchange markets by buying or selling other currencies to keep the euro exchange rate at what it thinks is a desirable level.
- 3) **Control of Issuing Notes and Coins:** The ECB oversees the issue of notes and coins in Eurozone countries, to prevent countries printing too much money, which would undermine the value of the euro and cause inflation.
- 4) **Supervision of the Banking and Financial System:** The ECB oversees the banking system to prevent bank failures that would threaten the stability of the euro.

Check Your Progress- I

Q1. What do you mean by common currency?

Ans.-----

Q2. What is monetary union?

Ans.-----

10.3 Conditions to Make a Monetary Union

For a monetary union to operate without causing major problems for some or all of its members, the following conditions need to be met:

- 1) Fiscal Policy Rules:** There should be agreed limits on the level of government borrowing and the size of the national debts of member countries. In the Eurozone the limits are 3% and 60% of GDP respectively. This is known as the Growth and Stability Pact. It is necessary to ensure that governments do not borrow such large sums that result in higher interest rates and inflation across the Eurozone. Also, if some governments borrow more than they can repay, it can cause a crisis in the banking system (the banks are the main lenders to governments) and threaten economic stability and the value of the euro.
- 2) Free Movement of Labour and Capital Between Countries:** In a monetary union some countries are likely to be more competitive than others, resulting in lower growth, lower wages, spare capacity and unemployment. Outside of a monetary union, it is possible for a country to regain competitiveness by allowing its currency to depreciate. As this can't happen in a monetary union, free movement of labour and capital is needed to restore employment and growth. Workers from low wage countries will migrate to richer ones, whilst capital will flow in the opposite direction, as firms in high wage countries seek to lower costs by opening factories in low wage countries. This has happened to a considerable extent in the Eurozone. German and French car companies for instance now have factories in Eastern Europe, whilst workers from poorer countries have migrated to richer ones.
- 3) Transfers:** In the U.K. or USA there are large fiscal transfers from richer to poorer areas. This cushions poorer regions from the effects of asymmetric shocks, e.g., Northern Ireland receives much more public spending than it pays in taxes, which helps to support the economy that has experienced a big decline in its shipbuilding, engineering and textiles industries. In the Eurozone there are only very limited fiscal transfers, because richer countries such as Germany and France are unwilling to see taxpayers' money used to support poorer countries like Greece. This can put the single currency zone under great strain and poorer countries may be better off leaving and having their own currency, which can fall to an exchange rate that makes them competitive.

- 4) **Member Countries are at Same Stage of the Economic Cycle:** If some countries are in recession and others are in a boom, it will not be possible for a common monetary and fiscal policy to work for all members. For instance, in the period leading up to the financial crisis in 2007/8 Ireland had a rapidly growing economy whilst France and Germany had very slow growth. The ECB set interest rates at a low level, which was right for the big economies of France and Germany, but created a property boom and inflation in Ireland that eventually lead to a very severe crash in house prices and a banking crisis.

10.3.1 Optimal Currency Zone

If all of the above conditions are met, plus the member countries all have similar levels of productivity, competitiveness then it can be described as an optimal currency zone, and it has a good chance of working and lasting. The Eurozone is probably not an optimal currency zone and Greece has already come very close to being forced out. It has a much weaker economy than northern European members, and struggles to be competitive inside the Eurozone. It is forced to undergo severe deflation (cuts in government spending and increases in tax) in order to drive down prices and regain competitiveness. This is called an internal devaluation, which has resulted in a severe recession and very high unemployment. Outside the zone it could have its own currency and let it fall in value.

10.3.2 Advantages and Disadvantages of Monetary Unions

Let's have a glimpse of advantages and disadvantages of monetary unions, firstly advantages then disadvantages.

Advantages:

- a) Elimination of exchange rate costs and risks
- b) Price transparency
- c) Price stability

Disadvantages:

- a) A member country cannot set its own interest rates or increase government borrowing above set limits, it loses a great deal of control over its own economy. Also, as it does not have its own currency, a member cannot devalue or revalue its currency when it seems desirable.
- b) Weaker economies in the Eurozone, such as Greece can be trapped in high unemployment, recession and balance of payments deficits. Outside the euro, Greece could devalue to

regain competitiveness and be more free to set its own interest rates and government borrowing to stimulate the economy.

- c) The problems are faced by weaker economies could be addressed by fiscal transfers. But there is little appetite for this in the Eurozone. Richer countries like Germany are unwilling to hand over taxpayers' money to prop up poorer countries.
- d) However, it should be noted that leaving the euro would not be a painless way out of its problems. Inflation might increase and the country might struggle to find lenders to finance government borrowing.
- e) When a country joins a monetary union there will be one-off costs associated with converting to the new currency. These include changes to vending machines and cash dispensers, and changes to accounting systems.

Check Your Progress- II

Q1. Explain any two conditions to make a monetary union?

Ans. -----

Q2. What are the advantages of monetary union?

Ans. -----

10.4 Common (or Single) Market

A common market involves not just a custom union, which covers only the movement of physical goods. It also involves free trade in services, such as air travel, banking and insurance, accountancy, healthcare and education.

A common market also requires a common set of regulations and standards. The EU sets product standards, which all countries have to observe; for instance, vehicles have emission limits, electrical goods have to meet safety standards. Without common standards, producers in one country could seek a competitive advantage by cutting costs by lowering safety or environmental standards.

A common market also involves the free movement of labour and capital amongst member countries for instance, in the European Union, workers are free to live and work in any member country. Firms in one member country are able to invest and operate in other member countries. For instance, German or French owned companies now run most of the electricity supply in

the U.K. Equally, British firms have operations in the rest of the E.U. Tesco is now a major supermarket chain in several EU countries.

10.4.1 Trading Blocs

A trading bloc is a group of countries, which have preferential trading arrangements between members. This involves the partial or complete elimination of trade barriers.

Trading blocs are usually comprised of countries, which are geographically close to each other. They are, therefore known as regional trade agreements (RTA). Where there are just two parties to a trade agreement it is a bilateral trade agreement (BTA). This may comprise just two countries, such as China and the U.S.A, or it could be an agreement between a single country and a trading bloc, such as the CETA agreement between Canada and the European Union. A BTA could also comprise an agreement between two trading blocs, such as the European Economic Area (EEA), which is a trade agreement between the European Union (EU) and the small group of European countries that belong to the European Free Trade Agreement (EFTA).

The higher the level of integration, the closer the member countries are to operating as a single economy. For instance, the United Kingdom (England, Scotland, Wales and Northern Ireland) is a fully integrated single economy, with no trade barriers between members, free movement of people and capital, a common currency and a shared government which controls fiscal policy (taxes and public spending).

10.4.2 Free Trade Area (FTA) and Custom Union (CU)

There are no tariffs or quotas on trade in goods between member countries, but each country can set its own tariffs (a tax on imports) or quotas (a physical restriction on the quantity of imports) on goods from non-members. The most important example of a FTA is the North American Free Trade Agreement (NAFTA), comprising the USA, Canada and Mexico. MERCOSUR is another FTA in South America, which includes both Brazil and Argentina, the two biggest economies of the continent.

There are no tariffs on goods between members of a CU, but unlike a FTA, there is a common external tariff (CET), which means that all members impose the same level of tariffs on non-members. In some customs unions there may also collectively agreed quotas on imports from non-members. The European Union (EU), operates a CU. An example of its CET is the 10% tariff that all members impose on imports of cars from non-member countries. The point of the CU is that it prevents a non-member country from exporting cars into a member country with

a low tariff and then shipping the cars into other member countries, which would have imposed a higher tariff.

10.4.3 Advantages and Disadvantages of Regional Trade Agreements (RTAs)

Advantages:

- a) **Trade Creation:** Where the reduction or elimination of a tariff or other trade barrier amongst members of an RTA results in member countries buying from each other things they previously produced for themselves this is called trade creation. It is an economic gain because it results in countries producing goods where they have comparative advantage and therefore lower opportunity cost.
- b) **Economies of Scale:** The elimination of trade barriers in an RTA gives producers in all countries access to a much bigger market. For instance, the EU has over 500 million consumers, compared to less than 70 million in the UK. Access to a larger market enables firms to produce on a larger scale and at lower unit cost. This is particularly true within a common market where cross border mergers and takeovers may result in fewer, but bigger firms. The more similar the tastes of consumers in member countries, the greater the opportunity for economies of scale, as firms can produce larger quantities of similar products.
- c) **Increased Competition and Choice:** Elimination of trade barriers gives consumers more choice as domestic firms now face increased competition from abroad. This should drive down prices, improve quality and lead to more innovation. Lower prices force firms to reduce costs, so increasing economic efficiency.

Disadvantages:

An RTA is likely to result in some trade diversion. This occurs when the RTA imposes tariffs or other trade barriers on exports from non-members, resulting in a trade distortion that favours member countries over non-members.

If the volume of trade creation exceeds the volume of trade diversion, then on balance the RTA will generate a net economic gain. This is more likely to occur if:

- a) The level of tariffs between countries joining was high before the RTA was formed
- b) The countries forming the RTA have a high volume of trade with each other
- c) The tariffs on non-members are low.

Check Your Progress-III

Q1. What do you mean by Common market?

Ans.-----

Q2. What is free trade area?

Ans.-----

10.5 Evolution of the European Currency Union

The history of the European currency union in its contemporary form begins with economic unification strategies pursued throughout the latter half of the 20th century. The Bretton Woods Agreement, adopted by Europe in 1944, focused on a fixed exchange rate policy to prevent the wild market speculations that caused the Great Depression. Other agreements reinforced European economic unity, such as the 1951 Treaty of Paris establishing the European Steel and Coal Community, which was later consolidated into the European Economic Community in 1957. However, the global economic hardships of the 1970s prevented further European economic integration until efforts were renewed in the late 1980s.

The eventual formation of the European Economic and Monetary Union was made possible by the signing of the 1992 Maastricht Treaty. Thus, the European Central Bank was created in 1998, with fixed conversion and exchange rates established between member states.

The Euro, the single currency of European Union (EU) came into existence on 1 January, 1999. In 2002, twelve member states of the European Union adopted the euro as a single European currency. As of 2020, nineteen countries use the euro for their currency.

10.6 Advantages and Disadvantages of a Common Currency

There are always points in favour and against a new concept, same way Common currency have as well. As European Union was the first union which had common currency so these points will also be for European currency.

Advantages:

- 1) Eliminate Exchange Rate Fluctuation:** Businesses who operate within the European Currency area would no longer have to worry about exchange rate fluctuations. In the past, a firm of country German who traded with country Italy would have to worry about how much currency exchange for others. If payment were to be settled in the future, exchange

rate fluctuation could either mean that the German firm pay more or less in term of Deutschmark for its Italian ordered placed in the past, say a month ago. Obviously, the German firm would not like to pay more in Deutschmark a month from now for the same order. To get over this problem, the firm could "hedge" the currency, that is, it would buy from the market for the delivery of a certain amount of Italian Lira, for a definite price in Deutschmark so "hedging costs" will solve the problem.

2) Reduced Transaction Costs:

- a) A single currency would encourage tourisms in the single currency area. A tourist to the European countries in the Euro currency area would not have to worry about exchanging different currencies and loss in transaction costs (commission and time) as she travels.
- b) This also encourage trade across borders in this single currency area. A Euro for example eliminate the extra accounting costs needed to keep tract of different and fluctuating exchange rates among trading partners within the single currency area. This reduced the cost of trading within the single currency area and thus stimulated more trade.

3) Price Transparency:

- a) Within the single currency union, all prices would be quoted in the same currency and this facilitate easy price comparison. Firms no longer could mask their high prices in local national currencies. Consumers could now compare the Euro prices of say coffee powder in Belgium and the Netherlands with ease. This supposed to encourage more cross borders businesses.
- b) This would also encourage firms to improve their efficiencies and competitiveness in the single currency area.
- c) In a monetary union, there is a single central bank for all member countries. The ECB for instance sets interest rates for the entire Eurozone, at whatever level is required to keep inflation to around 2%. The strict rules on government borrowing also help to maintain low inflation for all members.

4) Facilitate Market Expansion: However, prices differences would still exist in a single currency area due to transportation costs, storage costs, and other operation costs. Lower transaction costs, elimination of exchange rate fluctuations, and price transparency will give incentive for firms to expand their markets within the single currency area. This would also generate investment and employment.

5) A More Stable Currency:

- a) The Euro would be more stable, that is, experiences less exchange rate fluctuations when compared to national currencies because the "value" of Euro reflects the average economic conditions of the whole Union and not that of a single national economy.
- b) Moreover, Euro would enjoy more credibility because it is used in a larger currency zone.
- c) The stability of Euro is also protected by the explicit stability-oriented monetary policy of European System of Central Banks (ESCB) that controls the value of Euro.

7) Prevent Competitive Devaluation by Nation States: A single currency would prevent the need for nation states in EU to devalue their national currencies to achieve competitive edge over other nation states. When one nation devalues its currency, it actually forces others to devalue their respective currencies as not to lose to unfair competition from the first nation that devalues its currency. This kind of devaluation is unhealthy to the economic health of all nation states in EU. In the European Monetary System (EMS), currencies of members are fixed within a band of 2.25 % of the central parity. This system is still in operation and the central parity is now the Euro. Devaluation by any member within this system would encourage speculators to attack the currency and/or other currencies within the system because the credibility of EMS depends on maintaining the band. This speculation would fulfil its own prophecy and the currency would devalue further.

8) Lower Interest Rates because Euro enjoy monetary stability of the European Central Bank (ECB) and the absence of premium due to elimination of exchange rate fluctuations.

Disadvantages:

1. Lost of Autonomous Monetary Policy:

- a) With the formation of Euro, the ECB and not national central banks that set the interest rate for the Euro area. ECB also controls the money supply within the Euro area. Thus, nation states within the Euro area loss the ability to employ monetary policy to fine-tune their respective national economies.
- b) The commitment to the stability pact of 1996 also put pressure on these nation states to pursue discretionary fiscal policy because budget deficit has to be kept within certain acceptable limit.

2. Risk of Uneven Development Within the Single Currency Area:

- a) Harmonization of national regulations and the introduction of a single currency like Euro in principle create a single market from the different national economies that join this currency union. In the word of ECB, the creation of Euro enhances the mobility of capital and financial services within the Euro area. Due to external economies of scales, businesses have the tendency to concentrate in certain areas. This means, some peripheral areas within the Euro area would lose out on employment and growth.
 - b) Higher unemployment rate and lack of growth increase deflationary costs in these peripheral areas. These areas may experience more social problems (e.g. crimes, suicide, broken homes, etc.), loss of skills and loss of irretrievable economic potential.
 - c) Although capital can move with ease within the Euro area, labour force does not enjoy the same mobility. There are still great cultural and language barriers to labour mobility within the Euro area.
3. Some economists argue that the Euro area is by no means a single economy. National economies maintain their distinct characteristics within the Euro area and possess their respective business cycles. Thus, the monetary policy of ECB cannot address the economic need of individual member states.
4. Easier access to loans with lower interest rates can leads to mounting public debt as seen in Ireland, Greece and Spain. For instance, when Greece was inducted into the Euro Zone, it started to enjoy the monetary credibility of ECB and began having access to loans with lower interest rates (as compared to its previously high interest rates due to higher risk premium) and access to larger pool of loanable fund from other banks within the Euro zone. This led to a lot of public infrastructure projects in the country and some with little profit prospect. Very similar story in Spain where cheap loans funded the building of many airports. In 2011, there were 20 airports handled less than 100,000 passengers a year when a minimum 500,000 was needed to make an airport profitable (SCMP, Nov 2011). Public debt climbs and when the economy turned bad as in after the Subprime Crisis in the US, these countries were left with public debt that they could neither provide service nor repay back.

10.7 Common Currency and Regional Economic Co-operation

For Common Currency to succeed it depends upon the relations that the nation shares among each other. The major and long sustaining Common currency is Euro. If we take a closer look at European Union countries, they all are similar or homogenous. But the case is not the same

in South Asia. South Asian nations differ in each and every aspect be it type of government, Government policies or the state of economy, So the implementation would be impossible. South Asia is home to two major world powerhouses i.e. India and China, then there are other economies like Pakistan, Sri Lanka, Bhutan and Nepal. Even though there is an economic co-operation organization SAARC, the relationship which these countries share is not warm. So, it may hamper the success of any such policy.

The other major problem would be the burden, which would fall upon the major players i.e. India and China. Their economy is itself in a very volatile stage they are facing their own challenges for e.g. India is already facing some major challenges such as current account deficits and poverty, FDI etc. Any such step could fatally blow them. The only benefit that it may yield is for those economies, which already are dependent on other foreign nations such as Pakistan, Afghanistan. This can be a boost for these economies, any such policy would be a bad sign for the whole region as well as the global scenario.

Having a common currency among nations reduces the ability to use monetary policy to address economic situations. It requires introducing common standards to homogenize the countries in order to reduce aberrant conditions amongst the group. Since the S. Asia nations are very volatile, heterogeneous, and undeveloped, it would be very difficult to implement such requirements.

Looking at the situation in the EU, it will be very unlikely for another shared currency to appear any time soon. The problem comes down to, is a country like Germany really ever going to be like Greece or Portugal? Differing economies need distinct currencies to fluctuate with changes in their individual economic conditions.

The pros would mostly be towards a weaker economy that has a weak currency with high volatility. A shared currency would likely bring stability to that one member. However, it would require the other members to essentially support the weaker members, and there's too much risk with those nations to band together as such. The idea of a common currency in south Asia would not be good. And one of the major reasons for this is that the South Asian nations are at different stages of development.

Some factors, which emphasise on why can't the South Asian nations have a common currency:

- A. Foreign Exchange Reserves:** The trouble about having a Single currency is that each participating country will have to contribute their foreign exchange reserve to protect that

single currency. When that happens, South Asian nations with weaker currency can leverage on superior nations to take on cheaper and perhaps excessive loans. So, it would be non-beneficial for nations like Singapore which would cease up assisting weaker nations.

B. Capital Mobility: Having a single currency gets rid of the charges and inconvenience of currency conversion. This would make cross-border capital transfers extra convenient. The problem about capital mobility is that greed and fear have a tendency to move capital from poorly performing nation to higher performing nation. When capital is pulled out from a poorly performing nation, the problem gets worse and the motivation for more pull-out increases. This will create an irreversible spiral effect. This trouble is applicable due to the fact that the economies in South Asia are quite individualized and different. Hence, their overall performance is not going to move in lockstep at each point of time.

At present the divergence is pronounced and the idea of a common currency would find it difficult to succeed in South Asian countries but, perhaps a vibrant political, economical and regional cooperation at later point could give a thrust to the idea of common currency in South Asian nations.

Check Your Progress-IV

Q1. What is price transparency?

Ans.-----

Q2. Define European Currency union.

Ans.-----

10.8 Financial Globalisation

Globalisation means, opening up any economy to the world. Financial globalization, by definition, means the integration of financial markets of all countries of the world into one. This is only possible provided uniformity can be brought in the terms and conditions across the globe for raising international loans. The existence of different currencies with their different degrees of convertibility prevents uniformity in the terms and the conditions for loans. Consequently, not only does the existence of different currencies act as a barrier to such integration, but it disproportionately benefits the developed countries. This problem can only

be eliminated provided a single worldwide currency is introduced. In its absence, financial globalization remains incomplete.

In a financial crisis, asset prices notice a sharp decline in value, consumers and businesses are unable to pay their debts, and financial entities face a shortage of liquidity. Often, a financial crisis is related to a bank run or panic during which investors sell their assets or withdraw money from their savings accounts because they believe that if they stay in a financial institution, the value of those assets will decrease.

Certain circumstances that could be described as a financial crisis include a global financial bubble bursting, a sovereign default, a stock market crash, or a currency crisis. Financial crises can be confined to banks or spread across a single economy, a region's economy, or worldwide economies.

There could be multiple causes for a financial crisis. Generally, when organizations or properties are overvalued, a crisis can arise and can be compounded by unreasonable or herd-like actions of investors. A rapid string of seals, for example, can result in lower asset prices, prompting individuals to dump their assets or make huge savings withdrawals when a bank failure is rumoured.

It's helpful to consider three aspects of the interplay between financial globalisation and the global financial crisis. To begin, did financial globalisation play a role in the onset of the global financial crisis? Second, how did financial globalisation affect the occurrence and spread of the crisis across countries once it had started? Third, how has financial globalisation influenced the national and international response to the crisis.

The sum of foreign assets and foreign liabilities (expressed as a ratio to GDP and termed the IFI ratio) is a useful measure of the de facto scale of cross-border financial integration. While financial globalisation also operates through the determination of asset prices and the responsiveness of international capital flows to shocks, the accumulated stocks of foreign assets and foreign liabilities reflect the history of past capital flows, plus the impact of valuation adjustments on previous positions. In addition, the level and composition of the international balance sheet matter for the exposure of individual countries to shocks to underlying asset prices and exchange rates. Finally, the net international investment position is a key state variable in many dynamic macroeconomic models.

10.9 Financial Globalisation and the Crisis

Let's divide our analysis into three parts:

- First, it is useful to ask whether financial globalisation was an important contributory factor in the origination of the global financial crisis.
- Second, conditional on the crisis occurring, we can address the mechanics of how financial globalisation affected the propagation and incidence of the crisis across countries, since some properties of financial globalisation may have amplified crisis shocks while other properties of financial globalisation may have provided a buffer that mitigated the impact of crisis shocks.
- Third, financial globalisation plausibly affected crisis management by policymakers through a variety of channels. In this section, we address each of these dimensions in turn.

10.9.1 Financial Globalisation and Sources of the Crisis

It is possible to identify two main channels by which financial globalisation contributed to the financial conditions that ultimately gave rise to the crisis.

- a) The participation of foreign investors (especially foreign banks) fuelled the accelerated growth of the asset-backed securities markets in the United States that were central in the original market panic in 2007-2008. European banks were major purchasers of asset-backed securities. In large part, these banks also obtained dollar funding in the US money markets. For this reason, the role of European banks in enabling the expansion of the US ABS markets did not jump out of the balance of payments data, although the implicit risk exposure of European parent banks grew in line with these US activities.
- b) Financial globalisation permitted rapid growth in the balance sheets of many banks. This took place at two levels. In relation to globally-active banks, the size and complexity of these banks grew rapidly, making it difficult for national regulators to adequately police risk profiles. In addition, the capacity of local banks to expand lending by tapping international wholesale markets fuelled credit growth in a number of countries.
- c) The growing role of emerging markets in the world financial system may also have contributed to the build-up of weaknesses in credit markets. In particular, the general-equilibrium impact of the demand for low-risk debt assets from emerging-market official sources and the increased supply of equity opportunities in these countries may have added fuel to the securitisation boom.

In these ways, although there is no easy way to quantify its importance relative to other factors, financial globalisation plausibly contributed to the credit market vulnerabilities that were at the origin of the global financial crisis. In essence, financial globalisation magnified the impact of

underlying distortions, such as inadequate regulation of credit markets and banks, by allowing the scaling-up of financial activities that might have faced capacity limits in autarkic financial systems. Going further, the variation in the cross-country incidence and propagation of the global crisis may be linked to differential levels and types of participation in cross-border financial trade. The rate of pre-crisis credit growth and the scale of pre-crisis current account deficits as important correlates of the scale of the decline in output and domestic expenditure during 2009. More generally, credit growth is an important leading indicator of subsequent financial crises. The scale of pre-crisis "excess" current account deficits has been associated with larger current account turnarounds over 2008-2010, which were mostly accomplished through reductions in domestic absorption. Financial globalisation plausibly contributed to rapid domestic credit growth by operating on both supply factors and demand factors. In relation to credit supply, domestic banks and the affiliates of foreign banks can raise various types of wholesale funding on international markets, with foreign investors also an important source of bank equity (both through portfolio equity and FDI). In relation to credit demand, capital inflows can contribute to a low interest rate environment and improve the net worth of domestic borrowers by pushing up domestic asset prices. For a sample of European countries, international capital inflows were correlated with domestic credit growth during the 2003-2008 pre-crisis period.

In particular, a high level of net debt inflows was associated with more rapid domestic credit growth. This is consistent with the funding channel by which domestic banks were able to expand lending capacity by raising wholesale funding on international markets. On the deficit side, a larger pool of international investors made it easier to obtain external funding; on the surplus side, the availability of foreign assets provided an alternative outlet for domestic savings.

Still, international financial integration surely increased the elasticity of capital flows to these underlying forces, both in relation to welfare-increasing factors (such as differences in demographics or productivity) and welfare-reducing factors (asset bubbles, over-borrowing distortions).

10.9.2 International Capital Movements and the Financial Crisis

To understand this, let's review three phenomena that occurred simultaneously after the 1970s.

Financial globalisation occurred in parallel with the rise of risky financial practices. At the same time as they were conquering the world, banks diversified their activities. To sustain

growth and increase revenues, major banks expanded their activities to include all financial transactions, even the most speculative and risky ones.

To reduce the risk of stocks and bonds losing value (since securities are characterised by their volatility) and hedge against the risks inherent to financial speculation, banks created increasingly complex financial products and hedging instruments – the infamous derivatives.

It might be argued that the extraordinary interconnection of global banks and financial markets has aided the spread of hazardous products to institutions all over the world, hence exacerbating the crisis' geographic reach. The globalisation of banks and financial markets, on the other hand, is not the root of the problem. In fact, by multiplying funding alternatives in the real economy, it enabled several decades of global prosperity.

Aspects of financial globalisation that are more deeply at fault include inequalities in financial flows among great economic powers, in addition to risk contagion throughout the world banking systems. One of the most fundamental causes of the current crisis is this characteristic of financial globalisation. The sub-primes were merely a catalyst.

A closer look at international capital flows over the last several decades reveals that the plentiful liquidity that encouraged borrowing and hazardous banking practises was the outcome of a significant financial imbalance between emerging countries and major Western powers. As we've seen, the financial crisis was sparked by many US consumers' failure to restructure their debt, which reduced to zero the value of the associated mortgage-backed securities. For years, Western and particularly US households borrowed from banks to buy the expensive televisions, cars and homes synonymous with the American way of life, gambling on a constant rise in real estate prices. Over a period of several years, extraordinarily low US interest rates aided this borrowing spree. This was part of the US Federal Reserve's (US central bank) and government's goal after the Internet bubble burst in 2001, which aimed to stimulate economic recovery through consumerism. Low interest rates, on the other hand, were a "mechanical" result of capital inflows into the US financial system from emerging nations. Thanks to the free movement of goods and money, these developing countries have been able to accumulate considerable (primarily dollar) currency reserves and invest their massive trade surpluses in Western economies for nearly two decades. Purchases of US Treasury bonds, which were thought to be particularly stable, were among these assets. This was accomplished through national investment funds (sovereign wealth funds) other surpluses were invested in large Western corporations' capital. As a result, there is enough of cash, in both US government

coffers and Western financial markets, helped keep interest rates down, spurring Western households to borrow and accumulate debt beyond the capacities of the financial system.

10.9.3 Financial Crisis and Banks

At a general level, periods of enhanced global risk are associated with much smaller volumes of gross capital flows, as investors refrain from making international commitments and seek to pull back from accumulated positions that were built up during normal times but look outsized in a higher-risk environment. The most dramatic turnaround took place in relation to banking-sector flows, with foreign investors draining liquid liabilities (deposits, short-term wholesale funding) from stressed banks and domestic investors similarly repatriating foreign liquid assets. In both directions, banks were the main proximate investors in other banks, so the cross-border retrenchment was part of the general breakdown in inter-bank markets during the crisis. While individually rational, the collective exit from these markets contributed to the liquidity problems that defined the acute phase of the crisis. Given the lack of an adequate international regulatory framework, cross-border liquidity runs were more difficult to forestall than domestic liquidity runs.

In passing, it's worth mentioning that the withdrawal from international markets was not uniform, with the size of the capital flow reversal depending on the investor base. Banks were more inclined to pull back from areas that were more away from their home markets geographically. In more distant host nations, foreign investors were more inclined to cut portfolio equity and debt. During a crisis, some sorts of capital flows may be expected to act as a stabilising effect. For example, if domestic asset prices fall, bargain-hunting foreign investors could be a source of additional capital inflows via portfolio investments. While this mechanism has partially operated during the crisis, it has less force in the context of a banking crisis, in view of the dullness of banking-sector balance sheets and the risks of subsequent regulatory interventions that could harm foreign investors in distressed domestic banks. For those countries suffering the most severe domestic crises, the opportunity to repatriate foreign assets might assist in domestic recovery. This has most force if there is a low (or even negative) correlation between foreign asset returns and domestic asset returns and if foreign assets are selected to provide diversification against domestic risks. However, the effectiveness of this mechanism is weaker during a global downturn in asset prices; it also is less helpful if foreign asset purchases acted to concentrate risk rather than to diversify risk. For instance, domestic speculators who had done well during the real estate boom in Ireland doubled down by making aggressive purchases in the property sector in other hot markets (Central and Eastern Europe,

United Kingdom, United States). This pattern boosted levered returns during the global real estate boom but worsened the losses once the global property prices went into reverse. Turning to the role of "international balance sheet" effects, the rise in foreign holdings has magnified the quantitative importance of the valuation channel of external dynamics.

When all other factors are equal, capital gains on overseas assets and capital losses on foreign liabilities increase the net international investment position, and such gains in external wealth can act as a stabilising influence if they are obtained during times of crisis. However, it's easy to imagine instances where valuation losses occur during a crisis, which would be a destabilising pattern. In reality, the toxic pattern of exchange rate depreciation in concert with high levels of foreign-currency debt delivered negative valuation consequences that magnified crisis dynamics in typical emerging-market crises. Because of the quality concerns with foreign balance sheet data, conducting serious empirical study on value impacts is notoriously difficult. The recorded levels of foreign assets and liabilities, in particular, are subject to large-scale revisions due to changes in survey techniques and other measurement difficulties. As a result, accurately capturing the underlying valuation impacts in the data is difficult. Furthermore, identifying the "final" owner of diverse foreign assets is difficult, especially in countries with big international financial centres. For instance, the United Kingdom reported losses on holdings of US asset-backed securities during 2008. However, it turned out that a non-trivial proportion of these losses fell on the British affiliates of foreign-owned banks, so that its FDI liabilities also declined in this period as these foreign-owned banks announced losses on these positions.

10.9.4 Valuation Channel

In working out the role played by the valuation channel during the current crisis, a number of factors have to be taken into consideration.

- 1) During the crisis, the substantial global co-movement in stock prices meant that each country's overall net equity position was crucial in deciding the distribution of gains and losses. Because of the asymmetric positions of the two groups in terms of portfolio equity and FDI net holdings, the general pattern was that advanced economies lost and emerging markets benefited.
- 2) Foreign investors in loss-making asset-backed securities were predominantly from other advanced economies during the 2008-centered phase of the crisis. In contrast, investors from emerging markets (mainly official investors) held safe government-backed securities

and so were not exposed to the meltdown in the ABS markets. Taking a longer and broader view of the crisis, the full attribution of losses on debt positions is incomplete, since there are typically long delays before losses on bank loan books are fully acknowledged. Over time, the scale of national and sectoral debt burdens in Europe makes it likely that external balance sheet adjustment will partly take place through further debt write downs.

- 3) Exchange rate movements have a primary role in determining valuation effects, since foreign assets are typically denominated in foreign currency and, especially for advanced economies, foreign liabilities typically have a large domestic-currency component. During 2008, the appreciation of the US dollar constituted a capital loss for the United States but a capital gain for the many emerging markets that maintained "long dollar" positions, largely consisting of high levels of dollar-denominated official reserves. In contrast, the sizeable depreciation of Sterling during 2008 provided a valuation gain to the United Kingdom, while Australia and New Zealand also enjoyed sizeable currency-related valuation gains during 2008. Within the euro area, both foreign assets and foreign liabilities are mainly denominated in euro, so that the exchange rate component of the valuation channel is weaker for these countries than for countries with independent exchange rates. The currencies of many emerging markets also depreciated during 2008. Historically, this would have been problematic due to high levels of foreign-currency debt. However, the accumulation of large foreign-currency reserves meant that domestic currency depreciation now was associated with a capital gain on foreign assets, while the shift from foreign-currency debt to equity-type instruments reduced the impact on the liability side of the international balance sheet.
- 4) Overall return on foreign assets and foreign liabilities is determined by international investment income flows as well as by capital gains and losses. The general decline in interest rates in the advanced economies during the crisis constituted a reduction in net international payments on the "short debt" positions of these economies. Since 2010, a partial exception has been the euro area periphery, to the extent that rising spreads on sovereign debt liabilities have offset the lower policy interest rates.

The expansion of mortgage loans – the renowned subprime loans – issued to low-income households precipitated the crisis in this scenario. Interest rates were initially quite low to entice clients, but after a few years, they considerably climbed. Subprime loans were particularly popular in the early 2000s, when the US economy was booming and traders were confident. These loans were given to about six million people in the United States, the majority of whom

were low-income. However, these sub-primes were transformed into securities, which were mixed which were mixed with other secured mortgage loans and traded on the financial markets. This “securitisation” practice presented the triple advantage of being very profitable for banks, reducing their mortgage credit risks and dispersing the risks throughout the financial system. The practice grew exponentially in the past decade, spurred in particular by a range of political measures. As banks increasingly threw themselves into the race for profitable short-term financial operations, the volume and trading of these securities multiplied.

Because of the interwoven nature of global finance, assets tied to subprime loans were amassed in all institutions and on all financial markets around the world. The issue stemmed from the fact that many subprime borrowers had to default on their loans after only a few years because they couldn't keep up with the dramatic increase in their monthly payments. The rise in US interest rates that began in 2004 and the unanticipated drop in real estate prices that began in 2006 exacerbated these defaults. The securities tied to these sub-primes swiftly lost value, revealing the true toxicity of complex financial products (which included securities related to subprime loans). Banks no longer had any confidence in the financial products available on the market and stopped transacting. A gigantic financial paralysis followed, initiated by the inter banking crisis of July 2007. Major banks found themselves totally or nearly bankrupted. Cascading bank failures led to a credit shortage, which blocked investment and corporate operations, plunging the world into a deep economic recession – the first to touch so many countries simultaneously.

Check Your Progress- V

Q1. Briefly explain the relationship of banks and financial crisis.

Ans.-----

Q2. What do you mean by the channel of valuation?

Ans.-----

10.10 Summary

In this unit, we have studied about common currency, common market its advantages and disadvantages of common currency. We have learnt about trade blocs as well. Common currency has main impact on price transparency and price stability. It helps in expanding business in countries as well as regional economic cooperation. The first common currency

union the European Union is also studied. We can consider financial globalisation to have contributed to the origination of the crisis by enabling the scaling-up of the US securitisation boom that was the proximate trigger for the crisis -- it is difficult to imagine that the growth in these credit markets would have been of similar magnitude without the participation of foreign investors. In addition, financial globalisation also had a central role in the emergence of large and persistent differences in credit growth and current account imbalances across countries -- these imbalances would play a central role in determining the cross-country incidence and propagation of the original crisis.

10.11 Questions for Practice

A. Short Answer Type Questions

- Q1.Explain all the conditions to make a monetary union?
- Q2. What are the advantages and disadvantages of monetary union?
- Q3.Explain financial Globalisation and Sources of the Crisis.
- Q4. Explain the followings:
 - a) Trading Blocks
 - b) Single currency
- Q5.Financial Globalisation Explain Sources of the Crisis of Financial Globalisation.
- Q6. Explain International capital movements and financial crisis.
- Q7.Explain the advantages and disadvantages of RTAs
- Q8.What are the Common Currency and Regional Economic Co-operation?
- Q9.Define financial crisis and banks.

B. Long Answer Type Questions

- Q1.What are the advantages and disadvantages of common currency?
- Q2.Explain common currency and regional economic cooperation
- Q3.What are the conditions to make a monetary union?
- Q4.Describe the advantages and disadvantages of European Currency Union.
- Q5.What is financial globalisation? Explain the reasons of financial crisis.

10.12 Suggested Readings

- Paul A. Samuelson and William D. Nordhaus: Economics: An Introduction
- Sen, S: Global Finance at Risk
- Sodersten, B. and Reed, G: International Economics



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(SEWA)**

SKILL ENHANCEMENT

EMPLOYABILITY

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PUNJAB STATE OPEN UNIVERSITY, PATIALA**
(Established by Act No. 19 of 2019 of the Legislature of State of Punjab)

**BACHELOR OF ARTS (LIBERAL ARTS)
CORE COURSE (CC): ENGLISH ELECTIVE**

SEMESTER-IV

**BLAB32402T
READING DRAMA**

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PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

In keeping with the nature of an Open University, this University provides a flexible education system to suit every need. The time given to complete a programme is double the duration of a regular mode programme. Well-designed study material has been prepared in consultation with experts in their respective fields.

The University offers programmes which have been designed to provide relevant, skill-based and employability-enhancing education. The study material provided in this booklet is self-instructional, with self-assessment exercises, and recommendations for further readings. The syllabus has been divided in sections, and provided as units for simplification.

The University has a network of 10 Learner Support Centres/Study Centres, to enable students to make use of reading facilities, and for curriculum-based counselling and practicals. We, at the University, welcome you to be a part of this institution of knowledge.

Prof. Anita Gill
Dean Academic Affairs



**BACHELOR OF ARTS (LIBERAL ARTS)
CORE COURSE (CC): ENGLISH ELECTIVE**

**SEMESTER-IV
BLAB32402T: READING DRAMA**

MAX.MARKS: 100

EXTERNAL: 70

INTERNAL: 30

PASS: 35%

Total Credits: 6

Objective:

The main objective of the course is to familiarize the learners with the history of the theatre and its sub-genres through a detailed study of selected canonical British and American plays. They will be engaged in a study of the relative concepts that would further sharpen their intellectual faculties and help in developing a requisite critical insight.

INSTRUCTIONS FOR THE CANDIDATES:

Candidates are required to attempt any two questions each from the sections A and B of the question paper and any ten short questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

Section A

Unit 1: Understanding Drama-I: Definition and Essence, Drama vs. Novel, Drama and Theatre

Unit 2: Understanding Drama-II: Dramatic action Structure, Characterization, Dialogue, Stage Directions, Dramatic Conventions

Unit 3: Important terms pertaining to drama and stage:

- Comic Relief
- Pathos
- Aside
- Soliloquy

Unit 4: William Shakespeare: Julius Caesar-1

Unit 5: William Shakespeare: Julius Caesar-II

Section B

Unit 6: Origin and Rise of Drama in English

Unit 7: Restoration Comedy, Closet Drama, The Problem Play

Unit 8: Theatre of the Absurd, Poetic Drama

Unit 9: Arthur Miller: The Death of a Salesman -I

Unit 10: Arthur Miller: The Death of a Salesman -II

Suggested Readings:

- Brown, John Russel, ed. The Oxford Illustrated History of Theatre. New York: Oxford University Press,.1997.
- Leggat, Alexander. Shakespearian Tragedies. Cambridge: CUP, 2005
- Scott, McMillin. Restoration and Eighteenth-Century Comedy. New York: Norton, 1973
- Bertolt Brecht, ‘The Street Scene’, ‘Theatre for Pleasure or Theatre for Instruction’,and ‘Dramatic Theatre vs Epic Theatre’, in Brecht on Theatre: The Development of an Aesthetic, ed. and tr. John Willet (London: Methuen, 1992) pp. 68–76, 121–8.
- George Steiner, ‘On Modern Tragedy’, in The Death of Tragedy (London: Faber, 1995) pp. 303–24.



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SEMESTER-IV

BLAB32402T: READING DRAMA

COURSE COORDINATOR AND EDITOR: DR. GURLEEN AHLUWALIA

SECTION A

UNIT NO.	UNIT NAME
UNIT 1	UNDERSTANDING DRAMA-I
UNIT 2	UNDERSTANDING DRAMA-II
UNIT 3	IMPORTANT TERMS PERTAINING TO DRAMA AND STAGE
UNIT 4	WILLIAM SHAKESPEARE: JULIUS CAESAR-I
UNIT 5	WILLIAM SHAKESPEARE: JULIUS CAESAR-II

SECTION B

UNIT NO.	UNIT NAME
UNIT 6	ORIGIN AND RISE OF DRAMA IN ENGLISH
UNIT 7	RESTORATION COMEDY, CLOSET DRAMA, THE PROBLEM PLAY
UNIT 8	THEATRE OF THE ABSURD, POETIC DRAMA
UNIT 9	ARTHUR MILLER: THE DEATH OF A SALESMAN -I
UNIT 10	ARTHUR MILLER: THE DEATH OF A SALESMAN -II

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER- IV

COURSE: READING DRAMA

UNIT 1: UNDERSTANDING DRAMA

STRUCTURE

- 1.0 Objectives**
- 1.1 Introduction**
- 1.2 Understanding Drama**
- 1.3 Definition and Essence**
- 1.4 Check your Progress-I**
- 1.5 Drama vs. Novel**
- 1.6 Drama and Theatre**
- 1.7 Check your Progress-II**
- 1.8 Summing Up**
- 1.9 Suggested Readings**
- 1.10 Questions for Practice**

1.0 OBJECTIVES

After a careful reading of this unit, students will be able to define drama as a literary form. They will be able to analyze the difference between drama and novel, appreciate the various elements of drama and theatre and will be able to answer the questions based on this unit.

1.1 INTRODUCTION

Drama is one of the literary forms like poetry and novel. It is written for performance in the theatre. The actors enact the roles of various characters in the drama, which is the printed text. They utter dialogues and participate in the action of the play. Actors, dialogue, plot and setting of the play thus are essential ingredients of a play. The audience, as it is said, is the soul of drama. It is the spectators who are the real motivation behind a stage performance. Contemporary drama has evolved, in other words it has come to us in the present times, after passing through many stages. Not only the stage, but the themes as also the techniques in the production of a play have undergone a sea change. The present unit concerns with all these aspects of drama.

1.2 UNDERSTANDING DRAMA

Drama originated in about sixth century B.C. in ancient Greece. The culture of theatre created by Athenians is the foundation of world theatre. Even today, the ancient Greek plays written by its master dramatists, stand as one of the finest works ever written. Aristotle, the famous Greek philosopher, informs us in his treatise, *Poetics* that drama originated as a song, as part of a religious ceremony in Athens. On certain religious days, a group of devotees sang and danced around the statue of Apollo, the sun god in Greek mythology. Also known as the 'dithyramb' or the choric hymns, these songs celebrated the Greek gods like Athena, Apollo and Dionysus. Singing was accompanied by both music and dance. The tradition of dialogues among this group of performers started when one of them asked questions and the others answered. Drama, thus evolved into a theatrical act to be presented on the stage for the onlookers who assembled to participate in religious festivities. It is known that the worshippers of God Dionysus led themselves into an ecstasy for a powerful release of emotions or purification. Gradually, the dances became elaborate as a plot was introduced, mainly drawing on the adventures of Dionysus.

These festival acts became so popular among the citizens that theatres came to be constructed for more and more people to watch. The Theater of Delphi, the Attic Theatre, and the Theatre of Dionysus in Athens were the first theatres to have come up in Athens. The growth of drama in ancient Greece continued with its first dramatists, namely Aeschylus, Sophocles and Euripides. These three playwrights concentrated on writing pure tragedies. Their plots were based on Greek mythology in which Gods decided the fate of the characters, especially the hero. So, drama was still religious in its roots. There were a maximum of three characters, and masks were used so that a single actor could perform the roles of all three. During this period, chorus and scenery were introduced. Chorus was a group of citizens who commented on the happenings in the play. And scenery was mainly a painted cloth to depict a forest or a palace on stage. When Greece was conquered by the Romans, they imparted their own cultural flavor to the models of tragedy which they seized from the Greek tragedians. Especially Seneca, the representative Roman dramatist, influenced drama with a lot of violence and bloodshed. His other belief went alongside that life is full of suffering and one must endure it. After the fall of Western Roman Empire in the fourth century, drama became scarce.

In England, it was not until the tenth century, when the first dramas were recorded. The English drama like the ancient Greek drama, had its roots in religion. To begin with, theater became the privilege of the church. The clergy found theatre as a means to educate and instruct poor illiterate masses in Christian faith. The first staged plays are known to be mystery and miracle plays. Mystery plays were based on stories from the Bible whereas the miracle plays were based on the lives of saints and martyrs in Christian religion. These were shown to people on religious days like Christmas, Easter or Corpus Christi in England. Initially, the plays were performed within the church building. After these acts caught the attention of more and more people, the stage was shifted from the altar of the church to the church porch outside. Gradually theatre guilds were founded and plays began to be performed

in the marketplace of different counties or towns. Mystery and miracle plays led to Morality and Interludes. Morality plays were serious in nature, characters portrayed abstract virtues and vices. For example, a character called Goodness was pitted against a character named Evil in a play. The morality plays served as instructions for the masses to follow virtuous path in life. The Interludes were mostly comic in nature. Gradually, drama became more democratic, in the sense that it took itself away from the confluence of the church. The first full-fledged English drama is known to be 'Gorboduc' written by Sackville and Norton, performed in 1562. And after almost a decade, England had its first permanent built theatre, in the year 1576, called, The Theatre.

Only two other periods in the history of theatre are truly remarkable after the Greek period namely the Elizabethan period and the Twentieth century drama in England. These two periods are said to approach the greatness of ancient Athenian theatre. The Elizabethan period in drama is considered the golden age in the history of English drama. Shakespeare is the chief exponent in this period. He gave us many memorable characters. His plays present not just the populace of England but the whole humanity. Therefore, his plays have a universal appeal. Drama again grew scarce during the most part of the seventeenth century and the whole of eighteenth century. Restoration theatre of the 1700s, with its 'Comedy of Manners' became quite popular but it could not outshine the art and literary merits of Shakespearean plays. Eighteenth century, on the English literary scene, was largely an age of prose, satirical poetry and novel. Novel originated in the latter part of the eighteenth century which we shall discuss under another head in this unit.

Hence, the next important juncture in the history of drama after Shakespeare is the twentieth century. The new century, with a scar of the World War on its mind, introduced new kinds of innovations and themes in the plays. Drama became political in nature. It became a tool for reformation than a want for pleasure and entertainment. In England, the early practitioners were T.S Eliot, Christopher Fry and W. H Auden. In Ireland, W.B Yeats revived Old Irish myths in theatre. American drama, which developed mainly in the twentieth century, followed the English dramatic conventions largely. All periods in literary expression have a form and content of their own. Playwrights Eugene O'Neill, T. Williams, Arthur Miller introduced new techniques in their plays. The hero of the ancient tragedies gave place to the common man, subject to social forces. Tragedy became the tragedy of a common man. Fate, destiny and gods were given new names. Themes of the self, identity, social issues like poverty, racism etc. came to be highlighted in modern drama.

Genres of Drama

Drama has evolved during many stages. Furthermore, every age has its own socio-cultural and political complexion, its own milieu. Addressing the needs and trends of the time, many kinds of plays began to be performed from time to time. Problem plays, satirical plays, poetic plays, absurd theatre etc. are some of the available types of drama. All these kinds of drama, in a strict sense can be classified as tragedies or comedies. Broadly, there are four major genres of drama discussed as below:

Tragedy

Tragedy is a type of drama which presents its central character undergo some kind of a misfortune. He is shown as a victim of forces outside himself. These forces can be those of the society or larger forces like fate and destiny as in the ancient classical drama. A tragedy, in the words of Aristotle is “the imitation of an action that is serious and also having magnitude, complete in itself”. Besides, Aristotle also emphasises the therapeutic nature of tragedy. By witnessing a tragic act, the audiences experience a release of emotions, especially the emotions of pity and fear. This release balances them into becoming saner. Oedipus Rex, Antigone, King Lear and Julius Caesar are some examples of tragedies.

Comedy

Comedy is the other type which has stood alongside tragedy through all periods of drama. Unlike tragedy, comedy does not concern the fate of noble human beings or their suffering. Comedy deals with lesser beings, “worse than the average” and is satirical in nature because it makes fun of the follies and morals of others. This type of drama is intended for pleasure and amusement of the audiences and ends on a happy note. ‘Taming of the Shrew’, ‘The Alchemist’ are examples of comedies.

Tragicomedy

Comedy and tragedy have been the two outstanding forms of drama, handed down by the Greek theatre. Tragedy being the serious play and comedy its comic counterpart. Tragicomedy is an admixture of both these types. It blends both the serious and humorous elements in one play. The Roman dramatist, Plautus is believed to have begun this trend in his plays. The early Elizabethan drama too practised this form and Shakespeare perfected it. The canvas of his plays was peopled by both kings and clowns. Such an admixture of the two genres or forms is not an error if the play achieves an artistic effect as a whole. As Allardyce Nicoll observes, “The final test for a work of dramatic literature in which these elements are combined must be one based not on ‘nature’ but on the artistic effect of the whole...”. ‘The Merchant of Venice’ and ‘The Tempest’ are examples of tragicomedies.

Melodrama

Melodrama is an exaggerated version or could even be called a poor version of tragedy. The protagonists in such a drama are generally ‘flat’ characters. The hero is too good hearted a man. The heroine is too pure and sentimental. The characters provoke the audience to tears and great sadness. The villain is a horrible monster. The plot is far-fetched that it does not seem credible. Actions seem improbable and its dialogue artificial. Violence and thrill are generally the chief elements in melodramas which capture the attention of the audience. All in all, a melodrama is incapable of achieving the illusion of reality for the audience.

Farce

Farce is an exaggeration of comedy. Plot and character are not of much importance in this kind of a drama and are improbable. The whole play, in a series of incidents, abounds in surprises and co-incidents. Dialogues are full of wit and the only aim is to provoke unbridled laughter and amusement. Characters throwing objects on each other and indulging in

buffoonery, are trademarks of a farcical drama. Some popular farcical plays in English are, 'The Importance of being Ernest' and 'She stoops to Conquer'.

1.3 DEFINITION AND ESSENCE

The word drama has been derived from the Greek word 'dran' which means 'to do'. Hence, drama is a series of actions, arranged in an order, to achieve artistic effects. It is a literary composition, meant to be performed by actors in a theatre, before an audience. The actors interpret the text of the written work on stage, through dialogue and action. Plot, character, action, dialogue, setting, are essential elements of a drama. Conflict is at its heart. Without conflict, no complication will arise, hence the story cannot proceed. The conflict can be between two persons, their thought processes, between an individual and social forces. In ancient tragedies, the conflict would be between the hero and his destiny or larger forces like gods and goddesses. A drama which is intended by its dramatist to be read only is called a 'closet drama.' Milton's 'Samson Agonistes' and Shelley's 'Prometheus Unbound' are closet dramas. A classic 'stage drama' on the other hand, is staged in an auditorium, with the audience as its sole receptor. Drama abounds in acts and scenes. Whereas scenes indicate a shift of place, an act is a broader division related to the structure of drama.

From times immemorial, drama has enjoyed an inseparable relationship with stage. As Marjorie Boulton writes, "A drama is essentially performative". Real pleasure awaits us if we see the printed text of a dramatic work interpreted by seasoned actors on the stage. The costumes and make-up of actors as well as stage display and lighting effects, captivate us as an audience. No movie screen can equal the pleasure which live theatre affords. The audience at once becomes a social group, partaking of the sadness or joy provided by real action, happening in front of them. It is essentially in the performance of drama that its essence lies.

Secondly, the essence of drama, as that of any literary work for that matter, lies in its meaning and concept. What elements are essential to drama? how is the action being unfolded? how well is it interpreted through character and dialogue? and finally, what is the outcome of the play? are some of the questions that arise in mind when one thinks about the meaning and concept of drama. In his *Poetics*, Aristotle defines drama as composed of six main elements. These elements according to him, constitute the essence of a tragedy. These are namely plot, character, thought, diction, spectacle and melody; plot or action being the most important component of a play. Action is rooted in conflict. Hence the **plot** of a tragedy has to be such that it unfolds the conflict in a proper and credible sequence of events. He says that the plot must be an organic whole in the sense that there is harmony between all its parts. It should have a beginning, a middle and an end. These should be linked with each other, there should be a logic behind these, as the parts of an organism, the human body for example. It should present the sequence of events in a unified way, in other words. He further suggests that it should follow the three unities of time, place and action.

As for the purpose of tragedy, Aristotle opines that it should affect a catharsis of the emotions. While watching a tragic action on the stage, emotions of pity and fear are aroused

in the spectators. The arousal of these emotions is such that they get purified or purged of all negative elements. After witnessing much suffering of the hero, we become wiser in dealing with life and its many trials. Such is the impact of a good play on us. The second element of drama, according to Aristotle is **Character**. A character is somebody who has a moral purpose in life. His worth should be great and he should be consistent. It is basically the actions of the characters which make them either happy or wretched. **Thought** according to Aristotle is the faculty which assists man in doing a particular action. It has the power which enables a character to say what he should, befitting an occasion. **Diction** is language. Language used in a tragedy should be such that it is able to express the meaning of words. **Melody** is music which should accompany action. It is an embellishment of tragedy. By **Spectacle**, Aristotle implies stage craft, like scenery and elaborate masks, popular in his times. It is a machination, a design to attract the audience. It is something imposed from the outside, hence an unnecessary according to him.

However, the essence of drama as prescribed by Aristotle in his dramatic theory, may not be as relevant today. In the ever-changing scenario of different socio-cultural and political tidings, the essence of drama too has its shifts. To Aristotle, action and organicity of a play is the essence. However, in Absurd theatre of the 1950s, these two are grossly overlooked. In an absurd play like 'Waiting for Godot', there is no logical sequencing of action as in traditional drama. Nothing in fact happens at all in the course of the play, leave alone the main action. The characters wait for a person called Godot. All through the play, the wait continues and Godot does not come. At the end, the characters even ask who Godot actually is and what the purpose of their wait is, thereby terming the whole action into something absurd and incomprehensible. In a play like this, both action and the characters suffer from a lack as against the Aristotelian models. In Absurd theatre, artistic purpose is achieved through portraying the sheer absurdity of life. Likewise, Aristotle suggests that the audience should associate with the protagonist's fortunes and misfortunes in such a way that it experiences being on the similar emotional platform as the protagonist. However, Epic theatre of the 1920s, interprets drama in a different way. In such a theatre, the audience is made to analyse the situations in the drama by participating in it as critics. By using the technique of alienation and other methods, the dramatist avoids all illusion of reality. Aristotle also insists that tragedy should be purely a tragedy without any intermingling of the comic. But during the Elizabethan period, we see Shakespeare achieves a perfect theatre even with his tragi-comedies.

Hence, as argued above, the essence of drama is not a fixity. It is very fluid. In accordance with the changing socio-political and cultural environment of a particular time, the essence of drama also undergoes a change. One can say that the essence of drama lies in its performance and in its fluidity which together respond to the cultural, social and political environment of the times.

1.4 CHECK YOUR PROGRESS-I

Answer the following questions:-

- a. When and where did drama originate?
- b. Comment on miracle and mystery plays.
- c. What are the four major types of drama?
- d. List the six main elements of drama, as given by Aristotle.
- e. Which is the most important element of drama and why?

1.5 DRAMA VS. NOVEL

Drama as has already been studied, is one of the oldest literary forms. It originated in ancient Greece about sixth century B.C. To begin with, it was a hymn sung by a chorus, that is a group of men, who sang and danced around the statue of the sun god Apollo. Also called the dithyramb, this song was performed on religious days in Athens. Men, mostly free citizens, excluding women and slaves, assembled to watch it in great numbers. Gradually, this form of singing and dancing evolved into a dramatic act. One of the group members became the group leader and started asking questions to which the others replied. It was here that dialogue was born. From the ancient Greek drama, to the miracle and mysteries in England, to the Elizabethan period and Restoration up to the twentieth century drama has had a variegated journey. The contemporary drama has come a long way. It is technically sound, deals with day-to-day issues and relatable characters. In other words, contemporary drama has become democratic.

Novel is a relatively new form or genre as compared to drama. Novel emerged in England in the latter half of the eighteenth century. After the last glorious days of the Restoration theater in 1700s, drama became a hollow force in England. But this absence was filled up by the novel, with the first English novel called ‘Pamela or Virtue Rewarded’, written by Samuel Richardson. It was published in the year 1740. After the success of Pamela, novel continued to gain popularity throughout the coming centuries. The emerging middle class in the England of those times, embraced novel as their own genre. Novel dealt with the stories of common people who were an intrinsic part of an industrial society. The genre continued to be written and relished by its readers in the Romantic period, Victorian period, and in the modern period of twentieth century England. Since then, it has emerged as a dominant literary form today. Poetry had detached itself long from drama because it was not concerned with the representation of character in action. Hence, novel, as Robert Liddell observes, is “the rightful heir to drama.” Undoubtedly, both drama and novel, are rooted in an exploration of characters and incidents pertaining to their lives. But despite these originary similarities, both these forms are different from each other. Let us consider the factors which make them both two different and diverse forms of literature.

Drama

- The essence of drama lies in its performance. ‘Closet drama’ is written to be read in private or aloud. A classic ‘stage drama’ is performed on the stage.
- Drama has an important relationship with its audience. It is written to be performed before an assembled audience.

- Drama adheres to strict unities of time, place and action. It has a beginning, a middle and an end.
- In a drama, action is concentrated. It cannot allow digressions, sub plots or two three stories running parallel to the main plot.
- It has to have a logical connection between incidents so that the audience sitting right in front can understand and appreciate.
- Stage drama is a temporal act. It is situated in time and place and the audience understands that they are enjoying an illusion of reality...
- The purpose of drama lies in effecting the catharsis of emotions. It is proposed as a healer and has a therapeutic value.
- Dramatic art allows only the method of showing. Except minimal stage directions, the dramatist cannot intervene and tell us about characters and their thoughts directly.

Novel

- Novel is a long narrative work written in prose. There are verse novels too but prose novels have become the dominant literary expression.
- Novel is written for the pleasure and entertainment of a solitary reader.
- Novel has no unities to follow. It can begin anywhere, at any point of a person's life. The period of a novel can span several generations of a character's life.
- Novel has the scope to introduce a few more small stories along with the main plot. It can be of any length. A very short novel is called 'novella'.
- Incidents in a novel are related with each other but there is no strict logical connection between every incident happening in the course of the novel. Sometimes some incidents occur to serve a symbolic purpose.
- Novel can be read and appreciated anytime, anywhere. It has no limitations of time and place imposed on it as averse to a stage act.
- Novel does not come with any cathartic purpose. But it is definitely a form of literature that instructs, pleases and entertains.
- It has an omnipresent narrator. He can intervene any time and give his comments on characters actions and their thought processes.

1.6 DRAMA AND THEATRE

Drama is a literary composition. It is a written text, divided into acts and scenes. It has a plot and characters. Incidents are so arranged that these have a logical conclusion. As a narrative work, drama is concerned with the telling of a story through dialogues. As a performing art, drama is concerned with its production on stage. Actors play their part on the stage and interpret the text through dialogues. Technical effects, aid and enhance its presentation in the theatre before an audience. Drama has an inseparable bond with theatre. As Marjorie Boulton writes, "A printed play is only the recipe for a performance; the play must be 'cooked'." The word 'theatre' has been derived from the Greek word 'theatron', meaning a 'seeing place'. The first outdoor stages built up for dramatic acts in ancient times, had a performance platter and seating areas for the audience, from where they could easily view the action. Apart from being the place for a dramatic presentation, the word theatre is implied variously. When we evaluate a play in terms of its quality, we call it 'good theatre' or 'bad theatre'. Theatre also

refers to the collective works or oeuvre of a dramatist and the techniques he uses, for example, the theatre of Ibsen, the theatre of Brecht. Basically, theatre is a representation of action with all the stage-craft in place.

The two terms namely drama and theatre are generally used interchangeably. But both are different. As Allardyce Nicoll rightly observes that theatre basically refers to the performance given by a group of persons namely actors, before an audience. Drama on the other hand, is a literary work written by an author which is suitable for performance on stage. The range of theatre is enormous. It is not restricted for the presentation of plays alone. Various other performing arts like opera, ballet and pantomime etc. are staged in a theatre. In an opera, music and poetry combine in such a way that it tells a story. A ballet on the other hand does not use any words at all. The dancer's movements provide the whole story. In a pantomime, a form of dumb speech is used. The actors use gestures instead of words, to communicate. Nowadays, stand-up comedy has begun to be appreciated. A person uses dialogues on the stage, he has an audience to speak to, and it is purely a stage performance. But can all these other arts, be called theatre? The answer is 'no'. Only literature, which is classified as dramatic, like the drama, can be called theatre. For rest other arts, theatre serves the function of a premises.

In order that a drama is successfully executed on stage, a number of factors are looked at by the dramatist. Aristotle, who was the most original and seminal thinker of dramatic theory has devoted a large part of his discussion of Tragedy in his work. Aristotle discusses that action or plot is the soul of a tragedy. There should be a unity of action, the characters should be significant, diction should be such that it can clearly express the meaning of words. The whole structure of the work should be interesting enough to capture the audiences. Though he doesn't speak highly of spectacle, or stage-craft. In the twenty first century, his view may not seem relevant. The production and aspects of performance on stage have progressed in all these ages to perfection.

The purpose of theatre or a play is fundamentally pleasure and entertainment. The very origin of theatre in ancient Greece, was singing accompanied by dancing. The religious celebrations centered around Athena, the Greek goddess of wisdom, Apollo the Greek god of Sun and Dionysus, the god of wine and revelry. Theatre also had a ritualistic and didactic purpose then. Theatres, world over are preservers of cultural heritage of their specific geographical regions. They acquaint us with the customs and manners of different societies in different place and time. The biggest role of theatre is its connection with the masses. It speaks to a large number of people who go to watch drama. Therefore, theatre emerges as a significant medium for the education of people. It awakens the society to its ills and malice. From ancient histories of kings and queens, loves and wars to contemporary issues like man woman relationship, female feticide, casteism, theatre embraces life in general.

Theater can be said to be a fine art in the sense that it sharpens and fines human sensibilities by interpreting sensitive moments in the lives of the characters. The audio-visual aids assist in deepening the vision which the audience grasps from sensitive portrayals on the stage. Theatre also has an emotional hold on the audience. One feels greatly relieved or elevated after watching an act on the stage. Theatre is live and intimate and direct and has a greater advantage over other media that deals with human experience.

Drama like any other literary work, is an escape into an imaginary world, which appeals to us. A drama can be read also, as we are familiar with the 'closet drama'. But while reading in private, one cannot visualize the movements. Only by watching a beautiful play, only by having an experience of the theatre can one find the real essence of the drama. There is a story, which the famous playwright, Tom Stoppard shares elsewhere. Once he was watching a stage performance of Shakespeare's play 'The Tempest'. The play was being performed in the lawns of Oxford, and the stage extended backwards towards a waterway. Ariel, the character in the play, was to make an exit, after his final speech in the play. The audiences were utterly caught up with surprise and wonder as they saw the character running down the stage, on the grass, further walking and jumping in the water till the time he was out of sight. Just at that moment on his exit, there was a loud boom of a firecracker and there were sparkles all over the sky. The audience was thrilled over the enfolding of an action in the most innovative way. In the written part of the drama, the stage directions simply read "Exit, Ariel". A simple exit of a character was made a memorable and remarkable act. Hence, one can say that theatre has the power to transform and recreate the written text of drama.

1.7 CHECK YOUR PROGRESS-II

Answer the following questions:-

- a. When and where did novel originate?
- b. Give a few factors which differentiate novel from a drama.
- c. How are drama and theatre related to each other?
- d. How is theatre different from other performing arts?
- e. Explain the role of theatre in our lives.

1.8 SUMMING UP

In Unit1, namely **Understanding Drama**, we have discussed the origin of drama in ancient Greece and medieval England, tracing its history to the modern times. The definition of drama and its essence are explained in detail to the students. After these two related topics, short questions have been given under **Check your Progress-I**. Space has been provided so that students can write the answers themselves. In the next two topics, drama is studied in relation with novel and significant differences between these two forms are listed. Theatre has a bearing on the written text of drama, which is discussed in the last topic of this Unit. Under **Check your Progress-II**, questions have been given which are seminal to the understanding of drama, novel and theatre.

1.9 SUGGESTED READINGS

1. Allardyce Nicoll: *British Drama*
2. Allardyce Nicoll: *The Theatre and Dramatic Theory*
3. Marjorie Boulton: *The Anatomy of Drama*
4. Robert Liddell: *A Treatise on the Novel*
5. M.H Abrams: *A Glossary of Literary Terms*

1.10 QUESTIONS FOR PRACTICE

Answer any two questions in about 200-250 words:

1. Trace the origin and early history of drama in England.
2. Define drama. What according to you constitutes the essence of drama?

Answer any two questions in about 100-150 words:

1. Write down in brief, the difference between drama and novel.
2. What do you understand by the word 'theatre'?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

COURSE: READING DRAMA

UNIT 2 DRAMATIC ACTION STRUCTURE

STRUCTURE

2.0 Objectives

2.1 Introduction

2.2 Dramatic Action Structure

2.3 Characterization

2.4 Dialogue

2.5 Check your Progress-I

2.6 Stage Directions

2.7 Dramatic Conventions

2.8 Check your Progress-II

2.9 Summing Up

2.10 Suggested Readings

2.11 Questions for Practice

2.0 OBJECTIVES

Students will be introduced to dramatic action structure. After going through the unit, the students will be able to answer questions pertaining to dramatic action and its structure as well as other components like characterization, dialogue, stage directions etc. which together make up action. The section under study, also has some questions appended to it. The students are expected to write down the answers in their note-books for practice.

2.1 INTRODUCTION

Drama is one of the oldest of literary forms which originated in ancient Greece. The word 'drama' is derived from the Greek word 'dran', which means 'to do'. Drama is essentially performative. A drama cannot merely be scripted and put on the paper. It's soul is in its performance. As Marjorie Boulton writes, "A printed play is only the recipe for a performance; the play must be cooked." For the performance of a play, it is important to have a director, actors, stage, venue, props, costumes and spectators. These can be said to be the physical aspects of the play. If we go deeper into it, we understand that a play can be interesting and hold our attention only if it has the capacity to generate meaning even for the audience who have an average intelligence. An ill constructed drama with a poor storyline,

without any suspense, cannot hold our attention. The same is true of television soaps and silver screen movies. Hence, what binds the attention of the audience is basically a well-constructed and an interesting plot, a logically structured action which has all the essential ingredients like conflict, crisis etc. in it. The present unit is an attempt to study and analyse the structure of action in a drama. Action is incident and we cannot have incidents without characters, dialogue and stage for that matter. Hence, all other components which are essential to dramatic action will be discussed in this unit.

2.2 DRAMATIC ACTION STRUCTURE

Everything, every object has its own structure. It is made up of parts which together give that object its form and concreteness. In this sense, drama is made up of several incidents or actions as we can say. "It is a complete and an ordered structure of actions, intended towards a desired effect," as according to M.H Abrams. The term dramatic action structure refers to the structure of action in a drama. How does drama unfold? what should be the duration of actions taking place? how should the incidents be so linked that they make a causal connection? These are some of the questions which the structure of a drama answers.

The essence of drama lies in action. Furthermore, action is rooted in conflict. Conflict is a disturbing and an unsettling force. It can be between two persons, between a person and the society or between a person and his destiny. Conflict furthers action and the resultant sequence of events is what we call the plot of a drama. Now, what is a plot? While narrating any story, we give a simple account of the happenings with a sprinkle of emotion and personal candour. This, as we feel, binds us to the listener. **Plot** is a story in that sense but a more inclusive term. It takes into account the way the events or happenings take place in a dramatic or a narrative work and how one happening is related to another, as if it were a chain. A plot makes us familiar with the nature of characters that we begin to think and ponder over their actions. It takes us into the message it finally speaks out at the end. In short, a plot reveals the overall significance of the play.

Aristotle in his treatise *Poetics*, which is fragmentary in nature, defines plot of a tragedy, thus. He says that it must be an organic whole. Now what is organic? Organic is from an organism that grows, like a tree branching out in equal proportions. There is harmony between all its parts. Likewise, a plot has to be harmonious, it should have a beginning, a middle and an end. These should be linked with each other, there should be a logic behind these, as if it were the parts of an organism, a human body for example. It should present the sequence of events in a unified way, in other words.

The structure of dramatic action of a tragedy is somewhat like this. The beginning of a play is called **exposition**, it indicates the presence of a conflict and initiates the action. The rising action introduces **complication** in the life of the central character. The middle is a reflection of actions having happened earlier and leads us further forward towards **climax** of dramatic action. The protagonist experiences a **crisis** in his or her life at this stage of climax. Crisis can be understood as a hard fact, a bitter experience that impacts the life of the protagonist. Crisis in other words is also called **reversal** or the turning point of the character's fortunes that is from happiness to misery. **Reversal** is dependent upon **discovery** or **recognition**. It is almost

a sudden understanding of something of great importance about which the character had no knowledge earlier. The character recognises that he is in a complete grip of the forces over which he has no control. Reversal or *peripety* as in Aristotle, leads to the **denouement**, which is also called the **resolution** of the conflict. It is like unknotting the knots of complication which happened at the start. The resolution is the outcome of a plot, success in case of a comedy or failure in case of a tragedy.

To strengthen action in a drama, Aristotle speaks of the three unities namely, the unity of action, place and time. The unity of action means that there should be a logical connection between the events of the play presented. Besides there should be no loose episodes or digressions which take the audience astray from the main action. Tragedy should conform to the rules of a tragedy. It should not have comic elements in it. Comedy according to Aristotle, is a species of the ridiculous and the ugly. It is therefore, unworthy of enjoying the stature of a tragedy. There should be no admixture of the two, as Aristotle suggests.

The unity of time denotes that dramatic action should be completed in a single circuit of sun, that is the events presented on the stage should happen within a time span of twenty-four hours. There can be past events in the background. But the action on stage, should concentrate on the present. And the unity of place demands that incidents should happen at a single location rather than showing a shift from one place to another. The unities of time and place are sometimes not strictly followed by dramatists. Aristotle emphasises to adhere to the unity of action.

As for the purpose of tragedy, Aristotle opines that it should have a cathartic effect. He uses the word *catharsis* in Greek, meaning that the action of a tragedy should be so creditable that it should arouse the emotions of pity and fear in the audience. The arousal of these emotions, purges or cleanses any dross or negative elements. It makes us grow into better and saner human beings. After seeing much suffering of the hero, we become wiser in dealing with life and its many trials and tribulations. Such is the impact of a good play on us, as a whole.

2.3 CHARACTERIZATION

Characters are an integral part of a drama. We cannot have an action without characters. They are the persons who further any action. Hence, plot and character are inseparable. Characterization is the art of establishing different characters by giving them their identities. In a scripted drama or the written-drama, the persons are called characters. People who play the roles of these characters on the stage, are called actors.

A memorable character in a work of art is the one who has the best possible words to say, in the best possible manner. The main character around whom the plot of the drama revolves is called the **protagonist**. His opponent is the **antagonist** or whom we call the villain. A character whose actions spring from the inner logic of the plot is credible or believable. He or she may evince a radical change through the course of the drama but that change should be consistent throughout. It cannot be abrupt and sudden. Besides, it is through the character that we know a drama. Their dialogues, feelings and emotions should be presented by the actors on stage in such a way that the audience is engaged in the act.

Characters can be distinguished as **individual** and **type** characters. Characters who evolve during the course of the drama, triumph or suffer a downfall, are generally the characters who win our hearts. Whereas characters who show no change, remain the same throughout are static characters and do not impress. The former, belong to the category of individual characters and the latter, to the category of type characters. To the category of types, one could add **stock characters** also. They have similar characteristics in almost every work they appear, for example, a cruel stepmother, a jealous husband or a dishonest moneylender. E.M Forster famously distinguished between **round** and **flat** characters in his book *Aspects of the Novel*. According to Foster, characters who grow during the course of action are called, round characters. Such characters are complex in their personalities. They are deep and it is often challenging to understand the psychology behind their actions. A flat character, according to Foster is built around a single idea or quality and is called a type or two-dimensional character. Such characters remain the same from start till finish, showing little or no change.

Aristotle was an ancient philosopher of Greece. His treatise **Poetics** is the earliest available theoretical work on drama. Aristotle discusses the nature of drama, especially tragedy in his work. While referring to the protagonist in drama, he speaks about **hamartia** which is Greek for ‘tragic error’. According to Aristotle, a great tragedy has a noble man as its hero. He is virtuous, superior in knowledge and has a great responsibility on his shoulders towards the welfare of his society. But due to a tragic flaw in his character, he suffers a downfall. This ‘tragic error’ becomes the cause of his tragedy. The prescribed play in your course, *Julius Caesar* is a tragedy of a great Roman emperor but his hamartia or tragic flaw, is his ambition and arrogance. His thirst for power distances him from his senators. They all become afraid of him. And a day comes when they conspire and put his life to a tragic end. In *Death of a Salesman*, another play prescribed in your syllabus, Willy Loman is the central character. Though as per the ancient standards of tragedy, he is not a hero or a noble man. He is a commoner. His tragedy is the tragedy of a common man. Yet, he suffers because of an identity crisis. He has an insane demand for recognition without his fitting into the parameters which have been laid down by a capitalist society. He becomes a victim of the capitalist system which encourages the notions of smartness and saleability.

Characterization is done by two different techniques namely, showing and telling. In showing, which is the dramatic method, the author simply presents the characters talking and acting, without much intervention on the author’s part. It is the characters themselves who reveal themselves through dialogues and actions. In telling, which is often a method where the author intervenes, let’s say, through stage directions *that two characters are stamping their feet in rage and enter stage*, we get to know that the circumstances are not so good and we are soon going to have a brawl or a fight on the stage. This method of telling the audience beforehand is not appreciated. It is considered a violation of artistic craft. So only by showing and not by predicting the behavior or actions of characters, the authors are able to engage the audience. And we exercise our mental faculties as to why this particular character said or behaved in a particular way. A minimal of stage directions are required, but these cannot be elaborate. As a dramatist, Shakespeare is considered a master of characterization. He imbued his characters with an unfailing humanity. He has given us many immortal and plausible

characters like Hamlet, Macbeth, King Lear and Julius Ceaser with their intense speeches to remember.

2.4 DIALOGUE

The utterances made by characters in verse or in prose, in a drama are called dialogues. A character is made immortal not solely because of his or her acting prowess but also because of the dialogues he or she speaks. Unlike in a novel, where the thought process of a character is told in the third person sometimes, which means the author tells us about that character, a drama speaks its thoughts. Marjorie Boulton rightly says, “A play is its dialogue”. One of the most important differences between a play and a novel is that every idea in the play has to be conveyed to the audience through speech. The dramatist cannot intervene and supply us with thoughts and explanations. We, as an audience, gather the drama by listening to the conversation going on at the stage. The bodily gestures and movements only add to the dialogue.

The dialogue of a drama should be written in such a way that an actor can speak it clearly and effectively. The audience for whom the play is written should receive it in the way it has been conveyed. There should be no room for ambiguity unless ambiguity is deliberately used as a device. In a short length of time, there is no time for irrelevant dialogues. Economy of speech should be practiced which means using less words instead of using more to say the same thing.

The function of dialogue is not only to carry the incident forward but also to please and entertain with beauty and wit. Dialogue should be attractive. It should not be circumlocutory. Dramatic art does not allow that. Clear and crisp dialogues are an art which only careful artists know. A dramatist like Shakespeare had a natural genius to handle dialogue. He put long and memorable poetic stanzas in the mouths of his actors, that were sheer poetry. In part, it was the trend of the times and a dedicated actor-director as he was, Shakespeare also gave his actors an opportunity to showcase their skills in acting.

A good dramatist knows that speech in drama differs from both ordinary and formal speech. It is said that when Shakespeare took charge of the stage, the available form of language on stage, was ‘rime royal’ used by kings and courtiers which was too formal. He had to tone it down to make it suitable for the common folk. He used blank verse and couplets instead of the complicated measures of ‘rime royal’. In contrast, a contemporary dramatist has to work on a speech which is spoken by the masses. He has the task to refine and elevate it to make it suitable for a dramatic presentation. Hence, a careful selection of language is required for dialogues of the characters.

Every character has a personal idiom of his or her own. The dramatist has to be careful while writing dialogues for each character in the drama. An unintelligent character, for example, cannot speak intelligently. Similarly, a character who is shy by nature or ineffectual, cannot be given long speeches to say. An exception in this case is Shakespeare’s clown. Legouis and Cazamian observe that Shakespeare received the figure of the clown from his predecessors, the dramatists who were writing plays before him. Those dramatists had shown the clown typically as a ridiculous figure, but Shakespeare a genius as he was, did not carry on with the

clown figure like that. He packed wisdom even in the dialogues of his clowns in his dramas. Shakespearean clowns are therefore, memorable philosophers instead of being farcical or useless.

A drama, we must remember is a heightened representation of life. In a short period of time, we are taken to some critical and important junctures of a character's life. Actors carry lots of emotion and truth on the vehicle of dialogues to make it a memorable act.

2.5 CHECK YOUR PROGRESS-I

Answer the following questions:-

- a. Define plot.
- b. Explain crisis and resolution.
- c. Explain the difference between a protagonist and an antagonist.
- d. What is *hamartia*?
- e. How should the dialogues in a play be written?

2.6 STAGE DIRECTIONS

Stage directions are the instructions written generally in italics, in the script of a drama. These are variously written for various movements onstage. These serve as instructions given to an actor, which movements he should make at a particular moment, how he should enter the stage, whether grim or in a happy mood. These directions also pertain to the effects on the stage like light and sound effects. Overall, stage directions are written by its author as also improvised by the director of that particular play for an impressive performance.

There are two kinds of dramas. A 'closet drama' is written to be read aloud or in private by a solitary reader. Whereas a classic 'stage drama' is performed. In case of a stage drama, the stage is generally a raised platform or any demarcated space for the performance of a drama. A stage can be temporarily erected or constructed. It is a permanent feature in theatres where production of plays is a regular feature. In a modern auditorium, the audience is seated opposite the performers. In villages, people would see actors perform, from all four sides. Generally, three kinds of stages can be seen in the present times. Let us have a brief understanding of these as given below:

The Proscenium stage

The Proscenium stage is also called the Proscenium arch theatre. It is surrounded on the top and the sides by a built arch. The purpose of the arch is to separate or distance the audience from the stage. The audience sitting below views the stage as if it were a picture frame. The audience can sit within a square or a rectangular seating area. There are one to three levels of rows of seats from which the stage is visible. More often the stage here is a raised semi-circular platform and the audience seats are also slightly curved at the edges of the rows that they form an arch. Because the platform is quite big enough, the sides of such a stage are

used for different purposes. Canvas and other displays are placed on the sides or wings, to create lighting on the stage in a sophisticated way. Wings are the sides of the stage not visible to the audience. These are masked areas from where an actor can enter through. These are also used to place certain objects, to be brought in for use as props on the stage. Furthermore, the stage is divided into upstage and downstage. The former meaning where the actor is far from the audience near the rear wall and the latter meaning the actor is performing right opposite and quite near the audience. The rear or back wall is covered with scenes denoting the place of action. Proscenium stage is the traditional stage used in Greek and Roman theatre and also of much use in contemporary times.

Arena stage

Also called Theatre-in-the-round, Arena stage is a type of a theatre where the audience is seated on all four sides of the stage. The audience is closely watching the performance of the actors and there is no such distance as in the Proscenium theatre. The audience feels involved with the action as there is no intervention of curtains or elaborate scenery. Sophisticated light effect to enhance the stage is a challenge here. The entry of the actors on stage is also a bit awkward. Either the actors make entry from where the audience is seated or from the corners of the stage, where there might be some hidden walk-way.

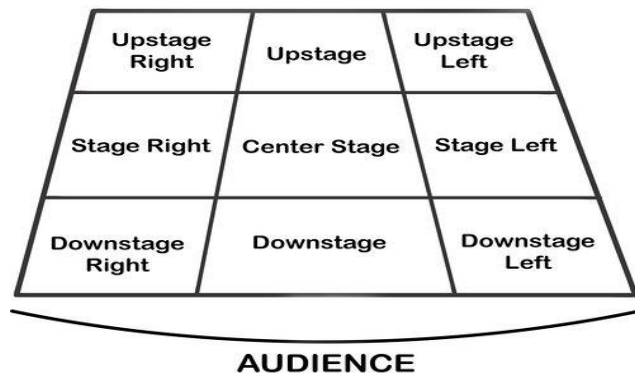
Thrust theatre

The Thrust stage is a modern kind of a stage which extends into the audience cavity from all three sides and is connected to the backstage with its upstage end. A thrust has a greater opportunity of involvement and proximity with its audience than the proscenium stage. Here the actors also have the benefit from the utility of having a backstage area as in proscenium.

Furthermore, some makeshift stages can also be constructed. Stages can be improvised as well for example in a street, on a hillside. Such theatres are made by demarcating boundaries of the performing area such as laying a carpet and arranging the seats for the audience. These are message-oriented performances and don't consider stylistic effects.

Let us discuss stage directions. For movement directions, the dramatist will generally write 'stage left' or 'centre stage'. These are terms used to describe the positions of the actor. 'Stage left' will be the left side of the actor. As we can observe by looking at the diagram given below that when an actor faces the audience, the actor's right is the audience's left and vice-versa. This creates a lot of confusion for the actor as well as the director. As a solution to this problem, the actor's right and left sides are termed 'stage right' and 'stage left' respectively, while audience's right and left sides are termed 'house right' and 'house left' respectively. The centre of the stage is the centre only whereas 'upstage' is the part furthest from the audience or upstage can also be understood as the rear or the back part of the stage. 'Downstage' is the term used when the actors are engaged more on the front part of the stage, towards the audience.

Diagram picture



Apart from movement directions, there are scenic stage directions. ‘*Tall poplars growing on one side of the house*’ or something like ‘*there was an eerie feeling about that place*’ make way for certain objects to be planted onstage as also there arises a need to create some atmosphere to validate the eerie feeling, a sort of fear by displaying a terrifying night scenery. Lighting and sound effect is the technical aspect of stage directions. It increases the dramatic effect of the play on the mood of the audience as well as the actors. This aids the performance of the actors also. Music is often used to enhance the emotional effect of the play. Use of flute music in *Death of a Salesman* is symbolic of the mental states of the protagonist. In lighting, a harsh light is always associated with the colour of red. Softer tones are done with lilac or like colours. There are also performative stage directions which are related with the expressions the actors which they are to wear while performing. The way the playwright thinks that this is how the dialogue has to be delivered. For example:

She gave it a long thought and then she spoke to him (smiling)-

He narrated the whole story with a sad face.

Apart from these, costumes, masks and makeup are also significant directions which bring the play alive before the audience. Appearance of a character is very important on stage. The physical characteristics, his age, his clothes are markers to understand a character. If a character is left undefined, without any directions, we cannot connect with him or her as an audience. While writing a work, the dramatist has a vision. It can only be brought alive conclusively on the stage by adhering to stage directions which are a key to the unlocking of the mystery of a work.

2.7 DRAMATIC CONVENTIONS

Dramatic conventions, put in the simplest way, are the rules that govern a drama. These can be described as established practices in the theatre when it comes to represent reality on the stage. Audience accepts those conventions and does not question the reality. The audience believes the stage can become a house, a classroom, even a sports hall and the characters are

actually passing through what they depict on stage. Dramatic conventions can be divided into the following sub heads:

Structural conventions

Structural conventions are the rules that govern the structure of a drama. The plot, characters, and unities are important elements of the structure of a play. As we have already discussed with reference to Aristotle that plot of a drama, tragedy mainly as Aristotle opined, should be an organic whole. There has to be a logical connection within all its parts as there is harmony in different parts of a growing living thing. Plot should be of certain length, neither should it be too long a story nor too short. Aristotle emphasised the completeness of a plot. He discouraged the use of episodes and digressions in a drama. Too many episodes which are not related with the main action are harmful to the unity of a play. The main action gets out of focus if there are too many events happening at the same time. The three unities of time, place and action namely the play should span over some acceptable time period and events should not happen over a long period of time. But this was a real question before dramatists. For this the convention of chorus was evolved in Greek theatre. The purpose of the chorus was not only to comment on the play but also to acquaint the audience with the happenings that happened elsewhere other than the stage. So that the unity of place could be preserved. As for the unity of time, when there was a considerable lapse of time, chorus would convey that too in their song.

Contemporary dramas don't always follow the ancient convention of the chorus. They are constructed in such a way that the unities of time and place are not flouted. A day in the life of characters is enough to bring forward the issues facing them. As for the unity of action, events should be so linked as to naturally arise into a crisis and a climax. The law of probability must be followed. Probability is when we don't doubt the end result or the outcome of a character's actions. Virtue is rewarded and evil is eventually punished. The modern realist plays sometimes don't end with such a convention of poetic justice. A good, virtuous man sometimes meets a sad fate. This is realistic drama where reality is presented to the audience.

Theatrical conventions

The drama enacted on the stage gives the audience an illusion of reality. It is expected from the audience that it does not disbelieve any of the happenings onstage. The believability factor is achieved through a set of dramatic conventions in the theatre itself. In real, day to day life, events happen at their own pace. The place of happenings is also varied. It is never the same. You may be one moment at your home, at quite another, you are in the college building and then somewhere else. So, the places of your action and movement are different. But dramatic conventions condense real time and place. Everything happens in a small duration of time in the same place that is the stage. Furthermore, every incident is linked to the other that follows it which does not happen in real life ever. As an audience we cannot question it. This is the rule, a convention of theatre, we accept without questioning. Secondly, the situations depicted on the stage too may not be real. For example, a murder actually does not happen on stage, it is an enactment. But the rule or the convention exists that the audience believes it as a real situation. Thirdly, actors speak loudly. Their dialogues are emotionally

charged. This is because the dialogues and expression are made clear to the audience. The audience reciprocates with similar states of mind as the actors. In real life, we may not be as charged or super grim. Makeup, clothing, scenery and lighting are used in certain ways to create a semblance of truth. Some of the terms have been listed below which serve as important techniques as part of theatre conventions:

Soliloquy: The speech of an actor which he speaks aloud to himself, in private.

Aside: When a character speaks to the audience. By convention the audience understands that the speech is intended to be heard by the audience only and unheard by other actors on the stage.

Chorus: A group of actors who serve as the dramatist's vehicle for commentary on the play.

Music: Music is generally played in the background in plays where a heightened emotional effect is produced by a particular situation.

Pantomime: Also called dumb-show is gestural or body movements made by an actor to produce an intense and telling impression on the audiences without using speech.

Flashback: Past events in a character's life are presented in a way that the audience grasps that flashback technique is being used.

Split-stage: Marking divisions on the stage so that the spaces marked, represent different locations.

2.8 CHECK YOUR PROGRESS-II

Answer the following questions:-

- a. Explain 'closet drama' and 'stage drama'.
- b. What is the difference between 'upstage' and 'downstage'?
- c. Write a note on Proscenium theatre.
- d. What are structural conventions?
- e. Explain the difference between soliloquy and aside.

2.9 SUMMING UP

In Unit 2, namely **Dramatic Action Structure**, we have discussed the structure of drama in detail. The structure of drama constitutes plot, character and dialogue. After these three related topics, **Check your Progress-I** tests the understanding of students with the given relevant questions. Stage conventions and stage directions are the last two topics in the unit which shed light on the various kinds of stages used in the enactment of plays. An analysis of stage directions and stage conventions will help students learn about the performative aspects of drama.

2.10 SUGGESTED READINGS

1. Allardyce Nicoll: *British Drama*
2. Allardyce Nicoll: *The Theatre and Dramatic Theory*
3. Marjorie Boulton: *The Anatomy of Drama*
4. M.H Abrams: *A Glossary of Literary Terms*

2.11 QUESTIONS FOR PRACTICE

Answer the following questions in about 200-250 words:

1. Write in brief the structure of action or plot in a drama.
2. Write a note on characterisation, in a dramatic work.

Answer the following short answers in about 150 words:

1. Describe the Proscenium arch theatre.
2. What are dramatic conventions? List a few conventions.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: READING DRAMA

UNIT 3: IMPORTANT TERMS PERTAINING TO DRAMA AND STAGE

STRUCTURE

3.0 Objectives

3.1 Introduction to the unit

3.2 What is drama and literary terms pertaining to it

3.3 Comic relief

3.4 Pathos

3.5 Aside

3.6 Soliloquy

3.6.1 Difference between soliloquy and aside

3.6.2 Difference between soliloquy and monologue

3.7 Suggested Reading

3.8 Conclusion

3.0 OBJECTIVES

After a careful reading of the play, the student will be able to:

- Understand what drama is and have fair idea of literary terms associated with it
- Comprehend the use of Comic relief
- Understand Pathos
- Know the meaning and use of Aside
- Get to know what Soliloquy is

3.1 INTRODUCTION TO THE UNIT

In this unit, we are going to have a quick look at the definition of drama. The terms in our course are pertaining to drama, so we have to understand what drama is. But since we have covered it in other units as well, so we will not go too deep into it. We will concentrate on some terms which are associated with drama. The first term that we will take up is Comic relief. We will understand its meaning, how and why it is used and also read some examples

of comic relief from various literary texts to understand the term better. Similarly, we will take up Pathos, aside and soliloquy respectively with a fair attention on examples. After understanding the terms, there is going to be a small quiz to check whether you have understood the concepts. Finally, there will be short and long questions for the benefit of the students that are important from examination point of view.

3.2 What is drama? An overview of literary terms pertaining to drama and stage.

Abrams defines drama as a literary genre that is ‘designed for performance in the theatre in which actors take the role of the characters, perform the indicated actions and utter the written dialogue’. It depicts life or a slice of it or portrays a character with its complexities and emotions that the audience can associate with. The action in the play moves forward with the help of the dialogues that are mouthed by the actors who are playing specific roles. The dialogues could be in prose or in verse (blank verse was used by Shakespeare in his plays and heroic couplets were used in Restoration comedies). The author of the drama is called a dramatist or a playwright. He gives stage directions (instructions in the text of a play which include what actions or movements are to be made by the performers or what objects are placed where on the stage or who enters and who exits in this make believe world) wherever required.

A drama is played directly before the audience in a theatre so there is a one to one relation of the actors with the viewers and the author can’t intervene himself at places where he wants to inform the audience of something important. Here techniques like aside and soliloquy are introduced so that the audience is aware of the undercurrents in the play. These literary techniques are also used to highlight and emphasize the importance of certain parts of the piece or to convey to the audience, through the performers, the reality of the characters or the truth of the incidents or to simply decorate and embellish the play. These literary devices enhance the overall impact of the play and are crucial in creating a ‘suspension of disbelief’. The detailing is usually important for character development and a better understanding of the plot. The literary devices like monologue, metaphor, soliloquy, aside, pathos and comic relief work alongside the plot and characters to upgrade the drama.

The knowledge of these devices, hence, becomes essential to understand the drama and to also enjoy it. When we know these terms, the nuances in the play seem clearer. These are meant to be subtle, yet they stand out in a well-structured drama. The terms that are there in our course in this semester are:

- a) Comic relief
- b) Pathos
- c) Aside
- d) Soliloquy

Let us begin with the terms.

3.3 COMIC RELIEF

Comic relief is understood as a comic episode or a dialogue or a character or just a witty remark (Shakespeare’s fools are famous for delivering them) or a funny comment that is

introduced in an otherwise serious piece of work to relieve the mounting tension in a piece of fiction. Normally, the term comic relief is associated with tragedies (because comic relief can't be provided in an already light situation). Etymologically, the phrase 'comic relief' is made of two words – comic and relief, and the meaning is evident in the phrase itself, which is the relief provided to the audience through something comic, that provides a solace, however transient, from the ongoing pain and trauma.

The students already know that Aristotle, the scholar, writer, critic (4 BC), in his mega critique 'Poetics' has defined tragedy as 'the imitation of an action that is serious and also as having magnitude, and is complete in itself', is presented in a dramatic manner and involves 'incidents arousing pity and fear wherewith to accomplish the catharsis of emotions.' Now, catharsis is a Greek term that means 'purgation' and 'purification' of the soul through watching the sad piece. This happens when the audience, on witnessing the suffering and trauma of the tragic hero, are filled with pity for him, and, afraid of meeting the same fate themselves, cry with the protagonist, and thus feel relieved after the release of emotion. The tragedy, hence, works on the emotions of the viewers. But while providing the pleasure of 'pity and fear', the intensity mounts to such a level that it is nerve wrecking, and the dramatist feels the need to introduce something light or humorous to provide a temporary relief from the outpouring sea of sorrow. As some might wish to believe, it doesn't mitigate the impact, but simply prolongs the climax of the drama.

Yes, comic relief is included as a short breather for the audience and it provides a moment of respite from the physical and mental violence under way in the play. And its purpose doesn't end here. More importantly, comic relief is poured into the middle of a tragedy to imitate life in the real sense, to prove that life is not dark alone or sunshine alone, it is a mixture of joys and sorrows, it is a true representation of life- where both joys and sorrows coexist, where life would show a happy occasion of birth at one place and death at another. So it is a tragedy for one character and a comedy for the other at the same time. This symbiosis of sorrow and laughter are essential to life and so should it be in dramas. This doesn't mean that the addition of comic episodes makes the tragedy less intense. It is not a diversion, but is a crucial part of the drama that advances the action of the play. By presenting a contrast, it highlights the tragic elements on one hand and also offers a moment's relief on the other. The children's movie, 'The Lion King', presents some intense serious themes of jealousy, lust for power and death amidst political upheaval when the good lion king Mufasa is cheated and killed by one of his own. In the movie, the script writer has introduced Timon and Pumba, two minor characters that keep providing silly humour to keep the theme light for children. This is the simplest example of comic relief.

Let's read some examples of Comic relief from literary pieces.

King Lear is an intense tragedy by William Shakespeare. The king divided his kingdom, while he was still alive, between his daughters, Regan and Goneril and banished the youngest Cordelia because she had refused to pamper him with lies. Once they got the power, Regan and Goneril began to mistreat their father who had to leave his own palace in storm. He is frustrated, with no place to go to and almost half mad with grief. The fool who followed him everywhere comes up with an apt funny dialogue:

"Fathers that wear rags

Do make their children blind

But fathers that wear bags,

Shall see their children kind". He and also tells the king:

"I am better than thou art now; I am a fool, thou are nothing."

The audience who had been crying with the king at his misfortunes are surprised at this light intervention by the wise fool and welcome this little solace.

Example 2. The porter's scene in Shakespeare's Macbeth is a very famous example of comic relief. Macbeth is an immensely tragic piece of work, that is abundant in murder and necromancy, with hardly a joyous episode in it. The porter's scene comes after a succession of tense scenes in Act II scene iii, leading to King Duncan's murder. Macbeth and Lady Macbeth come back after stabbing the king in his bedchamber and they have blood all over them when they hear a knocking on the door of the castle that is also heard by the drunken porter. He doesn't open the door, instead, he imagines he is standing on the gates of hell and the audience begins to enjoy his drunken comedy. The knocking on the gate of the castle seems to him to be first of a farmer, then an equivocator and then a tailor. "Knock, knock, knock! Who's there? Faith, here's an English tailor come hither, for stealing out of a French hose: come in tailor; here you may roast your goose." Then he decides to leave off his playacting and allows McDuff and Lennox to enter. His bawdy jokes don't end here. He continues, "...drink, sir, is a great provoker of three things ..nose-painting, sleep and urine. Lechery, sir, it provokes, and un provokes; it provokes the desire but takes away the performance". For the audience that had just witnessed a murder in the previous scene, the porter's scene is indeed a breather. The scene has been strategically placed between the murder and its discovery. This comic relief lessens the tension for a while by postponing the climax of discovering Duncan's death and gives audience time to wipe away their tears.

How well have you understood comic relief?

Check your progress I:

Ques 1. In which literary genre is the comic relief used?

- a) Essay
- b) Plays
- c) Novel
- d) Any genre

Ques 2 How do you define comic relief?

- a) The inclusion of comedy in a serious work to break the tension
- b) The inclusion of comedy in a comic work
- c) The inclusion of comedy in a serious work for no reason
- d) The inclusion of a short episode which is different

Ques. 3. The inclusion of porter's scene in 'Macbeth' is an example of:

- a) Pathos
- b) Tragedy

- c) Comic relief
- d) Tragedy

Ques. 4 The tools for presenting comic relief are:

- a) Comic characters
- b) Comic dialogues
- c) Comic episode
- d) Any of the above

3.4 PATHOS

The Oxford dictionary defines Pathos as ‘a quality that evokes pity and sadness’ in the minds of the viewers or the readers on witnessing a specific heart wrenching scene. The audience feels sympathy for the tragic character, and are filled with compassion for him. Like ‘the dying soldier’s words evoked a lot of pathos’. This, however is only one side of the term. Pathos is a literary device that is used by the author to invoke emotions of any kind from readers. It is definitely a mode of persuasion, something that coaxes the reader and sways him towards a point of view. It can be called a way or a method that is used to convince people with an argument through an emotional response from the viewers (and readers).

Pathos has a Greek origin that means grief or suffering. The term was used by the Greek philosopher Aristotle in ‘Rhetoric’ along with ethos and logos. Pathos, ethos and logos were the three basic tools or ‘primary modes’ of persuasion. Ethos was an ethical appeal to the audience that built its case on the writer’s knowledge and credibility as a righteous man who would present the case right, logos was a logical appeal that dealt with issues in the plot methodically and in a rational manner. It presented all the facts and figures to the viewers and strove to maintain a “reasoned discourse”. Pathos, on the other hand, in contrast to both ethos and logos was an appeal to the emotions of the audience. It targeted the feelings of the audience and tried to turn their sympathies in favour of the speaker (usually the tragic hero). The audience mostly melts at the sad turn of events and empathize with the character and all sense of right and wrong seem to go out of their minds. This is because passion can be all consuming and very compelling and can go astray. Aristotle himself emphasized the importance of logos, against pathos and ethos.

Before Aristotle, his teacher and eminent philosopher, Plato, had also written about pathos, but not in a flattering way. Plato was not in favour of using pathos because he felt that it was not too correct to impress the audience with sentimental talk. He said that the audience became weak when they witness pathos and could be manipulated easily. A good plot should be built rationally or ethically. Also, argument that is built on emotions and feelings alone is often flawed.

To sum up, pathos, as a literary device evokes certain feelings from the viewers. It creates a mood and sets a tone. It can influence the minds of the audience by making them feel sad or happy, passionate or aggressive with the words the writers choose and the plot they develop. In simplest terms when a salesperson implores his customer to buy some commodities from him because he needs the money to support his poor family, he is using the technique of pathos to make a profit. Here the reason tugs at our heart and stirs up our emotions instead of

a logical explanation. This is pathos. Or when a child convinces his mother to buy him a new dress because this will show how much his mother cares for him, the child is trying to emotionally sway his mother into buying the dress. This is also pathos.

In literature for example W H Auden's poem 'Funeral Blues' is a perfect example of pathos.

Stop all the clocks... Scribbling on the sky the message 'He is dead'.

....

He was my North, my South, my East and West,

My working week and my Sunday rest,

My noon, my midnight, my talk, my song;

I thought that love would last forever: I was wrong.

The stars are not wanted now; put out everyone,

Pick up the moon and dismantle the sun,

Pour away the ocean and sweep up the wood;

For nothing now can ever come to any good.

In this poem, Auden laments the loss of his loved one and presents the extent of his grief in the above lines. He wishes everything to stop just as life has seemed to stop for the poet because his companion has just died. He seems to be lost in sorrows and compares his love to the four cardinal directions and says that his life completely revolved around his love and now that he has lost him, he is distraught. Even the sun and the stars are useless to him and these elements of nature may well be removed because he is sure that they will not bring any good to him ever.

These lines evoke sympathy from the readers and Auden's words successfully tug at the reader's heart though temporarily.

Example 2: King Lear by William Shakespeare also has many episodes that are strewn with some classic examples of pathos. Lear divides his kingdom between his two daughters and banishes the third one who was actually genuine. When she says that she can say 'nothing' about her love for her father, he says 'Nothing will come out of nothing', the audience wishes to stop the king from doing this foolish act. The audience has begun to be affected by the emotional lows in this drama and this was just the beginning. When he has given his all away, and his daughters Goneril and Regan confront him about his regal behavior as he is no longer the king anymore, he can't believe that it is his own daughters who are talking to him in such a manner. In shock, he asks, "Who is it that can tell me who I am?" He is upset and angry and sarcastically asks who he is. He couldn't be the royal old king Lear to be spoken to in such a rude manner and he is questioning his own identity. Humiliated and hurt, he soon leaves the palace in a fit of rage. He has no roof over his head in the ongoing storm and cries:

"why then let fall

Your horrible pleasure. Here I stand your slave,

A poor, infirm, weak, and despised old man.” Act III, Scene ii

The audience is full of sympathy for the old man and his own follies are forgotten. The viewers actually see him as ‘poor’ and ‘weak’ and ‘despised’. The fall of a royal at the hands of his own children bring tears in the eyes of the audience. Lear is crazy with sorrow and so are the viewers. When Cordelia arrives to help him and Lear gains consciousness but can not recognize his own daughter. He introduces himself:

“I am a very foolish, fond old man.

Four score and upward, not an hour more or less,

And to deal plainly

I fear I am not in my perfect mind.”

The most effective example of pathos is in the end of the play when Cordelia dies in the arms of her father. She had been blameless and died for no fault of hers, her death was morally incorrect. Lear cries,

“O thou’lt come no more

Never, never, never, never, never” Act V, Scene viii

The repetition of the word ‘never’ aggravates the pain of not only the bereaved parent but the audience as well. The audience is shattered at the brutal turn of events and become extremely emotional.

How well have you understood Pathos?

Check your progress II

Ques. 1. A piece that uses reason and logic to explain its point of view is

- a) Pathos
- b) Logos
- c) Ethos
- d) Argument

Ques. 2. An appeal to emotion is:

- a) Pathos
- b) Tragedy
- c) Ethos
- d) Love story

Ques 3. Which of the following is true for pathos?

- a) It should include a thorough research
- b) It should make people laugh
- c) It should evoke the feelings of pity
- d) It should be sensible

Ques. 4. The three modes of persuasion are:

- a) Pathos, ethos and comedy
- b) Pathos, ethos and joyous
- c) Pathos, ethos and logos
- d) Tragedy, comedy and tragi comedy

Ques.5 An appeal to credibility and ethics is:

- a) Pathos
- b) Ethos
- c) Logos

3.5 ASIDE

Aside is a literary term that is mostly specific to drama and the reason lies in its mode of dramatic presentation. The dictionary defines the word as ‘to one side’ or ‘out of the way’ and further explains it in the context of theatre as ‘a remark or a passage in a play that is intended to be heard by the audience but unheard by the other characters in the play’. ‘It is not intended to be heard by everyone present’.

Drama, we know, is a literary genre written to be performed in a theatre. It has major and minor characters that are played by actors who have dialogues written for them. The development of plot is carried forward through interchange or repartee. Now, actors have a one to one relation with the audience because though the dialogues that they utter are between the characters present on the stage, they are meant for the audience who are viewing them. The audience understand only that what is being shown to them and from all that they gather through the conversations of the stage. They have no inclination as to what the character is thinking or what his ulterior motives are. Sometimes, it is important for the audience to know of the undercurrents of the play and is difficult for the playwright to express them. For situations like these, the playwright uses various literary devices to make his point of view and those of the characters clear. One of those literary devices is *aside*.

Aside is a dramatic device in which the character speaks directly to the audience. Only the audience knows that the character has said something to them. This way they reveal their inner thoughts. It is understood that the characters present on the stage are unable to hear this. Aside reveals a character’s true motives. This definitely breaks the fourth wall between the fictional world and the real world.

An effective aside increases the dramatic irony of the plot. There are things that the audience knows but which the other characters don’t know. This aggravates the tension in the audience who are left guessing as to when the truth about a specific character and the situation is going to come out. The audience delves deeper in the ‘suspension of disbelief’. The use of aside goes well for characters who carry more than one face. For example, Iago in Shakespeare’s Othello is the quintessential double faced man. On one hand, he feigns friendship with Othello and wants to present himself as his well-wisher and someone who is happy in Othello’s good fortune to have married someone as worthy as Desdemona. His ‘asides’ in the play show his true character (nature) to the audience and the audience waits with waited breath as to when the protagonist will find out of Iago’s treachery. In Act II Scene I, Iago sees Cassio talking to Desdemona, Othello’s wife and in this famous aside, he turns towards the

audience to tell them that he will use this as a ‘web’ to catch ‘Cassio’ because he’ll let Othello believe that his fair wife is having an extra marital affair with Cassio.

“He takes her by the palm. Ay, well said, whisper! With as little a web as this will I ensnare as great a fly as Cassio. Ay, smile upon her, do. I will give thee in thine own courtship. You say true, it is so indeed. If such tricks as these strip you out of your lieutenantry, it had been better you had not kissed your three fingers so oft, which now again you are most apt to play sir in. Very good, well kissed. And excellent courtesy! It is so indeed, Yet again your fingers to your lips? Would they be clyster pipes for your sake! The Moor! I know his trumpet.”

Iago had been watching Cassio being polite and courteous to Desdemona in a way that could be interpreted as an affair, which he intends to use later.

Example 2: *Aside from Twelfth Night (by William Shakespeare)*: The play Twelfth Night is full of disguises. This might have made it difficult for the audience (and readers) to comprehend the real intentions of the characters. Shakespeare uses asides to keep the audience informed of what is going on in the minds of his characters.

Viola is dressed as shepherd Cesario and is speaking to Curio who can’t recognise his shepherd friend to be Viola. She is comforting Curio that she would find a suitable wife for him but then interrupts her own dialogue to break into an aside to inform the audience finding a wife for Curio would be a difficult task as she intends to be his wife.

Viola: I’ll do my best to woo your lady:

Aside

yet, a barful strife!

Whoever I woo, myself would be his wife.

Example 3: Shakespeare’s ‘Hamlet’ also works on more than two levels. Prince Hamlet is a man with two personas. On one hand, he wants to convince Claudius that he has turned mad with grief because of his father’s death and on the other hand he wants to prove that there was something not right in the way his father was found dead. He doubts that his uncle Claudius (now his stepfather) had plotted against his father. When he talks about Claudius, he breaks into an aside in Act I, Scene ii: “A little more than kin and less than kind”

This makes the audience learn of his true intentions for Claudius?

How well have you understood Aside?

Check your progress III

Ques. 1. In which device do the characters talk directly to the audience?

- a) Soliloquy
- b) Pathos
- c) Soliloquy
- d) Aside

Ques. 2 What is true for aside?

- a) Only characters on the stage are able to hear it

- b) Only the audience is able to hear it
- c) Both audience and the characters on stage are able to hear it
- d) Only speaker knows what he has said

Ques. 3 Complete the sentence

An effective aside-----

- a) Keeps the secrets intact
- b) Let's the audience know of everything that is going on in the mind of the character
- c) Is a short crisp hint of the character's true feelings?
- d) None of the above

3.6 SOLILOQUY

Etymologically, soliloquy comes from Latin root words: *solus* that means 'by oneself' or alone and *loquus* that means 'to speak'. The act of speaking to oneself is, thus, soliloquy. The Merriam Webster dictionary further explains soliloquy as 'a poem, discourse, or utterance of a character in a drama that has the form of a monologue or gives the illusion of being a series of unspoken reflections'.

Soliloquy, as a literary device, is deployed by dramatists to let the audience know of the inner thoughts and ulterior motives of the character or for the purpose of explaining something or many times to impress upon the judgement and reflexes of the viewers. Simply put, the dramatist can, through the dialogues, reveal what a character is saying to the other but it becomes difficult for him to exhibit what all is going on in the minds of his characters because his dramatis personae are human and speak and act differently owing to their complex interiors. For these instances, when the character has more than one face, the dramatist uses literary devices like soliloquy. In a soliloquy, the character's real thoughts are heard clearly by the audience. A character might think aloud or in quiet (though a silent soliloquy holds no meaning in drama because then the purpose of this literary device which is to let the audience know about the essential being of the character stands mitigated).

The soliloquy became very popular during the Elizabethan age especially in the hands of Shakespeare and Marlowe. Gradually, by 19th century, its use became less. However some dramatists like Eugene O'Neil revived and modified soliloquy in his drama 'Strange Interlude' (1928).

Macbeth is a violent tale of power hungry and over ambitious Macbeth who murders the king who has bestowed honours upon him and who is a guest in his castle because he was driven by greed and his evil wish to become the king himself. He doesn't hesitate to attack his sleeping master, King Duncan. He becomes the king amidst more bloodshed and a scarred conscience. Shakespeare has decorated this drama with many soliloquies to open Macbeth's heart and soul and his thoughts to the audience. Macbeth bares himself at many occasions through various soliloquies and the play ends with a famous one when Macbeth is sinking into the abyss of despair and gloom on learning that Lady Macbeth has died. He comes to realize of the futility of life.

Tomorrow, and tomorrow, and tomorrow,

Creeps in this petty pace from day to day
To the last syllable of recorded time,
And all our yesterdays have lighted fools
The way to dusty death. Out, out, brief candle!
Life's but a walking shadow, a poor player
That struts and frets his hour upon the stage
And then is heard no more: it is a tale
Told by an idiot, full of sound and fury,
Signifying nothing.

Act V, Scene v

Hamlet is another play that is famous for its beautiful soliloquies. It contains the famous soliloquy 'To be or not to be' along with six more soliloquies. Hamlet is the quintessential thinking hero and in this sense he becomes a modern man with a complex subconscious. In fact, critics claim that his hamartia is that he thinks too much. Shakespeare let the audience know of everything that passes in Hamlet's mind: his loneliness, his despair, his disillusionment with life, his ideas on death, suicide and revenge and his passivity.

To be, or not to be? That is the question-
Whether it is nobler in the mind to suffer
The slings and arrows of outrageous fortune,
Or to take arms against the sea of troubles,
And, by opposing, end them? To die, to sleep-
No more- and by a sleep to say we end
The heartache and a thousand natural shocks
.....for who would bear the whips and scorns of time,
Th' oppressor's wrong, the proud man's contumely,
...thus conscience does make cowards of us all,
Thus the native hue of resolution
..be all my sins remembered.

Act III, Scene i

3.6.1 Difference between a soliloquy and an aside:

Both soliloquy and aside serve the same purpose of letting the audience know of what is going on in the mind of the characters. But aside is shorter, consisting of only a few lines and conveying a single thought and not delving too deep into details. In comparison, a soliloquy

can be very long and conveys many complex thoughts. Secondly, aside is spoken directly to the audience where as in a soliloquy, the character is speaking to himself. He is thinking aloud and he does not require to look at the audience.

3.6.2 Difference between a monologue and a soliloquy:

In a monologue, one character is speaking for a considerable time. It means that it could be even longer than a soliloquy and unlike in a soliloquy, there are characters on the stage who are listening to this long speech. They either respond with body expressions or would respond when this over. The monologue is directed the characters on the stage.

How well have you understood soliloquy?

Check your progress IV

Ques. 1. Soliloquy can be heard by the characters on the stage.

- a) True
- b) False
- c) Both the above, depending on the situation

Ques. 2. The main difference between a soliloquy and an aside is:

- a) Other characters can be there on the stage during a soliloquy and they hear all
- b) Other characters can be there during an aside but they don't hear anything
- c) Aside is comic relief
- d) Characters don't speak during a soliloquy

Ques. 3 During which period did soliloquy become very popular?

- a) Neo classical age
- b) Age of Chaucer
- c) Post Modern Age
- d) Elizabethan Age

3.7 SUGGESTED READING

A glossary of literary terms by M.H.Abrams

A History of English Literature by David Daiches

3.8 CONCLUSION

We have had a detailed study of Comic relief, pathos, aside and soliloquy with examples from various plays. These literary devices help us to comprehend drama in a better manner. And the terms in this course are just a hand full from the deep ocean of literature. And though all efforts have been made to cover all important points for the above topics, there is always a scope of widening one's horizon with more reading.

Answers to questions in 'Check your Progress':

Check your Progress (I)

1. (b) Plays
2. (a) the inclusion of comedy in a serious work to break the tension
3. Comic Relief
4. (d) all the above

Check your Progress (II)

1. (b) Logos
2. (a) Pathos
3. (c) he should evoke the feelings of pity
4. (c) Pathos, Ethos and Logos
5. (b) Ethos

Check your Progress (III)

1. (d) aside
2. (b) only the audience is able to hear
3. (c) is a short crisp hint of the character's true feelings

Check your Progress (IV)

1. False
2. (b) other characters can be there during an aside but they can't hear anything
3. (d) Elizabethan age

Long Questions:

Ques 1. What does Comic relief do? Explain it with the help of examples from drama?

Ques.2 Shakespeare has included Comic Relief in his tragedies? Do you agree? Explain by giving examples.

Ques.3 What kind of literary devices were used by dramatists of Elizabethan Age to let the audience know of the characters' intentions? Explain.

Ques. 4 Explain Soliloquy. How has Shakespeare used it for his characters?

Short Questions:

Ques. 1 How is aside different from soliloquy? Explain.

Ques.2 How will you explain Pathos? Give examples.

Ques.3 What is aside? Write a detailed note on its use with examples.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER – IV

COURSE: READING DRAMA

UNIT 4 JULIUS CAESAR: PART I

STRUCTURE:

4.0 Objectives

4.1 Introduction

4.2 What is Drama? Various kinds of Drama with a special thrust on Tragedy.

4.3 The English Drama: A Historical Perspective (The tradition of Drama in England)

4.4 William Shakespeare: the bard of England - a dramatist par excellence

4.5 An Introduction to Julius Caesar

4.5.1 Probable date of its composition

4.5.2 Julius Caesar is a History Play

4.6 Conclusion

4.0 OBJECTIVES

After reading this unit diligently, the students will be able to:

- Define drama as a literary form
- Trace the origin of drama and its growth through ages: miracle, mystery, morality plays and interludes that led to the regular Elizabethan drama
- Understand the genius of William Shakespeare and his place in the history of English theatre
- Be introduced to the play Julius Caesar

4.1 INTRODUCTION TO THE UNIT

In this unit, we shall try to understand what drama is, its various forms viz. comedy, tragedy, chronicle and history plays. Then we will have a look at the historical background of the tradition of drama in England. We will read about the beginnings of drama and how they metamorphose from liturgical plays to Elizabethan drama and why Elizabethan age is called the golden period of theatre. Then we will be familiarized with the remarkable works of William Shakespeare and then we will narrow down to Julius Caesar. This unit could include the introduction to the play only. The remaining discussion on the play will be resumed in the next unit.

4.2 WHAT IS A DRAMA?

M.H.Abrams and Geoffrey Harpham define drama as “the form of composition designed for performance in the theatre, in which actors take the roles of characters, perform the indicated actions and utter the written dialogue”; it is a genre of fiction that is written to be performed on stage where characters perform with dialogues written for them. The actors on the stage enact their roles directly in front of the audience. The dialogues, since the beginning, were in verse, (mostly blank verse), so they were poetic dramas and they attained perfection during the Elizabethan Age in the hands of dramatists like Marlowe and Shakespeare. The blank verse was replaced with heroic couplets (lines are rhymed in pairs as in a couplet and were in iambic pentameter) during the Restoration Age to suit the temperament of the heroic drama till prose took over.

The term drama comes from the Greek word ‘drago’ that means ‘to do or to act’. The symbol of two masks, the laughing mask and the crying mask represented the two kinds drama: Comedy and Tragedy.



Thalia was the muse of comedy and Melpomene was the muse of Tragedy.

Comedy is defined as a fictional work that is written to entertain, interest and amuse the audience. It is a happy tale of lighthearted events. Even when the characters witness a slight discomfort, it is rather pleasurable because the audience knows that no catastrophe will occur

and the play will have a happy ending. The most popular has been the Romantic Comedy that was developed by the Elizabethans. It usually has a love story as its main theme with a beautiful heroine and a passionate hero. Their path is strewn with little difficulties but they conquer all odds to have a happy ending. Famous examples are Shakespeare's 'As You Like It', Twelfth Night and A Mid-Summer Night's Dream. Thomas Lodge's Rosalynde was an inspiration to many such comedies. The Romantic Comedy was essentially filled with joie de vivre that would fill the audience with mirth and laughter. In contrast was the Satiric Comedy that intended to satirize and poke fun at the deviations from standard behavior or social and political philosophies. They were modelled on Aristophanes' (450- 385 BC) Greek comedies. Ben Jonson (author of Volpone, The Alchemist) was a master of these 'corrective comedies'. Next in order is the Restoration Comedy that was influenced by the French dramatist Moliere. They mirrored the court life of King Charles II, and the so called sophisticated men and women of upper class with all their intrigues and sparkle. William Congreve's The Way of the World is its classic example. The neo classical age brought the Sentimental Comedy and the Comedy of Manners that satirized the men and manners of this affected age. Famous examples were Oliver Goldsmith's She Stoops to Conquer and Richard Sheridan's 'The School of Scandal. Farce (with exaggerated characters and ludicrous situations that creates laughter) and Comedy of humours (based on the ancient theory of four humours and developed by Ben Jonson in Every Man in His Humour and Every Man Out of His Humour) are another two kinds of comedies.

Tragedy is a tale of misfortune and suffering and mostly ends in the death of the hero. Bradley says about Shakespearean tragedy that it is 'essentially a tale of suffering and calamity concluding in death'. Tragedy is defined by Aristotle as "the imitation of an action that is serious and also, as having magnitude, complete in itself"; it is in verse and follows the dramatic mode of narration and involves "incidents arousing pity and fear, where in to accomplish the catharsis of such emotions." Catharsis is a Greek term that means 'purgation' or 'purification' or both. When Aristotle talks of the pleasure of tragedy, he probably means that the tragic representation of hardships and suffering that are inflicted upon the characters in a tragedy, impacts the audience but not in a depressing way. Instead, when the audience witnesses the sufferings on the stage, they feel pity for the tragic characters and fear that this may not happen to them as well and cry with them, spend their pent up emotions and emerge relieved. This is how Aristotle explains the 'pleasure of pity and fear'. Now, this becomes the dramatist's responsibility to produce this effect in the highest degree.

The definition of tragedy would be incomplete if we don't talk about the **tragic hero**. He is the main protagonist who is levied with sorrows and he is the one around whom the tragic plot revolves. Aristotle defines the tragic hero as someone who is neither too good nor too bad i.e. neither a saint nor a villain. This is because the misfortunes of a saint don't invoke any pity as it is more like martyrdom and a villain also doesn't invoke any sympathy from the audience as he seems to deserve his share of sorrows. It is only for people like ourselves, a mixture of good and bad, though more good than bad who get more unhappiness than they deserve, we actually feel for. Aristotle further continues that the tragic hero should also be of a superior rank- he could be a royal or a semi God who suffers because of a mistaken choice of action. The larger his status, the more obvious and painful is the fall. He

has a tragic flaw (hamartia) that makes him err or misunderstand. Like Othello's hamartia is his jealousy and Macbeth's hamartia lies in his overambitious nature. A common form of hamartia is hubris. In literature, hubris is explained as a characteristic of a person who is too proud of his achievements and judgements and ignores all warnings. For Aristotle, Sophocles' Oedipus, the King (429 BC) is a perfect tragedy and Oedipus is the true Aristotelian tragic hero, who moves the audience to pity. He is not an evil man and he suffers more than he deserves. He moves us to pity as well because the audience fears similar errors of judgement in their own lives as well.

Other terms that require attention are *anagnorisis*, *peripeteia* and *catastrophe*. Anagnorisis is the point in the play where the protagonist (the tragic hero) discovers the facts that were earlier hidden from him or he learns the truth of the other characters' true identity or the truth about the circumstances. When Oedipus finds out that he is the son of Laius and Jocasta, and that he indeed has committed the heinous sin of killing his own father and marrying his mother, that is the moment of anagnorisis. Anagnorisis guides the character from ignorance to knowledge, that often is the turning point of the plot. It causes sudden reversal of fortune of the tragic hero, from good to bad. This is Peripeteia. Oedipus, in his attempt to cure Thebes of the curse, calls for his own ruin. Aristotle, in Poetics calls it "a change by which action veers round to its opposite". He also said that anagnorisis and peripeteia are the most crucial literary devices for a tragedy to be effective. They aggravate the impact. Catastrophe is the misfortune that has befallen on the tragic hero from where there is no escape.

Other than Comedy and Tragedy, there is Tragicomedy (a genre that contains both the characteristics of tragedy and comedy. Shakespeare's The Tempest is a Tragicomedy because it is not that light hearted in its tone and plot like some other of his romantic comedies but ends happily for all) and Melodrama as well. There is another kind of drama what is relevant in our course and that is the *CHRONICLE PLAY* or the History Play. Abrams defines Chronicles as "Chronicles, the predecessors of modern histories were written accounts, in prose or verse, of national or worldwide events over a considerable period of time...the most important English examples are the Anglo Saxon Chronicle, started by King Alfred in the ninth century and continued till the twelfth century and the Chronicles of England, Scotland and Ireland (1577-87) by Raphael Holinshed and others." Now, the dramatic pieces in which the author borrowed his plots and characters from these chronicles were the Chronicle Plays. The chronicle plays were based on the historical material of these chronicles. Shakespeare's plays Richard II, Henry IV, V, VIII and Marlowe's Edward II are chronicle plays. They had become increasingly popular after the defeat of the Spanish Armada at the hands of England when a patriotic fervor had set in. History play is a broader term that refers to a play based on historical events, not necessarily English. Antony and Cleopatra and Julius Caesar are history plays by William Shakespeare that are based on Roman ancient history.

Check your progress I :

Ques. 1. What is comedy?

Ques. 2. What is tragedy?

Ques. 3. Which genre is performed on stage?

- a) Essay
- b) Drama
- c) Novel
- d) Mock epic

Ques. 4 The muse of comedy is-----

Ques. 5 The muse of tragedy is -----.

Ques. 6 Comedy that is intended to poke fun at deviation from standard behavior is called:

- a) Intentional Comedy
- b) Elizabethan comedy
- c) Satiric Comedy
- d) Tragic Comedy

Ques. 7 The most popular comedy during the Elizabethan Age is:

- a) Mock Epic
- b) Satiric Comedy
- c) Comedy of Manners
- d) Romantic Comedy

Ques 7 Sentimental Comedy became famous during:

- a) Elizabethan Age
- b) Age of Chaucer
- c) Neo Classic Age
- d) Renaissance Period

4.3 THE ENGLISH DRAMA: A HISTORICAL PERSPECTIVE - From the beginning to Shakespeare

In England as in Greece and many other countries, drama has had a religious origin. It arose from the church service. Drama developed from tropes to the liturgical plays to miracle and mystery plays that graduated to morality plays and interludes and from that arose the Elizabethan drama. (Elizabethan Drama derives its name from Queen Elizabeth who ruled over England from 1558 to 1603. This was a period of remarkable growth of the theatre; this period is also called the golden age of theatre)

Drama and religion have been interconnected and religion has had a love hate relationship with drama since the beginning. A critic has very aptly put that “attitude of

religion and drama towards each other has been varied. Sometimes it has been one of intimate alliance, sometimes of active hostility, but never of indifference.” Sir Ifor Evans further puts in that “while at the beginning of the Dark Ages the church attempted to suppress the drama, at the beginning of the Middle Ages something very much like the drama was instituted by the church itself”.

In the beginning the church was hostile to drama and never encouraged it. All through the Dark Ages, there has been a dearth of dramatic activity. It was only during the 9th and the 10th century, when the church needed it to kill the extreme boredom of severe sermons and introduced tropes in a dialogue form or some times passages were adorned with religious music to make them interesting and keeping the masses engaged. Tropes were extended and moulded to be presented as the liturgical drama. The themes of these plays were derived from the entertaining Biblical tales. The themes varied from the birth and the crucifixion and the Resurrection of Jesus Christ to the tale of Daniel in the lion’s den, the story of the foolish virgins, the story of the last meal and the betrayal and the death of Jesus Christ to the fictitious and real stories of the magical lives of the saints. Because of their growing popularity, they were presented on special occasions like Christmas or Easter on their own without the church service. These liturgical plays were essentially a part of the church service initially but gradually were detached from it for the people had begun to enjoy them too much and wanted to watch them independently. They were moved from inside the church to the church yard and then subsequently to the market place to accommodate the vast crowds. When the liturgical plays were presented in the church premises, the roles were enacted by the clergy men themselves and the script was also written by them in Latin and later they might have begun to hire learned people to write for them.

*Liturgical plays: They emerged during the Middle Ages and were enacted within or near the church. They dealt with the themes from the Bible or from the lives of the saints and were included in the regular church service. They were in Latin and musical in nature as they were accompanied by ecclesiastic music. Their genesis may be traced back to 10th century and it is guessed by critics that it lay in the holy chant “Quem quaeritis” (Whom do you seek?). Bishop of Winchester, Aethelwold in his volume ‘Regularis Concordia’ has described that “Quem quaeritis was performed during the Easter mass. It depicts the story of the three Marys approaching the tomb of Jesus. They are asked, “Whom do you seek?” “Jesus of Nazareth” “He is not here. He has arisen as was prophesied. Go. Announce that he has arisen from dead”.

THE MIRACLE AND MYSTERY PLAYS

The plays that dealt with and presented real or fictitious accounts of the miraculous lives of the saints, their sacrifices and their martyrdom were the miracle plays. Mostly Virgin Mary and Saint Nicholas were the most frequently presented saints and people believed in the healing powers of their relics. In these plays Virgin Mary would come to help the distressed folks who invoked her and she would pull them out of their abyss when they asked for

pardon. A popular play of those times was one titled St. John the Hairy with a similar theme. Likewise, Jean Bodel's *Le Jeude Saint Nicholas* (c. 1200) talks of how Saint Nicholas delivers a cruel crusader when he seeks forgiveness for his sins.

Mystery plays portrayed the episodes and incidents from the Bible like the stories of Adam and Eve and the Garden of Eden and the murder of Abel and so on. These were better developed than the liturgical plays for they had an improved plot structure and dialogues. By the 13th century they had become vernacularized and had completely severed ties from the church. These had by now fallen into the hands of the laymen who wrote the dialogues and enacted roles because the ecclesiastics couldn't follow them once they were out of the church premises. In England, groups of 25 to 50 plays were organized into lengthy cycles such as Chester Cycles and Wakefield's plays and they were also called the 'Saint's Plays'. The church no longer supported them because of their negligible religious value. In fact, Henry VIII banned them. Also the Renaissance scholars found little interest in them, Reformation had brought in a new dimension to religion and miracle and mystery plays died a natural death but not before they had paved way for the morality plays.

MORALITY PLAYS

As the name suggests these plays intended to preach and always had a moral in the end. They were allegorical or symbolic in nature and usually had virtues and vices and abstractions (like Perseverance or Death or Life) who fought for man's soul.

The quintessential protagonist of morality plays would be somebody representing the Humanity whose weaknesses are used by the deadly Sins like Greed, Sloth, Gluttony, Lust, Despair etc. for their benefit which is to get the soul for the Devil. He can pray for redemption only if he walks on the righteous path, sticks to virtues of Truth and ask for God's mercy. These plays definitely guided the audience to do good and presented lessons on how to conduct one's life with morality. The best known morality plays are *The Castle of Perseverance* (c. 1425) and *Everyman* (in the end of 15th century). David Daiches sums up the summary of *Everyman* like this:

"Everyman is summoned by Death to a long journey from which there is no return. Unprepared, he looks for friends to accompany him but neither Fellowship nor Goods will go; Good deeds are willing to act as guide and companion, but her sins have rendered her too weak to stand. She recommends her to Knowledge, who leads Everyman to Confession, and after he has done penance Good Deeds grow...as the time comes for everyman to creep into the grave, all the companions except Good Deeds decline to go with him... enters the grave with Good Deeds.. concludes by pointing the moral." Daiches observes that the morality plays "has more direct links with Elizabethan Drama". With morality plays, we are almost near the Elizabethans.

The Interludes are a significant step of transition from the allegorical morality plays of the Middle Ages to the more realistic Tudor drama. Interludes removed the symbolic

elements of the morality plays but continued to be didactic in nature. They got their name from the fact that they were performed at intervals between some other entertainment such as an opera or they might also be played before or after or in between the acts. David Daiches says that they “emphasized more on amusement than instruction”. But in fact, today some of the interludes are classed along with morality plays. John Heywood brought them to perfection in ‘The Play of the Wether’ (1533) and the play called ‘The Four Ps ’(c. 1544).

The Beginning of Regular Drama in the beginning of 16th century

Renaissance had come knocking and had opened again the doors of the ancient Greek and Roman dramatists. The English dramatists began to look up to the works of Aeschylus, Sophocles, Euripedes for tragedies and Aristophanes, Plautus and Terence for comedy. The first English tragedy was Gorboduc and was written in blank verse by Thomas Sackville and Thomas Norton. It was enacted on 18 January 1561 before the Queen herself at White Hall. It was based on the Senecan model and was characterized by excessive bloodshed, massive rhetorical speeches and even had a Ghost as one of the dramatic personae. Gorboduc was the king of England who in his lifetime divided his kingdom between his two sons, Ferrex and Porrex. One brother murders the other and in revenge is killed by their mother. In horror, the people rise against the king and the Queen and kill them. A civil war ensues and the whole country is ruined. But instead of invoking the feelings of pity and fear in the minds of the audience, this invokes horror. So it is not considered in the same plane as the other tragedies which were to be penned by in the coming future. Because of its political nature however, it can be called a forerunner of the trend that produced Titus Andronicus and King Lear. In spite of the gory details, Gorboduc remains the first English tragedy to be written in blank verse. Its *five acts* (first three acts were written by Norton and the next two were by Sackville) became a universal tradition in case of tragedies.

The first comedy was Ralph Roister Doister was written by Nicholas Udall in 1550, the headmaster of the Eton, London. It was intended for performance by his students (all boys and they dressed up for the role of the women folk in the play as well). It marked the rise of the English Comedy from the clutches of the medieval morality plays. Its central idea is derived from Plautus’ Miles Gloriosis and is written in rhyming couplets and divided into acts and scenes in the manner of Latin plays. The hero Ralph Roister thinks too much of himself and of his impact on others. He imagines he is the apple of everyone’s eyes and decided that the heroine (who is married to somebody else) loves him. He is assisted in his endeavors by Matthew Merrygreeke, a good for nothing fellow himself. Dame Constance shuns his advances and after many follies and silly attempts, he comes to terms with the harsh reality. The play is full of comic episodes and appears similar to Shakespeare’s The Merry Wives of Windsor.

THE UNIVERSITY WITS

Till the end of 15th century, drama was being handled by ‘not so literary’ men as has been discussed earlier. But because of the Renaissance and other reasons, there was an increasing interest in reading and learning. In the second half of the 16th century a new group of learned

and well educated scholars of Oxford and Cambridge Universities began to make their presence felt in the literary circle of England. They were academically brilliant, were members of several literary societies and were true embodiments of the spirit of Renaissance. They were all associated with the theatre of the times which was actually considered right for these scholars. They were highly intellectual and smart and they were the products of the new ideas of Reformation and didn't think much of the old world of morality and the so called 'righteous, approach towards life. They lived a free life and didn't bind their spirits to the old order. In fact, one of the most impressive of the university wits, Christopher Marlowe was drunk when he was killed in a street brawl for bargirls. Their reckless attitude cut short their careers in more ways than one. Their contribution to English drama has been great though it could have been more had they had a better approach towards life; but then their 'better' approach would have taken the spark out of them. They definitely laid the foundation stone of the new drama, the Elizabethan drama and made way for the very special: William Shakespeare.

The university wits were:

- John Lyly (1554-1606) better known for his prose romance 'Eupheus'
- Robert Greene (1558-1592) –wrote five plays in all. Friar bacon and Friar Bungay is the most popular of all. Nicoll has given him the credit to have been "the first to draw the Rosalinds and Celias of the Elizabethan times.". But he died young and frustrated, friendless and penniless.
- George Peele (1558-1597)
- Thomas Lodge (1558-1625)
- Thomas Nashe (1567-1601)
- Thomas Kyd (1557-1597)- His only play, The Spanish Tragedy is on the Senecan model. He introduced a new tragic hero who was ordinary and given to introspection. In a way he made way for the thinking heroes like Hamlet.
- Christopher Marlowe(1564-1593) he was 'the most talented of the pre-Shakespeareans'.
All of his five plays are special but one that definitely stands out is Doctor Faustus. His contribution to English drama is remarkable for he gave a new approach to not only the handling of the tragic hero but also the structural unity of the play and the themes.

These were the very worthy predecessors of the literary genius of WILLIAM SHAKESPEARE.

Check Your Progress II:

Ques. 1 Drama had its origin in:

- a) Church
- b) Universities
- c) Villages
- d) The Royal Courts

Ques. 2 What is liturgical drama?

Ques.3 What are miracle and mystery plays?

Ques. 4 How do morality plays have a direct link with the Elizabethan Drama?

Ques. 5 Who were the University wits?

4.4 WILLIAM SHAKESPEARE: THE BARD OF ENGLAND AND A DRAMATIST PAR EXCELLENCE (April 23, 1564-April 23, 1616)

All words fail and all epithets seem small when critics begin to introduce the genius of William Shakespeare. To borrow from Ben Jonson, “I loved the man”. He was:

“.... Soul of the age!

The applause! Delight! The wonder of our stage!

.....

Triumph, my Britain! Thou hast one to show,

To whom all scenes of Europe homage owe.

He was not of an age, but for all time”.

And indeed he was a ‘wonder of the stage’ and “the greatest poetic dramatist of Europe”. Even after five hundred years, his characters and his plot structures continue to be relevant and they have transcended their age because he had captured the essence of the basic nature of man, he presented men and women as they actually are - ripe with the emotions of love, jealousy, insecurity and friendship, greed, affectation and ambition. These feelings are eternal and so are his unforgettable lovers Romeo and Juliet, Orlando and Rosalind; Iago is the quintessential symbol of motiveless malignity and Macbeth represents greed and over ambition, Othello was insecure and Desdemona naïve, Shylock was greedy and revengeful and Portia intelligent, King Lear immature in his conduct and over thinking was Hamlet’s hamartia. Not only his tragic heroes, but even his petite heroines leave an indelible mark in the minds of the readers. His fools are the wisest beings that often come up with the most philosophical observations of life. Even in a historical play like Julius Caesar, Shakespeare delineates the historical events but what stand out are the characters Brutus, Cassius and Caesar who have traits that anybody could identify with and the dialogues are so apt and thought provoking that even ordinary mortal folks have had it easy because Shakespeare has provided us with a line for every occasion. Look at this very ordinary yet extraordinary line by Caesar, “Et tu Brutus?” It means “You too?” Caesar says this line when he is stabbed by his so called friends because of political rivalry. He looks at all the faces around him but

when he finds Brutus there, he is genuinely shocked because he expected insincerity from anyone but never thought that Brutus could back stab.

He captured the real essence of human nature. The neo classic critic Alexander Pope insisted that

“Nature herself was proud of his designs,

And joyed to wear the dressings of his lines.

Shakespeare showed us how the human mind worked and with his special characterization skills and his poetry is wonderful. Hazlitt speaks of his “magic power over words” and it is indeed incomparable: it fits every situation.

In spite of uncountable epithets on his super skill as a poet and a dramatist, Shakespeare was oblivious of his genius. He moved casually from one play to the other, play acting or writing. He was occupied with their performance rather than their publication for posterity. This sometimes leaves the readers in a flux because there is hardly any evidence on which the scholars have arranged his plays in a chronological order. Historians over the decades have meticulously noted the casual references in the play that hint at the approximate date and year of the presentation of the play.

This is also true that Shakespeare’s plots are borrowed, that he derived his plots from someone else’s works. But this should not work to his discredit because even the classic Greek dramatists borrowed from the popular myths and legends. Moreover, this is Shakespeare’s special talent that he could mould any clay, any alien material to reshape it into something uniquely spectacular and completely his own and when he clothed them in befitting words from the sea of his poetry, it only called attention to his amazing imagination skills.

Shakespeare was born in Stratford in Warwickshire to John Shakespeare, a trader and Mary Arden. He might have had to leave school early to help support his family. In 1582, he married Anne Hathaway, eight years his senior. His plays present both happy and sad aspects of his married life, which doesn’t enlighten much about his own family life. About 1587, he went to London and joined Burbage’s company of actors. He blended into the life of London in the same manner as he had understood his native land. He was a keen observer as is obvious from the vividness with which he narrates his episodes. His early works show him interested in a variety of themes and genres. The Comedy of Errors (1590) was an experiment with comedy, the three Henry plays (1590-92) were history plays that were in vogue during that period and Titus Andronicus (ca 1593) was based on the Senecan model of Revenge Tragedy. He could very well be checking the taste of his London audience.

His poem ‘Venus and Adonis’, written during this period was dedicated to the Earl of Southampton that brought him a great amount of money as a gift from the Earl. Shakespeare might have invested this money smartly to buy a share in the Globe Theatre and the Blackfriars Theatre. He was also a very important member of the Lord Chamberlaine’s

Men. Within a decade of his arrival in London, he became a prominent literary man and a successful man of the theatre.

Shakespeare's poetic and dramatic career can be divided into four periods paralleling his experiences in life and the growth of his mind. The first period was one of experimentation (1590-1595) when he was juggling with a variety of genres as already discussed in the above paragraphs. If Shakespeare was to be judged on these works alone, he might have survived the test of time but in comparison to his later works, these are not as mature in characterization. There is a superficial quality to them, as they are written in clever language that is rich in the use of puns and conceits, one meant to impress. However, plays like 'A Midsummer Night's Dream' and 'Romeo and Juliet' written during this period are rich in imagination and youthful love which uplifts the heart. The second period from 1595 to 1601 is 'The Balanced Period', the period of Great comedies and the Chronicle Plays. There is less superficiality more reality, more understanding of the human nature and great poetry in the works of this period. As You Like it, The Merchant of Venice, King John, The Merry wives of Windsor, Much Ado about nothing, Twelfth Night, Henry IV, V were composed during this period. These are light hearted works that are capable to lift up sullen spirits. 1601-1607 was a sad period for the playwright. His father died and his friend, the Earl of Southampton was tried for treason. Some say his young son also died during this period, hence the period of despondency. More over life can't always be all fun and frolic and there are somber shades of life as well. Hamlet, King Lear, Macbeth, Julius Caesar, All Is well that Ends well, Antony and Cleopatra, Measure for Measure belong to this period. They are masterpieces and have a philosophical angle to them as they present a grey picture of life. The last period is from 1608 onwards. By this time, Shakespeare seems to have come to terms with his turmoil and must have realized that life is neither completely dark nor all sunny. It has to be a mix of joys and sorrows. Hence the Tragi-Comedies like The Tempest, Cymbeline or the winter's tale. This is definitely a mellowed version of the dramatist but these works are not as great as his comedies and tragedies of the second and third period.

Check your Progress III:

Ques. 1 Give some examples of Shakespeare's comedies.

Ques. 2 Name some tragedies written by Shakespeare.

Ques. 3 In how many periods are Shakespeare's plays divided?

Ques 4 The Tempest, Cymbeline are examples of:

- a) Tragedy
- b) Comedy
- c) Tragi Comedies
- d) Epics

4.5 AN INTRODUCTION TO JULIUS CAESAR

PROBABLE DATE OF PRESENTATION: As discussed in the previous sections, Shakespeare has not mentioned the dates of composition or presentation of his plays anywhere and so is the case with this play. However, the critics and historians have guessed the date to be between 1598 to 1601. John Weevers' *The Mirror of Martyrs* (1600) refers to the Forum Scene of Julius Caesar in a passage. The passage talks of how the Roman crowd is drawn to Brutus' speech and the crowd agrees with him that Caesar was an ambitious man and at the same time, they agree with Mark Antony as well when he talks of Caesar's virtues. Also Ben Jonson in *Everyman out of his humor* writes a dialogue that is very similar to one in Julius Caesar. Either could have borrowed from either. Another evidence that supports that the play was composed after 1598 is that Francis Meres brought out a list of Shakespeare's plays in Sept 1598 and Julius Caesar was not among them.

Julius Caesar is a history play and that is derived from ancient Roman history. All the major and minor characters are Caesar, Brutus, Mark Antony, Cassius, Octavius, Portia, Calpurnia or the Tribunes actually existed between 44 BC and 42 BC in Rome. The major and minor events have also been recorded in history. As is the case with Shakespeare's other history and chronicle plays, he has borrowed from Sir Thomas North's translation of 'The Lives of the Noble Grecians and Romans' (pub. 1579) in England originally written by Plutarch in Greek. But like all chronicle plays, the dramatist could take liberties here. Some historical events have been adjusted and sequence of happenings have been reversed slightly to suit the aesthetics of the drama. But all the additions and omissions and squeezing of facts have been in a remarkable manner that highlights Shakespeare's fertile imagination. Like for example, the events that took place over a period of two years were completed in a matter of six days. Of course the play couldn't have stretched over 2 years because that would have been a gross violation of the unity of time.

Scene I and ii of Act I are of 15 February in 44 BC

Scene iii of Act II is of 14 March 44 BC

Act II and III take place on 15 March

Scene ii and iii Act IV are of a day in October, 42 BC

And Act V is of next day October, 42 BC

Also Caesar's victory over Pompey's sons was in October 45 BC and the celebration of Lupercalia festival was in February 44 BC but Shakespeare brought both the events on the same day. Brutus' and Antony's speeches were also on consecutive days but Shakespeare had presented them on the same day. Also, Octavius (Caesar's nephew and heir) was seen arriving to Rome on the same day as Caesar's assassination whereas according to Plutarch's historical account, Octavius reached Rome after six weeks of the incident. Moreover, Antony and Octavius were not so thick with each other as they were shown in this play.

Check your progress IV:

Ques. 1 Julius Caesar is a ----- play.

- a) Romantic Comedy
- b) Chronicle play
- c) Royal play
- d) Comedy of manners

Ques. 2 Julius Caesar was written during the period:

- a) 1598-1601
- b) After 1601
- c) 1590-1593
- d) 1566

Ques. 3 The play Julius Caesar is derived from:

- a) Ancient English history
- b) Greek history
- c) Ancient roman history
- d) Indian history

Ques. 4 Shakespeare has borrowed the material of the play Julius Caesar from the book:

- a) Every man in his Humour
- b) Aristotle's Poetics
- c) History of Julius Caesar
- d) The lives of Noble Grecians and Romans

Ques.5 Julius Caesar traces the events from ----- of Roman history.

- a) 44 BC to 42 BC
- b) 1 BC to 5 BC
- c) 1598 to 1601 AD
- d) After 1601

Ques. 6 Julius Caesar is divided into ----- acts.

- a) 2
- b) 3
- c) 4
- d) 5

CONCLUSION:

In this unit, we understood what drama is and also read about the two kinds of drama, comedy and tragedy. Then we traced the beginnings of English drama and found that drama has its origin in church. Earlier, church had condemned drama but then used it for its own popularity. We read about miracle plays, mystery plays and morality plays and how they eventually gave rise to the Elizabethan drama. The age of Queen Elizabeth was appropriate for the rise of drama and it saw the best playwrights like the university wits and the master

himself: William Shakespeare. Finally we were introduced to Julius Caesar as a chronicle play. Further discussion of the play would be carried on in the next chapter.

Answers of 'Check your progress':

Check your progress I:

Ans. 3 (b) drama

Ans. 4 Thalia

Ans.5 Melpomene

Ans. 6 Satiric Comedy

Ans.7 Romantic Comedy

Ans.8 (d) Neo Classical Age

Check your progress II

Ans.1 (a) Church

Check your progress III

Ans. 4 © Tragi Comedy

Check your progress IV:

Ans. 1 (a) 1598-1601

Ans. 2 © Ancient Roman history

Ans.3 (d) 'The Lives of the Noble Grecians and Romans'

Ans.4 (a) 44 BC to 42 BC Ans. 5 (d) 5

ASSIGNMENT FOR UNIT 4:

Long Questions:

Ques. 1 What is drama? Describe tragedy as a special kind of drama.

Ques. 2. Write a detailed note on the university wits. How did they contribute in making the Elizabethan age the golden age of theatre?

Ques. 3 Why is Shakespeare called the dramatist of all times? What is his contribution towards drama?

Short Questions:

Ques. 1. Write short notes on:

- a) Hamartia
- b) Peripeteia
- c) Anagnorisis
- d) Tragic Hero

Ques.2. Explain with examples the difference between miracle plays and mystery plays.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: READING DRAMA

UNIT 5: JULIUS CAESAR, PART II

STRUCTURE

- 5.0 Objectives**
- 5.1 Introduction to the Unit**
- 5.2 The Plot of Julius Caesar in Brief**
- 5.3 Dramatis Personae**
- 5.4 Scene-wise summary of the play**
- 5.5 Important passages from the play**
- 5.6 Theme of the play**
- 5.7 Character sketch of Julius Caesar**
- 5.8 Character sketch of Brutus**
- 5.9 Suggested Reading**
- 5.10 Conclusion**

5.0 OBJECTIVES:

After reading this unit, the students should be able to:

- Know the plot of the play Julius Caesar
- Know about the major and minor characters of the play
- Understand the occurrences in the scenes and Acts
- Know about the important dialogues/passages of the play

5.1 INTRODUCTION TO THE UNIT

We have already learnt about the important aspects of this play in the previous unit. We traced a short history of drama from the beginning to Shakespeare, who is the playwright of Julius Caesar and is a master craftsman whose charm refuses to fade even after five hundred years of his death. We found that his poetry, his themes and his characters are ever new. We also saw what kind of plays were being written in Elizabethan age. A small introduction of the play was also given. In this unit we are going to begin with a brief summary of the plot of

Julius Caesar and then the author has provided a list of the main characters of the play for the benefit of the students. Then we will proceed to the scene wise summary of the play for a detailed understanding of the plot and the characters and then there will be important dialogues from the play. In the end, the theme of the play and important characters will be discussed. With this, we will come to the end of the play with the hope that students have completely understood the nuances of this play. This unit however, would not be so complete if you don't read the original text for that is a masterpiece in itself.

5.2 THE PLOT OF JULIUS CAESAR IN BRIEF

The play opens in Rome on 15 February 44 BC where the mood was festive because of twin reasons. It was the occasion of the festival called Lupercalia and the other reason for the celebration was that Julius Caesar had returned from the battlefield after defeating the sons of Pompey. Pompey himself had been defeated in 48 BC (he had died soon after) and now that his sons had also lost the battle, Caesar would become the undisputed ruler of Italy. The Roman Senate would also assist him in this endeavor.

People had begun to gather to pay their tributes and offer their salutations to the victor. But where most of the Romans were jubilant, there were some who were not happy with Caesar's win. In the very first scene, the two Tribunes, Marullus and Flavius were seen scolding the public for their fickle loyalty that had shifted from Pompey to Caesar too soon. They were asking them to remove all decorations and even pulled out garlands from Caesar's statues' themselves. Not only the two Tribunes, there were some members in the Roman Senate who didn't want Caesar to be the king. The main among them was Cassius who was jealous of Caesar's growing power. He initiated a conspiracy and turned many a minds against Caesar. His real victory was when he was able to turn Caesar's dear friend Brutus against him through fair and foul means. Brutus was an idealist and a highly respectable figure in Rome and his inclusion in this team would lend some credibility and respect to this plan. Brutus was made to believe that Caesar was becoming arrogant and had dictatorial tendencies and that people were wary of his growing power. And for the larger benefit of Rome, he joined hands with Cassius.

Next day, when Metellus Cimber requested Caesar to forgive his brother who was being

banished from Rome, Caesar refused his plea and even ruled out Brutus' and Cassius' request on Cimber's behalf. It was now that the conspirators stabbed him with daggers and he died. Caesar's another friend Mark Antony was shocked how things had turned out. He knew he had to be diplomatic or he too would be finished. When Brutus was going to announce the killing of Caesar to the public, Antony requested to be given an opportunity to talk to the crowd and to take Caesar's body to the public so they could pay their respects to the dead and Brutus, being the idealist he was, agreed. When Brutus began to speak, people began to agree with him and had almost given their approval to the deed done as Brutus convinced them that he had done that for the love of people. But when Antony's turn came, he spoke so cleverly and effectively that the tables were turned and people began to blame the conspirators. The crowd was so moved by Antony's words that they vowed to take revenge at those who had

killed Caesar. A battle ensued between the conspirators comprising Brutus, Cassius and the others and their soldiers and between Caesar's supporters Antony, Octavius, who was Caesar's nephew and his heir, and the army. In time, Brutus and Cassius were defeated and committed suicide and Octavius and Antony emerged victorious.

Check your progress I:

Ques.1 In the play Julius Caesar, the exact date of the opening scene is -----and it opens in the streets of -----.

Ques.2 When Julius Caesar returns to Rome, a festival is going on in the city. It is the -----.

Ques.3 The two Tribunes who were not happy with Julius Caesar's victory were named ----- and -----.

Ques.4 Who is the main character who plots against Caesar?

- a) Casca
- b) Cassius
- c) Brutus
- d) Antony

Ques.5 Julius Caesar's wife is

- a) Portia
- b) Calpurnia
- c) Anne
- d) Rosalind

Ques.6 Who wanted to take a revenge when Caesar was murdered?

- a) Brutus
- b) Cassius
- c) Calpurnia
- d) Mark Antony

Ques.7 Whose army won the battle, Octavius and Antony's army or Brutus and Cassius's army in the play Julius Caesar?

- a) Octavius and Antony
- b) Brutus and Cassius
- c) Both sides lose

Ques.8 Who became the king after Julius Caesar died?

- a) Brutus
- b) Cassius
- c) Antony
- d) Octavius Caesar

Ques.9 Who got fake letters planted in Brutus's house?

- a) Cassius

- b) Julius Caesar
- c) Antony
- d) Calpurnia

Ques.10 Julius Caesar defeated -----

- a) Brutus
- b) Metellus Cimber
- c) Pompey
- d) Hamlet

Scene: During a great part of the Play, at Rome, afterwards near Sardis, and near Philippi.

5.4 Scene wise summary of the play:

Act I Scene (i)

The play opened in the streets of Rome with the two Tribunes Flavius and Marullus (Tribunes were officials whose duty is to protect the rights of the common citizens). Those who also entered the stage were the Roman populace who were celebrating Julius Caesar's victory over Pompey's sons. (Pompey was the previous ruler of Rome who had been defeated

[*Dramatis Personae*



JULIUS CAESAR

CALPURNIA, *Caesar's wife*

MARK ANTONY,

OCTAVIUS CAESAR,

LEPIDUS,

} *triumvirs after Caesar's death*

MARCUS BRUTUS

PORTIA, *Brutus's wife*

CAIUS CASSIUS,

CASCA,

DECIUS BRUTUS,

CINNA,

METELLUS CIMBER,

TREBONIUS,

CAIUS LIGARIUS,

} *conspirators with Brutus*

CICERO,

PUBLIUS,

POPILIUS LENA,

FLAVIUS,

MARULLUS,

} *senators*

} *tribunes of the people*

SOOTHSAYER

ARTEMIDORUS, *a teacher of rhetoric*

CINNA, *a poet*

by Caesar three years back and had died soon after). Flavius and Marullus were sympathetic towards Pompey and showed their dislike for Caesar. They scolded the people and asked them all to go away.

Flavius: Hence! Home you idle creatures, get you home:

.O you hard hearts, you cruel men of Rome,

Knew you not Pompey?

It is obvious that the Romans were divided on the matter of having Caesar as their ruler and it is interesting to note what would happen next. There is a lot of use of puns in this part; one of the few fun elements in the play as the forthcoming scenes would be serious.

Act I Scene (ii)

The scene opened in a public place in Rome and enter Caesar, his wife Calpurnia, Brutus, his wife Portia, Decius, Cicero, Cassius, Casca, a Soothsayer, and a great crowd. We were face to face with Caesar and others and got to know them better in this scene. Caesar, the great warrior and a Colossus himself, was deaf in one ear, had occasional fits of epilepsy and was very superstitious. He asked his wife to stand in the way when Antony would run the races (which were a part of the Lupercal festival) because the myth went that if a childless woman was touched by a participant of these holy races, the curse of infertility would be removed. Caesar was also very observant and rightly wary of Cassius. He said of Cassius "...Cassius has a lean and hungry look, He thinks too much: such men are dangerous". This scene is also important for the warning that was given to Caesar by the soothsayer (fortune teller). He had warned Caesar to "Beware the ides of March". Further, Cassius came across as a shrewd man with a skill of manipulation because he began to play on the mind of Brutus against Caesar and initiated the conspiracy and Brutus seemed to be falling for the trick.

To instigate Brutus against Caesar, Cassius said:

"No, Caesar hath it not (the falling sickness); but you; and I,

And honest Casca, we have the falling sickness.

This means that they were the ones who were sick and diseased because of their subservient attitude that stopped them from doing anything against Caesar.

Antony was introduced briefly as a hearty sportsperson and a dear friend of Caesar's.

Act I Scene (iii)

The scene opened in the same street and Casca and Cicero entered the stage. It was evening time and there was lightning and thunder. Shakespeare was very fond of using this technique of pathetic fallacy where nature mirrored the kind of events that were happening in the play. Like in the storm scene of King Lear, there was a storm outside and a storm within King Lear himself. In Julius Caesar, this horrifying storm was symbolic of the catastrophe that was about to fall on the mighty Julius Caesar. Also Casca and Cicero both witnessed strange scary supernatural happenings on the road. All these pointed towards the tragedy that was going to strike Rome. Casca said:

"they are portentous things unto the climate that they point upon". And Cicero answers, "In deed, it is a strange disposed time". These supernatural happenings highlight the dramatic impact and prepares the audience for the mega action: the assassination of Caesar.

This scene is high in imagery. Towards the end of the scene when Casca and Cassius were in conversation, they also commented why they wish to have Brutus to be their accomplice.

They accepted that he was a highly respectable man and the Romans held him dearly and his participation in this enterprise would “like richest alchemy, will change (their sin) to virtue and to worthiness.”

Check your progress II

Ques.1 What do Flavius and Marullus do when they reach the temple at the capitol?

Ques.2 Why is Scene i of Act I important?

Ques.3 What does Caesar want Calpurnia to do at the holy races?

- a) She should run.
- b) She should let Antony touch her.
- c) She should give a speech.
- d) She shouldn't go to the races.

Ques.4 Casca and Cicero witness scary supernatural happenings on the road. They were symbolic of-----

- a) The good times that were to come.
- b) Something bad is about to happen in Rome.
- c) A civil war is about to begin in Rome.

Act II Scene (i)

The scene began in Brutus's house with his soliloquy in which he convinced his conscience that he was doing the right thing by plotting to kill Caesar. He had come to believe that Caesar would change when he would be crowned the ruler. His dictatorial attitude would come in the way of his goodness and he then would not bother about the welfare of people. Through this soliloquy, the audience got to know of all that was going on in the mind of Brutus. Next, Brutus found the letters that contained messages from the common people to save them from Caesar. Little did he realise that they were planted by Cassius to turn him against Caesar. Two more soliloquys followed and finally took the final decision to join Cassius in this endeavor. All conspirators gathered at Brutus' house and planned to kill Caesar. Cassius suggested that Antony should also be killed along with Caesar but Brutus, being the idealist he was, refused to do so. In fact he stated that he didn't even want to kill Caesar but their enemy was Caesarism, the autocratic spirit that Caesar stood for.

“Let's be sacrificers , not butchers Cassius,

We all stand up against the spirit of Caesar”

It was 3 at night by the time they left Brutus' house and planned to meet at 8 in the morning at Caesar's house. The scene also had a domestic episode between Brutus and his wife Portia. She was worried about her husband because he couldn't sleep and wished to help him sleep better.

Act II Scene (ii)

It opened at Caesar's house. We see Caesar in a night gown asking his servant to ask the priests to carry out the sacrifices to please the Gods as he was not feeling too good. He was superstitious that something wrong was about to happen. His wife Calpurnia also didn't want him to go out. The storm outside seemed to be a warning from the Gods. She says:

“ When beggars die , there are no comets seen :

The heaven themselves blaze forth the death of princes”

He gave in to his wife's wishes but then Decius entered and he with his cunning reasoning and flattery convinces Caesar to meet the Senate.

Act II Scene (iii)

The scene opened in a street near the capitol and we meet Artemidorous with a scroll of paper in his hand. He is a minor character in the play and one of the two people who wanted to warn Caesar against the impending danger. He had written the names of all the conspirators in the paper that he wishes to give Caesar. He was Caesar's well wisher and a loyal subject. He says:

“here will I stand till Caesar pass along,

..... If thou read this, O Caesar, thou may'st live;”

Act II Scene (iv)

The scene opened in another part of the same street outside the house of Brutus. It opened with Portia and the servant boy Lucius when the soothsayer came along. He warned Portia of the danger Caesar was in but Portia was worried for her husband alone. She said:

“...how weak a thing the heart of a woman is!

O Brutus! The heavens speed thee in thine endeavor.”

The scene thus ended with Portia's little prayer.

Check your progress III

Ques. 1 All conspirators gathered at ----- house to plot against Caesar

- a) Brutus
- b) Caesar
- c) They gathered in the street

Ques.2 Julius Caesar had decided to stay in because Calpurnia had had scary dreams. Who convinced him to come out?

- a) Decius
- b) Antony
- c) Cassius
- d) Cimber

Ques. 3 Other than the soothsayer, which other character wants to warn Caesar against a plot against him

- a) Artemidorous
- b) Portia
- c) Flavius

Ques 4 “Let’s be sacrificers, not butchers Cassius”

Who is the speaker of above lines? In what context does he speak the above lines?

Act III Scene (i)

It opened in the street again. There was a large crowd that is gathered outside the capitol. The Soothsayer and Artemidorus were also waiting to warn Caesar. On spotting the soothsayer, Caesar joked, “the ides of March are come” and he answers, “Ay, Caesar, but not gone yet”

Caesar mocked the Soothsayer and chose to ignore Artemidorus’ petition that hid the warning. Had Caesar been polite enough to accept his scroll, he could have had a fair idea of the conspiracy against him. Destiny indeed plays by its own rules. Once inside, Metellus Cimber had to present a petition to save his brother which is refused by Caesar even when Brutus and Cassius kneel down before him with the same request. His adamant refusal seemed to be the last straw and the conspirators began to stab him. Brutus stabbed him last and when Caesar saw that Brutus was attacking him he was shattered. He exclaimed, “Et tu, Brutus? – Then fall Caesar”. (This translates to “You too, Brutus?” and is a popular dialogue when somebody wants to complain of betrayal). Caesar finally lay dead before them. The conspirators next wanted Brutus to speak to the crowd outside because they knew that only Brutus could calm them. Antony, who must have got to know of Caesar’s killing sent a message to Brutus to allow him to come and meet him and also to clear the doubts that he had regarding the killing of Caesar. Brutus assured his safety and Antony entered the stage. He acted cleverly and diplomatically, addressing Caesar’s dead body on one hand and talking to the conspirators on the other. He didn’t seem fake and was able to convince Brutus of his respect for him. Brutus explained to Antony that his reason for killing Caesar was the welfare of Romans. Antony then requested Brutus to be allowed to show Caesar’s body to the people so they could pay respects to the dead and against Cassius’s advice fair Brutus agreed. He even allowed Antony to give a funeral speech before the crowd after he had finished addressing the people. The scene ended when the conspirators left and Antony was left alone with Caesar’s body. Here his motives got clearer. He wanted punishment for the murderers and that he would do it smartly. He also sent a message to Octavius informing him of the events of Rome and asked him to come soon.

Act III Scene (ii)

Began at the public platform in the market place. Brutus and Cassius entered the stage before the crowd. People wanted to know what had happened and why. Brutus explained to the citizens,

“Why Brutus rose against Caesar, this is my answer; Not
That I loved Caesar less, but that I loved Rome more.”

He told everybody of Caesar’s dictatorial tendencies and told them that they would all have become slaves had he continue to rule. He further said:

“Had you rather Caesar were living , and all die slaves?

...As Caesar loved me, I weep for him,

As he was fortunate, I rejoice at it,

As he was valiant, I honour him,

But as he was ambitious, I slew him”

People were satisfied with Brutus’ sincere and genuine explanations and began to hail Brutus. But then entered Antony with Caesar’s body. Brutus made it clear that Antony had no role in the killing and left the stage so the populace could bid farewell to their dead ruler. As Antony took the stage, he requested people to hear him for the sake of Brutus and very cleverly, he began to play on the minds of the people. He began to explain to people that Caesar was not ambitious as claimed by Brutus. He had filled the treasuries with his conquests, had sympathized with people and had even refused the crown many times when it was offered to him. With his manipulative passionate speech, people began to agree with Antony and wanted to know more. On the pretext of showing them Caesar’s will, he called them near Caesar’s body and showed them the marks how Brutus and others had stabbed him mercilessly. Then he showed people Caesar’s will in which he had promised 75 drachmas to each citizen and had also promised the people his private resting places, his gardens and all other property. Antony had won over the people. He also learnt that Octavius, Caesar’s nephew and heir had reached Rome.

Act III Scene (iii)

This scene was of a street in Rome and showed how people were angry and were looking for the conspirators to kill them. In their rage, they misunderstand Cinna, the poet, to be one of the conspirators and attacked him.

Check your progress IV:

Ques 1. Who was Cinna-the poet?

Ques.2 How did Calpurnia's dream come true?

Ques.3 What did Brutus tell the frightened senators after Caesar's assassination?

Ques.4 How does Antony turn the crowd against the conspirators?

Ques.5 What was written in Caesar's will?

Act IV Scene (i)

The scene opened in Antony's house and showed Octavius, Antony and Lepidus. They were planning to change the will to reduce the money to be given away to people this showed that Antony wasn't as good as he seemed and he too loved power. Later, Antony and Octavius discussed the possibility of including Lepidus in their triumvirate.

Act IV scene (ii)

Opened at a camp near Sardis outside Brutus' tent. A civil war seemed to have ensued and the troops were getting ready for it.

Act IV Scene (iii)

Brutus and Cassius had an argument over Lucilius whom Brutus had punished because he was taking bribe whereas Cassius wanted otherwise. Cassius complained that Brutus loved Caesar more. Later the two relented and patched up. Then Brutus admitted to Cassius that he was feeling mentally unstable as Portia had committed suicide. Octavius and Antony had taken control and Cicero too had been killed. This scene is made special by the appearance of Caesar's ghost who promised Brutus to see him again at Philippi.

Act V Scene (i)

It opened in Philippi with both the armies face to face. They stopped for a dialogue but only hurled insults at each other and nothing came out of it. Brutus and Cassius bid an emotional farewell to each other.

Act V Scene (ii)

The scene contained Brutus' single dialogue where he asked Messala to run faster to attack the opponents.

Act V Scene (iii)

It opened in a part of the battleground. When Cassius saw his soldiers running away from the field, he misunderstood that his dear friend Titinius had been captured by the enemies and fearing defeat, Cassius asked Pindarus to kill him which he did.

Act V Scene (iv)

Cato was captured and killed and Lucillius was also captured. Brutus committed suicide acknowledging that with his death, Caesar would be avenged. Strato held a sword and Brutus ran upon it. Octavius and Antony were victorious. They however agreed that Brutus was indeed “the noblest of Romans” who did what he did because he actually believed in it and should be given an honourable burial.

Check your progress V:

Ques.1 Why did Cassius commit suicide? How?

Ques.2 Why does Brutus commit suicide? How?

Ques. 3 Who was “the noblest of Romans”? Who called him so?

5.5 IMPORTANT PASSAGES FROM THE PLAY

- a) “Poor Brutus, with himself at war,
Forgets the show of love to others” Act I Sc i

These lines have been spoken by Brutus about himself when he is talking to Cassius. He says the words to tell Cassius that the reason he wasn’t showing courtesies Cassius because of his conflicting state of mind.

- b) “the fault, dear Brutus, is not in our stars,
But in ourselves that we are underlings.” Act I Sc ii

The lines were spoken by Cassius to Brutus when he was instigating him against Caesar. He was saying that men had the power to determine their lives and stars shouldn’t be blamed for anything. We don’t achieve a thing because we don’t work for it.

- c) “I know where I will wear this dagger then;
Cassius from bondage will deliver Cassius” Act I Sc. iii

The lines are spoken by Cassius. He is speaking to Casca when he is saying that if Caesar is crowned the king, he would kill himself.

- d) “O, he sits high in all people’s hearts:
And that would appear offence in us,
His countenance, his rich alchemy,
Will change to worthy and to worthiness” Act I Scene iii

These lines have been spoken by Casca about Brutus when he is discussing that Brutus is highly respectable in Rome and his name is enough to attach virtue to something.

- e) “it must be his death; and for my part,
I know no personal cause to spurn at him,
But for the general.” Act II sc. I
Lines are from Brutus’ soliloquy where he says that he has no personal enmity against Brutus. He wants to just protect the welfare of the people.

- f) “it’s a common proof that lowliness is young ambition’s ladder,
Whereto the climber upward turns his face,
But when he once attains the uppermost round,
He then unto the ladder turns his back” Act II Sc i
From Brutus’ soliloquy that says that one needs to be humble to achieve success. But the irony of the situation is that when one has climbed the ladder, he discards the same ladder that he had used to achieve success. Brutus is talking about Caesar.

- g) “Cowards die many times before their deaths;
The valiant never taste of death but once”
...Seeing that death is a necessary end,
and will come when it will come” Act II Sc.ii
These famous lines have spoken by Julius Caesar himself. He is telling his wife Calpurnia that the fear of death is a death in itself. Cowards experience the fear of death many times in their lives but the brave face it only once. Death is the final truth and will come when it has to.

- h) “Friends, Romans, countrymen, lend me your ears,
I come to bury Caesar, not to praise him
The evil that men do lives after them,
The good is often interred with their bones” Act III Sc ii
These lines were spoken by Mark Antony after Caesar’s death. He was addressing the people of Rome from a public platform. This philosophical statement was made by him to say that people forget the good deeds of a person but remember his misdeeds even after his death. This is also a very famous dialogue from the play.

5.6 THEME AND THE PLOT OF THE PLAY

Julius Caesar is a political drama that is also historical. Its characters are straight out of ancient Roman history. It is also called a chronicle play. Because the play ends in the deaths of so many characters, it is a tragedy as well. Since the theme of the play is the political happenings after Julius Caesar took over Rome after defeating Pompey, we need to be thorough with the summary of the play. For this refer to section 5.2 of this unit.

5.7 CHARACTER SKETCH OF JULIUS CAESAR

Julius Caesar, the protagonist around whom the play revolves dies in the middle of the play in Act III. Although his death is a murder, and that to at the hands of some of his so called friends, one doesn't feel too much sympathy for him because he didn't have the traits of a true tragic hero. His arrogance, lack of kindness, his overconfidence takes the positives away from him. He compares himself to a northern star:

"I could be well moved, if I were as you....

But I am constant as the northern star,

Of whose true fix and resting quality

There is no fellow in the firmament"

He thinks too much of himself. When Decius asks him as to what reason would he give for his absence from the Senate, he proudly answers:

"the cause is my will, I will not come;

That is enough to satisfy the Senate"

He says that he is not answerable to anybody and that his wish should be a command that everybody should pay heed to. This cannot be challenged that he is a great warrior, a Colossus among men. But then he has his share of weaknesses as well. He is very superstitious, is deaf in one ear and has occasional fits of epilepsy. He is however very observant and a good judge of people. He is rightly wary of Cassius whom he calls 'too thin' who also didn't 'like music' was too observant, 'he thinks too much: such men are dangerous'. He was a skilled politician but he came to a sad end. Even gentle Brutus turned against him although he loved him. His story is not a happy one but doesn't invoke any pity in the audience. Although he dies before the audience could find whether he would be actually corrupted with power but Shakespeare had shown him enough or us to judge that he too was power hungry and ambitious.

But the play revolves around Julius Caesar, and even when he is no more, he still drives the plot of the drama. Thus, the title is also apt.

5.8 CHARACTER SKETCH OF BRUTUS

Brutus is the real hero of the play and he takes the audience's heart away. People cry for Brutus and because he trusted Cassius blindly, made an error in judging Cassius, did he fell so badly. He didn't doubt for a second that the letters could also be planted to turn him against Caesar. He removed Caesar because as he said "he loved Rome more" and wanted to keep Rome away from the dictatorship of Caesar. Even his competitor Antony called him "the noblest of all Romans". He always played fair throughout the play and was guided by his idealism that became a reason for his fall. He refused Cassius's practical decision to kill Antony as well in spite of the fact that Antony could jeopardize their plan because Brutus was very fair in his dealings. In fact he said that he didn't even want to kill Caesar but only wished to remove the dangers of autocracy. He agreed to give Caesar a good burial and even allowed Antony to give a funeral speech. After his own speech, he left the podium. Antony was the manipulator who turned the tables against Brutus and his companions. The audience feels pity for Brutus and he emerges the true tragic hero of the play. Many critics have also argued that not Caesar but Brutus is the hero of this drama.

5.9 SUGGESTED READING:

Even though the author has tried her best to cover all the aspects of the play in detail, these are not a substitute for the original text of the play. Do read the text for a better understanding of Julius Caesar. Shakespeare had his own special world that is fun to explore.

Also recommended are:

A History of English literature Vol. 2 by David Daiches

Happy Reading!

5.10 CONCLUSION:

This unit began with a list of the dramatis personae i.e. the major and minor characters of the play Julius Caesar and then the summary of the plot was laid bare to help the students know of the basic structure and of the play. Then scene wise summary of the play ought to help the students know of every shall happening in the play. Next, the important passages from the play were taken up to let the readers feel the text and read the actual vocabulary used by Shakespeare. Finally, the theme and the important characters of the play were discussed so as to cover every aspect of this chronicle play.

Answers of Check your progress:

Check your progress I:

1. 15 February 44 BC, Rome
2. The Feast of Lupercal

3. Flavius and Marullus
4. (b) Cassius
5. (b) Calpurnia
6. (d) Antony
7. Octavius Caesar and Antony
8. Octavius Caesar
9. (a) Cassius
10. © Pompey

Check your progress II:

3. (b) She should let Antony touch her.
4. (b) Something bad is about to happen in Rome

Check your progress III:

1. (a) Brutus
2. (a) Decius
3. Artemidorous

ASSIGNMENT

Long Questions:

Ques.1. Describe the character sketch of Julius Caesar. How is he more of an antihero than a hero even though the play is titled after him?

Also highlight the other antagonists in the play 'Julius Caesar'

Ques 2. What impression do you form of Brutus when you read the play Julius Caesar?
Compare

and contrast his character against Mark Antony.

Short Questions:

Ques.1 a) What is the role of the Soothsayer in the play?

b) Does Portia have any role in the play Julius Caesar or is she a forgettable character?

c) Is Cassius also an example of motiveless malignity in Julius Caesar who has gone down in history as the one who thrust a war on Europe?

Ques.2. Who plants the forged letters in Brutus's house? Why?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: READING DRAMA

UNIT 6: ORIGIN AND RISE OF DRAMA IN ENGLISH

STRUCTURE

6.0 Objectives

6.1 Introduction

6.2 Origin of Drama

6.3 Growth of Drama

6.3.1 Mystery Plays

6.3.2 Miracle Plays

6.3.3 Morality Plays

6.3.4 Interludes

6.4 Beginning of Regular Drama

6.5 University Wits

6.6 Shakespearean Drama

6.7 Restoration Drama

6.8 Drama in the Twentieth Century

6.9 Summing Up

6.10 Check Your Progress

6.11 Suggested Readings

6.12 Important Questions

6.0 OBJECTIVES:

This lesson aims at providing an understanding of the origin of drama in English literature and its subsequent rise. After reading this lesson, the students will be well acquainted with the factors that led to the origin of drama since the times of the Greeks. Along with this, they will develop an understanding of the important landmarks in the growth of drama in English right up to the twentieth century. Important terms associated with the rise of drama will also be explained.

6.1 INTRODUCTION:

Drama refers to the genre of literature which is mainly written to be performed on stage. While writing a drama, the aim of the dramatist is to make it a theatrical success. Unlike a poet or a novelist, a dramatist writes drama keeping in mind the requirements of the theatre. A theatre is a place where audiences come to enjoy a performance based on the drama being enacted by the actors. It involves physical action on the stage, the effect of which is enhanced by the dramatic conventions, the dialogues, scenery, lighting, sound and music, costumes and the atmosphere. The characters reveal themselves in the course of action through their dialogues or just through their acting in some cases. Compton Rickett defines drama as “an articulate story presented in action”. In the execution of drama, actors take “the role of characters, perform the indicated action, and utter the written dialogue” following the instructions given by the dramatist (qtd. from A Glossary of Literary terms by M.H. Abrams). Marjorie Boulton has defined drama as a “three dimensional genre”, a literature that “walks and talks before our eyes”. Webster’s English Dictionary defines drama as “a composition in verse or prose intended to portray life or character or tell a story usually involving conflicts and emotions through action and dialogue and typically designed for theatrical performance”.

6.2 ORIGIN OF DRAMA:

The genre of drama may be said to have evolved in antiquity from the art of storytelling when it was combined with some sort of performances by the storytellers. It can be understood to be as old as human myths and beliefs themselves. But Greece, and in particular, Athens, is credited with the beginnings of performing plays in front of an audience as we understand drama today. Originally, the term drama simply denoted “action”. William J. Long argues that “drama is an old story told in the eye, a story put into action by living performers”.

Between 600 and 200 B.C., Western theatre was born in Athens, Greece. The ancient Athenians created a theatre culture whose form, technique and terminology lasted for a long period of time and the plays they wrote are still considered among the greatest works of drama. Their achievement is truly remarkable when one considers that there have been only two other periods in the history of theatre that could be said to have approached the greatness of ancient Athens - Elizabethan age and the Twentieth century. Let us now discuss the origin and growth of English drama in detail.

In the words of Gassner:

... there is not a single human impulse, moral or otherwise, that cannot be associated with the growth of the stage; the masters of the drama are the children of life The first playwright began indeed as a player and a magic maker. But he gradually took the whole world of

experience and thought for his field. ... in copying movements or gestures, repeating sounds, and employing human, animal and even vegetable disguises, primitive man was instinctively bringing himself in touch with his environment. And in playing he was not only discharging excess energy but preparing himself for purposeful action. ... Man danced out his desires until the pantomimic dance became the most finished early form of drama. ... The playwright leads the pantomime since the form and execution of the performances requires a guiding intellect ... he is also a social philosopher, for it is he who organizes the performance as a commercial activity and extends the psychological reality of commune.

The origin of drama is deeply rooted in the religious inclinations of mankind. Religious interests and leanings contributed a great deal in the emergence of drama as a genre. As already said above, the emergence of the European theatrical art began in ancient Greece and Rome, many important Greek tragedies were written by dramatists like Aeschylus (who is also known as the Father of Greek Tragedy), Sophocles (who mastered the device of tragic suspense and tragic irony), Euripides (who is credited with adding the Prologue to the dramatic form which set the stage at the beginning of the play). Greek drama also produced comedians like Cratinus, Aristophanes and later Menander.

The contribution of the Romans to drama is certainly praiseworthy. The influence of the Senecan tragedy prevailed for a long period of time. At the same time comedians like Plautus and Terence produced comedies which were closer to a type of musical theatre. They upgraded original Greek comedies by eliminating the chorus and expanding the use of music. The most popular forms of theatrical entertainment in this period were mime and pantomime. Particularly in England, the Romans established the tradition of amphitheaters for the production of plays. Roman theatres were temporary wooden structures taken down after the performances. With the fall of Rome, drama also suffered a setback. It remained dormant for several years.

In the middle ages, dramatic art was revived but the form was changed. Instead of proper dramas, initially only jesters, clowns, tumblers and minstrels came to the scene. However, the church had a significant role in the life of the people of those times. During the tenth century, the church brought back drama into England though earlier it had itself condemned the theatre of the Roman Empire on account of its spectacle and scenes. In other words, the church was hostile to drama and all along the Dark Ages i.e through the 6th Century to the 10th, there is no record of dramatic activity.

In order to preach the ignorant masses, the clergy regarded the visual medium of drama as an important source of disseminating religious knowledge. They dramatized many biblical incidents and exhibited spiritual tales in dramatic form during Christmas and Easter celebrations. Bits of chanted dialogue called tropes were added to these celebrations. The Gospel stories were illustrated in the form of performances by the actors who were mainly monks, priests and choir boys of the church. These plays were performed only inside the church.

Initially, the language of the church was only Latin. After the Norman Conquest, in place of Latin, the plays followed the pattern of French and much later, the English language replaced French in the fourteenth century.

Gradually, what began as mimetic representations of religious history enacted by the clergymen inside the church, expanded to the composition of cycles dramatizing the full range of spiritual events from Creation to the Last Judgement. The scenes from the Easter and

Christmas were presented to the general public. So far, these compositions were known as Liturgical Plays, because they formed a part of the church. The increasing interest of laymen in these performances resulted in a shift from the churchyards into the open market place. Thus the organization of religious dramatic acts passed on from ecclesiastical to lay hands.

6.3 GROWTH OF DRAMA:

The secularization of drama finally led to the control first into the hands of the social and religious guilds and then to the trade guilds. These guilds were wealthy and held the responsibility of the production of plays. Drama now became a social activity and instead of priests, professional actors with skilled craftsmanship performed on stage. This victory of the dramatic element over religious purpose may be seen as a significant development in the growth of drama and the dramatic activity spread far and wide.

Hence, the three main types of drama that emerged in the late medieval period were the mystery, miracle and morality plays. These plays varied in subject matter, purpose and style of presentation. However, the very first plays to be performed in England were the Cycle plays. They were called so because they were performed in cycles. These plays were popular during the late middle ages and into the renaissance. The most well-known cycles are the Chester, York, Wakefield (Townley) and the Coventry (N-Town) plays. They were named after the names of the towns. The list of plays commonly included these themes: the Fall of Lucifer, the Creation of the World and the Fall of Adam, Noah and the Flood, a Procession of the Prophets, events from the Gospel, and the Day of Judgement. The longest cycle (York cycle) consisted of fifty days or more. The manner of presentation of the cycles varied from town to town. Sometimes the entire cycle was given at a single spot which could be the market-place or some central square, but often, to accommodate great crowds, there were several stations at convenient intervals.

6.3.1 Mystery Plays:

The term “mystery” has been taken by literary scholars from the medieval French usage. It is not connected with our usual word “mystery”, but is possibly derived from the Latin term “ministerium”, which was the name applied to the trade-guild as an organization. The plays performed in Cycles in connected form were often referred to as “mystery plays”. They were actually sequences of performances that made up a cycle of short plays. They were generally performed on pageant wagons, which provided both scaffold stage and dressing room and could be easily moved from one place to another. Throughout the 15th and the 16th century, around 3000 years before the building of the London playhouses, these cycles were the most popular and enduring form of theatre in Britain.

These plays were known as Mystery Plays for two reasons. Firstly, the mysteries of God were their primary theme. They aimed at presenting the whole history of the universe from the creation of Heaven and Earth to the Day of Judgement - the end of the world, the day when God would judge everyone on the Earth. Secondly, these plays were funded, organized and produced by guilds, which were known as “mysteries” in the middle ages. Guilds were associations of artisans and tradesmen. They were usually wealthy and technically competent and hence wielded considerable power. The mystery plays gave these guilds an opportunity to advertise and increase their trade. For instance, the play based on ‘Noah’s Ark and the Flood’ was often sponsored by the shipbuilders, who would provide their arks to be used in the production of the play. They also outsourced actors for the plays. These actors were not professionals but ordinary people with a taste for drama. However,

with the onset of the Reformation movement, the form in which the mystery plays developed itself contributed to their demise at the end of the 16th century. The church no longer supported them, Renaissance scholars could not be attracted by their great rambling texts, and the general public seemed to prefer professional travelling companies arriving from Italy.

6.3.2 Miracle Plays:

Miracle Plays got their name from the Latin term, “miracula” which referred to mimetic presentations or spectacles of an unspecified kind. These were popular during the medieval era and represented non-scriptural legends of saints. Miracle plays first appeared in France in the 13th century and became widespread in Western Europe in the 14th century. The term is sometimes confusingly applied to the mystery plays. From the liturgical, drama evolved to Miracle and Mystery plays. In France, ‘Miracle’ used to represent the lives of the saints and ‘Mystery’ used to represent any scene taken from the scriptures. Miracle plays can also be differentiated from Mystery plays on the basis of ecclesiastical origin of the mystery plays whereas Miracle plays dealt with incidents from the lives of Saints and Martyrs. Therefore, Miracle plays were also called ‘Saint Plays’ as they presented a real or fictitious account of the life of Saints. The earliest recorded miracle play was *Ludus Santa de Katherina* which was written anonymously. Some other examples of Miracle plays are *The Harrowing of Hell*, *St. John, the Hairy*, *St. Nicholas* and *Raising of Lazarus*.

6.3.3 Morality Plays:

The Mystery and Miracle plays gave rise to the Morality plays. In the former, serious and comic elements were interwoven but in the Morality plays, only the serious element was restored. These plays were didactic in nature i.e they were written and performed with an intention to impart a moral lesson. They could be categorized as allegorical drama in which the characters were typifications of certain human qualities like Grace, Sin, Repentance etc. or abstractions like death and youth. In other words, a morality was a dramatized moral allegory.

Moralities began to be acted in the reign of Henry VI in the 15th century and like the miracle and mystery plays continued to flourish till the 16th century. In morality plays, the characters were allegorical, symbolical and abstract. The allegorical characters owed their importance to religious sources. One of the earliest morality plays was *The Castle of Perseverance*. It presents the spiritual progress of mankind from the day of his birth to the Day of Judgement. The hero in moralities is generally a tall figure standing for all Mankind. For the control of the hero, the two opposing forces of Virtues and Vices contend. The most amusing characters in a morality were the Vice and the Devil. The former was usually displayed in grotesque costume and armed with sword or dagger and the latter appeared generally with horns, a long beard and a hairy chest. The commonest type of Morality presents the entire story of the hero’s life; that is of the life of every man. It shows how he yields to temptation and lives for the most part in reckless sin but at the end in spite of his folly, he is saved by Perseverance and Repentance, pardoned through God’s mercy and assured of salvation. The best known Morality play is *Everyman*, which appeared at the end of the 15th century and enjoyed vast popularity till the end of the sixteenth century. Some other examples of morality plays are *The Pride of Life*, *Mankind*, *Wisdom* and *Occupation and Idleness*.

6.3.4 Interludes:

Interludes appeared towards the end of the 15th century but could not replace the moralities which continued to enjoy popularity till the end of the 16th century. Interludes marked a complete break with the religious type of drama, and dispensed with the allegorical figures of the morality play. However, they retained some of its didactic features. W. H. Hudson describes an interlude as “any short dramatic piece of a satiric rather than of a directly religious or ethical character and in tone and purpose far less serious than the morality proper”.

Interludes signify a transition from symbolism to realism. The most notable writer of interludes was John Heywood (1497-1580). His play *The Four P's* is a farcical interlude that satirizes shrewd and impatient women. The four P's referred to in the title of the play are a Pardoner, a Palmer, a Potheary and a Pedlar who indulge in a sort of lying competition in which the most offensive liar is to be awarded. Another well-known interlude by Heywood is *The Play of Weathers*. Most of his plays carry an element of farce and are full of wit and humour. They are undoubtedly a realistic portrayal of men and manners. David Daiches observes that in John Heywood's interludes, “the emphasis is more on amusement than on instruction”.

In the sixteenth century, the mystery, miracle and morality plays paved way for regular drama. Between 1530 and 1580, the drama in England underwent a significant change. The dawn of renaissance brought about a revival of ancient Greek and Roman drama. The English dramatists of this period were more influenced by the works of the Roman dramatists than those of the Greek. In other words, the tragedies of Seneca and the comedies of Plautus and Terence had a greater effect on them than the tragedies of Aeschylus, Sophocles and Euripedes and the comedies of Aristophanes.

6.4 BEGINNING OF REGULAR DRAMA:

The first regular English drama was based on the Senecan model. It was a tragedy titled *Gorboduc* (also titled *Ferrex and Porrex*) written by Thomas Sackville (1536-1608) and Thomas Norton (1531-1584), first published in 1561. It was enacted before Queen Elizabeth for the first time in 1562. It imitates the Senecan tragedy in excessive bloodshed, the device of narration, long rhetorical speeches, theme of revenge, chorus and many other features. *Gorboduc* is also known to be the first play to have used blank verse. It is divided into five acts.

Plot of *Gorboduc*: Gorboduc, the king of England, divides his kingdom between his two sons, Ferrex and Porrex. In the course of time, both the brothers fall out with each other. One brother murders the other. In revenge, the queen kills the murderer. The people of the kingdom rise and kill both the king and the queen. The assassins are killed by the nobles and a civil war ensues between them. The whole country is ruined.

The first regular comedy was *Ralph Roister Doister* written by Nicholas Udall around 1550 but not published until 1567. Udall was a headmaster in a school in Eton, London. It is written in rhyming couplets and divided into acts and scenes.

Plot of *Ralph Roister Doister*: The plot is laid in London and it offers a representation of the manners and ideas of the middle classes of those times. It is divided into

five acts. The character of the hero, Ralph Roister is based on the nature of Plautus's Miles Gloriosus. A rich widow Christian Custance is betrothed to Gawyn Goodluck, a merchant. However, Ralph Roister Doister imagines her to be in love with him and is encouraged throughout by a con-man trickster, Matthew Merrygreeke to woo Christian Custance. But his repeated attempts do not succeed. Ralph then tries to break in and take Christian Custance by force, but is defeated by her maids and has to run away. At last, he comes to terms with the reality and recognizes the truth. The play concludes happily on a note of reconciliation.

Shortly after, another comedy, *Gammer Gurton's Needle* was written by John Still. It is a crude representation of low country life. It narrates the story of a country widow, Gammer Gurton who is the proud possessor of a needle. While mending the breeches of her servant, Hodge, she loses the needle. In order to find the needle, she creates a chaos in the entire village. Peace is restored when she finds the needle stuck in the breeches of Hodge. Broad jokes and extravagant language, and funny situations created on the discomfiture of the characters made this play popular in its day.

The foundation of a truly national theatre was helped by the formation of companies of professional players. In 1576, the first theatre was built in Finsbury Fields, London. Gradually the Rose, the Swan, the Globe and the Fortune came up.

6.5 THE UNIVERSITY WITS:

The University Wits were a group of well-educated scholars cum men of letters who were closely associated with drama and contributed to the development of the same. They were John Lyly, Robert Greene, George Peele, Thomas Lodge, Thomas Nashe, Thomas Kyd and Christopher Marlowe. To quote Allardyce Nicolle, the University Wits "laid a sure basis for the English theatre". The first plays which marked the beginning of regular drama exhibited ample awareness of classical form but were devoid of the vigour of the native plays. The function of the University Wits was to combine form with fire. The dramatic works of these writers paved way for Shakespeare who inherited literary grace and power from his predecessors. They made extensive use of blank verse which was later acknowledged as a great dramatic medium.

6.6 SHAKESPEAREAN DRAMA:

William Shakespeare is known as the Father of English Drama. He wrote 38 plays in all which largely contributed to the acknowledgement of the Elizabethan age as the golden period of English literature. His dramas can be divided into histories, tragedies and comedies. His writings were based on the philosophy that human nature essentially remains the same. That is why he has stood the test of time and his plays are read and appreciated even today. His final plays move against the wave of Jacobean Theatre that focused on blood tragedy and social comedy. He broke away from the Classics in their strict adherence to form and introduced a new form of drama called tragicomedies which exhibited a combination of the elements of a tragedy and a comedy.

6.7 RESTORATION DRAMA:

The genre of drama suffered a setback during the period 1642-1660 due to the complete closure of theatres in London. But with the Restoration, drama also revived and

witnessed many changes. The Restoration age is chiefly associated with the rise and development of “the comedy of manners”. The manners which this form revealed were the manners of the courtly classes only. They were satirical in nature. The major practitioners of the comedy of manners were George Etherege, William Wycherly, William Congreve, George Farquhar and John Vanbrugh.

After the restoration, drama survived for quite some time and saw the period of heroic plays of John Dryden and his contemporaries. The vogue of heroic plays lasted through the reign of Charles II (1660-1685). By the end of the 17th century, the restoration drama started declining and gave way to the forms of prose and poetry which flourished in the succeeding centuries until the twentieth Century.

6.8 DRAMA IN THE TWENTIETH CENTURY:

The Twentieth Century English drama is marked by excessive realism. Henrik Ibsen, George Bernard Shaw and John Galsworthy left an indelible mark on the history of English literature with their poetic drama. With the death of G.B. Shaw in 1950, once again a big vacuum was created in the British theatre. However, with the introduction of the Absurd drama and epic theatre, drama was once again revived and was inclined to be even more naturalistic.

6.9 SUMMING UP:

Thus, we see how English Drama has undergone significant changes with the passage of time. It gradually developed from liturgical plays to miracle, mystery and morality plays giving way to interludes. The tradition of interludes was followed by the influence of the Classical models of the Greeks and the Romans giving birth to a regular form of drama which was highly artistic. After the beginning of the regular drama, dramatic forms underwent a lot of changes with time. Some centuries even saw almost no growth in the field of drama whereas others witnessed drama as a major form of literature much closer to human interests than other genres. Moving through these ups and downs, drama has evolved into the modern form which we know today.

6.10 CHECK YOUR PROGRESS:

- i) Discuss the origins of English Drama.
- ii) Make a chart depicting the various stages in the development of drama.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER - IV

COURSE: READING DRAMA

UNIT-7 RESTORATION COMEDY, CLOSET DRAMA, THE PROBLEM PLAY

STRUCTURE

7.0 Objectives

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7.4 Summing Up

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7.7 Suggested Readings

7.0 OBJECTIVES:

In the previous unit, you have learned about the origin and rise of English drama. Since the beginning of the regular drama in the sixteenth century, English drama underwent a lot of phases which were characterized by different kinds of features. This unit will introduce the students to

- i. the Restoration drama, Closet Plays and Problem Plays.
- ii. The historical and social backgrounds of the above mentioned drama.
- iii. Major dramatists belonging to these sub-genres of drama along with their important works.

7.1 RESTORATION DRAMA:

7.1.1 Introduction:

In the years following 1660, a distinct type of drama arose which spelt a break from the preceding Elizabethan and Jacobean drama. The theatres which were closed in 1642 were opened during the Restoration. The newly released theatrical freedom had little respect for the Elizabethan ideals. The Restoration dramatists tried their hand on both comedy and tragedy. The age witnessed the rise of the heroic tragedy and the development of the comedy of manners. The heroic tragedy appealed to the classes with artificial, aristocratic sentiments on the subject of honour. And the Restoration comedy of manners reflected the morally vicious but intellectually brilliant atmosphere of the pubs, cafes and the chocolate houses.

7.1.2 Historical Background:

The restoration of King Charles II to the English throne in 1660 marked the decisive birth of a new age, known as the Restoration Age. The change of the government from Commonwealth to Kingship corresponded to a change in the mood of the nation. In this period the ideals of Renaissance and the unlimited possibilities of the exploration of the world, and the moral zeal and the earnestness of the Puritan period could no more fascinate the people of England. There was a lot of bloodshed, religious persecution and a series of political disasters that created a mood of disillusionment everywhere. Profligacy was glorified in the royal court. Corruption was rampant in all walks of life. The Great Fire of 1665 and the Plague that followed were popularly regarded as suitable punishments for the sins of the profligate and the selfish King. While London was burning and the people were suffering, the King and his nobles kept up their revels. The beginning of the Restoration began the process of social transformation. The atmosphere of gaiety and cheerfulness, of licentiousness and moral laxity was restored. The theatres were reopened. There was a stern reaction against the morality of the Puritans. Morality was on the wane and there was laxity everywhere in life. All these tendencies of the age are clearly reflected in the literature of the

period. The religious controversy and the revolution of 1688 deeply influenced the social life and the literary movements of the age. This period is understood to have continued till 1700.

7.1.3 Major influences:

Whereas English tragedy has always been known to accept foreign influences, English comedy has been less amenable to them. However, the Restoration comedy was shaped both by native and French influences. It drew its inspiration from the native tradition which had flourished before the closing of theatres in 1642. It was also influenced by continental writers, especially by Moliere. It reflected closely the dissolute court life of the period. English dramatists borrowed brilliant ideas of plots and some fine examples of comic characterization from Moliere. The strong element of intrigue in the plot was the result of influence from the Spanish drama. Comparing with the predecessors of the Restoration comedy, the latter lacked the warmth and depth of Elizabethan comedy but eschewed its extravagance and lack of realism. Although William Shakespeare was not much favoured by the dramatists of this age, Ben Jonson, Beaumont and Fletcher were respected and appreciated by them. They borrowed a sense of hard realism and hard-hitting satire from Ben Jonson and a courtly spirit from Beaumont and Fletcher. It may also be noted that the Restoration comedy of manners resembled Ben Jonson's comedy of humours in being realistic and satiric.

7.1.4 The heroic tragedy of the Restoration period:

The Restoration tragedy is also known as the Heroic Tragedy. The influence of French romance and drama produced its first important result in the form of the heroic play. A heroic play is generally built around a larger than life heroic warrior who is a master of swordsmanship and stagy rhetoric. The hero is either a king, prince or an army general. The plot involves the fate of an empire. The recurrent themes in heroic plays are gallantry, adventure, love and honour. The writers of heroic plays aimed at arousing tragic emotions of fear and pity in the audience. According to Bonamy Dobree, "the fantastic ideas of valour, the absurd notions of dauntless, unquenchable love of Restoration Tragedy do not correspond with experience". It mainly deals with conflict between love and honour. John Dryden was the principal writer of the Heroic tragedy. His famous tragedies are *Tyrannic Love*, *Conquest of Granada* and *All for Love*. Dryden's heroic plays usually include a hero of superhuman powers and with superhuman ideals. Alongside, there is a heroine of unsurpassed beauty and constancy. There exists an inner conflict in the minds of several characters between love and honour; and there is a striving story of fighting and martial enthusiasm, filled with intense dramatic interest. Other famous writers of Restoration heroic tragedy were Sir William Davenant, Elkanah Settle, Nat Lee and Thomas Otway. The Restoration Tragedy was often criticized on account of being artificial and stilted. Although it was popular, but was certainly less representative of the ethos of Restoration society than the comedy of manners.

7.1.5 Restoration Comedy of Manners:

The Restoration Age is chiefly associated with the rise and development of “the comedy of manners”. This type of comedy was a true mirror of the temper and outlook of the society of the age. These comedies expressed a reaction against Puritanism and the sexual repression enforced by this school. Fashionable intrigues, sex, marriage and adultery were treated with cynicism, with worldly wit and a sense of the comedy of life. The characters in these plays owed much to the courtiers, the wits, and the men about town as well as to ladies of fashion, citizens, wives and country girls. Thus the manners which the comedy of manners depicted were not the manners of all classes of society but of the courtly classes only. It concentrated on the activities, intrigues and amorous achievements of gay, frivolous, rakish type of young men and women. In the words of Allardyce Nicoll,

Restoration Comedy is wholly aristocratic, the manners displayed being not those of men in general but the affectations and cultural veneer of finer society. For these men, a manner was not a trait native to an individual, but a quality acquired by him from social intercourse.

The comedy of manners is conspicuous for intellectual and refined tone. It is devoid of romantic passions and sentiments. It replaces emotion by wit and poetry by a clear, concise prose. The plays show a close and satirical observation of life and manners.

It is characterized by realism, social analysis and satire. These dramatists held a mirror to the finer society of their age. The setting of comedy of manners is mostly in London, more specifically - its coffee-houses, clubs and gambling houses which were frequented by corrupt and fashionable men and women of this age. Apart from these ladies and gentleman, the typical characters found in these plays were the foolish country squire, the male bawd, etc.

Restoration comedy has often been condemned for its immorality. The society of the age was immoral, so was its representation in these plays. Scenes and acts suggestive of sexual grossness were commonplace. There was a persistent attack on the sanctity of the marital bond and a parallel advocacy of free love.

As Aristotle had said that plot is the soul of the tragedy, the writers of the comedy of manners gave much importance to the construction of plot. Love intrigues usually formed the basis of their plots. However, they did not mind incorporating multiple plots and sub-plots in a play. The dialogues in these plays are crisp, witty and well-polished.

The chief practitioners of the comedy of manners were Sir George Etherege, William Wycherly, William Congreve, Sir John Vanbrugh and George Farquhar.

7.1.6 Major Playwrights of Comedy of Manners and their important works :

Playwright	Drama
Sir George Etherege	<i>Love in a Tub, She Wou'd If She Cou'd,</i>

	<i>The Man of Mode</i>
William Wycherly	<i>Love in a Wood, The Gentleman Dancing Master, The Country Wife, The Plain Dealer</i>
William Congreve	<i>The Old Bachelor, The Double Dealer, Love for Love, The Way of the World</i>
Sir John Vanbrugh	<i>The Relapse, The Provoked Wife, The Confederacy</i>
George Farquhar	<i>The Recruiting Officer, The Beaux's Stratagem</i>

7.1.7 Conclusion:

After 1700, a change began to be discernible in stage production. It was felt that the appeal of the Restoration Comedy of Manners was restricted only to the aristocratic society. The immoral and antisocial influence of these plays was clearly perceived and the voice of protest was also heard. Jeremy Collier raised a powerful voice against the immorality of the Restoration age. The need of a more human note was needed. The rise of the bourgeois class changed the moral standards. Moreover, soon the upcoming genre of periodical essay and newspapers which expressed the moral code of the rising middle class replaced the comedy of manners.

7.2 CLOSET PLAY

7.2.1 Introduction:

A closet drama is a play that is not intended to be performed on stage, but meant only to be read privately or silently. Sometimes, this form of literature is written for reading aloud among small groups of friends. Hence, a closet drama is non-performative in nature. Henry A. Bears, a literary historian considers closet drama “a quite legitimate product of literary art”. Closet dramas may be seen as belonging to the genre of dramatic writing unconcerned with stage techniques. As regards publication of closet dramas, they were published in manuscript form including dramatis personae and elaborate stage directions which helped the readers to imagine the text as if it were being performed.

7.2.2 Historical Background:

The history of closet plays may date back to the philosophical dialogues of ancient Greek and Roman writers (such as Plato) which were written in the form of conversations between different characters. Some Senecan tragedies were also written with the purpose of being read rather than being performed. However, there is not any evidence in its favour.

Some dramatic works of the Middle Ages including the drama *Hrotsvitha of Gandersheim* and some debate poems also exhibited features of closet drama.

In the age of William Shakespeare and Ben Jonson, dramatists like Fulke, Greville, Samuel Daniel, Sir William Alexander and Mary Sidney wrote closet plays. During the years 1642 to 1660, the playhouses remained closed. Closet drama was a major form of drama written during this period as “playgoing” was replaced with “playreading”. Many playwrights turned to closet dramas during this period. One of them was Thomas Killigrew. He was in exile during the English Civil War and started writing closet plays because his plays could no longer be produced during this period.

Post restoration, some dramatists continued to favour closet drama as they believed that closet plays served a “cultural function” that was different from commercial drama. *Samson Agonistes* (1671) by John Milton is an example of early modern drama. By the end of the 18th century, closet dramas came to be clearly distinguished from classical stage dramas, though they were still inspired by classical models. *Faust* by Johann Wolfgang von Goethe was written as a closet play though it was often staged.

By the nineteenth century, many famous writers like Percy Bysshe Shelley and Alexander Pushkin had tried their hand on closet drama. Verse tragedy writers had to resign themselves to writing for readers rather than actors and audiences.

7.2.3 Popularity of Closet Plays:

Closet dramas became popular as a way of escaping the requirements and conditions of work that were needed to be commercially successful. When released as a bound book, a closet drama could be sent out to its audience rather than requiring the audience to congregate. In this manner, these plays allowed for works that were not appealing in their time to be released. In the nineteenth century, due to the decline of the verse tragedy on the European stage, closet drama came to be popularized.

Women writers also found closet drama as a suitable medium as it gave them a chance to express their opinions and participate in political discourse. Margaret Lucas Cavendish, who also wrote in exile was a famous woman writer of closet plays. Other well-known writers in this genre are Anne Finch, Jane Lumley and Elizabeth Cary. Robert Browning's *Pippa Passes* and *My Last Duchess*, and Shelley's *Prometheus Unbound* and Thomas Hardy's *Dynasts* also fall in the category of closet play.

7.2.4 Conclusion:

In a nutshell, closet dramas are plays meant to be read and not performed. Their strength and value is in the play itself, not in the performance of the play. Generally, a play is written to be performed on stage but in the case of closet drama, the playwright intends just the opposite. A new form related to closet play, known as “closet screenplay” developed during the 20th century and they are written till date. However, these days some closet plays are also performed on stage even though they are not meant to be performed.

7.3 PROBLEM PLAY

7.3.1 Introduction:

Problem play is a term used for the type of drama that began in the last quarter of the nineteenth century in England. In the twentieth century England, it was popularized by the dramatists of the school of realism and naturalism in drama. Thus it flourished in England in the period between the last years of the nineteenth century and the middle of the twentieth.

Problem play refers to the sub-genre of drama popularized by the Norwegian playwright, Henrik Ibsen. Ibsen addressed a range of problems, most notably the restriction of women's lives in *A Doll's House* (1879), sexually transmitted disease in *Ghosts* (1882) and provincial greed in *An Enemy of the People* (1882). Ibsen's dramas proved immensely influential, spawning variants of the problem play in works by George Bernard Shaw and other later dramatists. Along with Ibsen, George Bernard Shaw, Galsworthy, and Granville Braker were the main exponents of problem plays. A problem play is sometimes referred to as "Drama of ideas", "thesis play", "discussion play" or "comedy of ideas".

7.3.2 Background:

While plays in ancient Greece and ancient Rome, mystery plays, and Elizabethan plays are clearly classified as tragedy, comedy, and satyr plays, there are some plays that exhibit the characteristics of problem plays, such as *Alcestis* by Euripides.

William Shakespeare's "bitter comedies" were also known as problem plays. The critic F. S. Boas adapted the term to characterize certain plays by William Shakespeare that he considered to have characteristics similar to Ibsen's 19th-century problem plays. The examples of the same include *Measure for Measure*, *Troilus and Cressida*, *A Winter's Tale*, and *All's Well that Ends Well*.

Victorian age was a socially conscious age. The literature of this age - mainly its poetry and novels reflect its anxieties and agonies. The problems of the society of this age were stark in the face of advancement on one hand and degeneration of human values on the other. Both these aspects - progress and stagnation was reflected in the works of the literary writers. The genre of drama could not remain unaffected.

The problem play was introduced into England towards the end of the nineteenth century by Henry Arthur Jones and Sir A.W. Pinero. They were undoubtedly influenced by Ibsen but in dramatic talent, they were quite different. In problem plays, the situation faced by the protagonist is presented by the author as an instance of a contemporary social problem. This is usually done through a character who speaks through the author. Sometimes it is done by the evolution of plot and a solution to the problem is proposed.

Critic Chris Baldick writes that the genre emerged "from the ferment of the 1890s ... for the most part inspired by the example of Ibsen's realistic stage representations of serious familial and social conflicts". He summarizes it as follows:

Rejecting the frivolity of intricately plotted romantic intrigues in the nineteenth-century French tradition of the 'well-made play', it favoured instead the form of the 'problem play', which would bring to life some contemporary controversy of public importance—women's rights, unemployment, penal reform, class privilege—in a vivid but responsibly accurate presentation.

7.3.3 Major Themes:

Problem plays began to be written in the form of realistic plays on romantic and historical themes which later turned their way to family themes. Wrong and injustice inflicted by the society are the chief **elements of problem play**. The problem playwrights focused on needless torture and suffering imposed by the law of the particular land and firmly adhered to the dictums of justice and equality to all.

Disintegration in the life of middle class families and values originated the problem play in England. Problem play turned into a powerful medium of social criticism and vindicated the right of the individual unfettered by bias and conventions of the society.

7.3.4 Structure and Characterization :

The problem playwrights totally discarded the traditional craftsmanship. They did not set aside the plot construction, but attempted to unfold social, political and family problems. But the unities of time, place and action were observed in a problem play in order to maintain economy and structural compactness to enforce the theme in the plays.

The characters in problem plays were based on concrete situations and living men and women. The characters of these plays were natural, complex, immortal and realistic.

Ibsen's characters were not "embodied humours" but they are natural and complex personalities. In his plays, sometimes, ideas are treated as abstract characters. Most of the characters are gifted with extraordinary vitality. In the problem plays of G.B. Shaw, the major characters like Candida, Broadbent, Undershaft, Ann Tanner, and Father Keegan are a gallery of immortals. They are round and distinct personalities. Besides, Falder, Clare, Ferrand, Anthony and Roberts are creatures of flash and blood.

Granville Barker's characters consist of specific individuals like Philip, Alice, Trebell, Edward and Ann who are complex personalities. Mighty heroes and downright villains are included to represent stigmas on the face of society. In the absence of these qualities in the characters, **problem play** would turn into a mere treatise without convincing and life like characters.

7.3.5 G.B. Shaw:

Shaw is undoubtedly a great dramatist known for his problem plays. He is renowned for his wit and intellectual brilliance. He was a dramatist of immense talent. Shaw dominated the thought of the early twentieth century England. In the words of E. Strauss:

Its greatness consists in being irreplaceable, Bernard Shaw's greatness is assured. It was not long before people began to talk about him as the English or Irish Moliere, or the Voltaire of the twentieth century, and undoubtedly he combines in himself some of the qualities of both these great men.

J.W. Marriott remarks about G.B. Shaw:

He saw things as they are and had the courage to tell in compromising language exactly what he saw. He thought for himself, resolutely refused to accept ready-made opinions and judged solely on evidence or on logic. He set his mind free from prejudice, superstitions, illusions, and popular delusions.

He offered powerful and penetrating ideas on a variety of subjects like prostitution, husband hunting, marriage, questions of conscience, crime, injustice, conservatism, domestic life and relationship, poverty etc. The problem was generally of a sociological nature. However, sometimes, problem play arose above the immediate context of a problem and addressed larger universal issues. For example, in the play *Man and Superman* by G.B. Shaw, the chief concern is not with a contemporary social problem of husband hunting but with the concept of "Life Force".

Shaw fearlessly put forth his ideas in his dramas and hoped to convert the nation to his way of thinking through the medium of his plays. Each drama of Shaw sought to present his original ideas on the subject underlying the play. *The Widower's Houses* presented his ideas on the subject of slum - landlordism, *Mrs. Warren's Profession* on the subject of prostitution, *Candida* on marriage, *Arms and the Man* on the subject of romantic love and *Apple Cart* on monarchy and democracy.

The popularity of the problem plays increased rapidly because of the growing complexity in life and great change in the view points. These plays directly appealed to thoughtful minds and contributed largely to human progress but for creating dramatic effects.

7.3.6 Problem play as the propaganda play:

The problem play is also called "the propaganda play" as G. B. Shaw believed that "all great art or literature is propaganda". In order to present his view point before readers, problem playwrights introduce a *raisonneur* (a character in a play or novel, or the like who voices the central theme, philosophy, or point of view of the work) who become a philosophic spectator for the whole play and is considered as the recognized representative of the playwright. The dialogues of the *raisonneur* have the superior wisdom and his statements have peculiar authority to penetrate the minds of readers with wisdom. Like Greek chorus, he assesses the problem given by playwright and clears the playwright's opinion for readers or audience. It gives an impartial representation of conflict in the society and cannot be called a treatise for propagating the principles of life.

7.3.7 Conclusion:

W.R. Goodman referred to problem play as the “Cinderella of the dramatic art”. As an art form, it answered the various critical problems of the time and besides its didactic purpose it also fulfilled the requirement of high level of craftsmanship and dramatic art. The genre was especially prevalent in early 20th century.

7.4 SUMMING UP:

In this unit, we have discussed three facets of drama namely restoration drama, closet play and problem play. The emphasis has been on the dramatic activity in the Restoration period, need of writing closet plays and problem plays as representative of the problems and their proposed solutions.

7.5 CHECK YOUR PROGRESS:

➤ Show your acquaintance with the following terms:

- ❖ Problem Play
- ❖ Closet Drama
- ❖ Restoration Comedy
- ❖ Heroic Tragedy
- ❖ Bitter comedies
- ❖ Realism
- ❖ Beginning of the Restoration age

➤ Choose the correct option

Q-1. The most popular form of drama in the restoration period was

- A. Elizabethan drama
- B. Tragicomedy
- C. Comedy of Manners

Q-2. Who was the chief practitioner of heroic tragedy in the Restoration period?

- A. Ben Jonson
- B. John Dryden
- C. William Congreve

Q-3. Which form of drama is considered to be cynical, elegant and witty, almost as if it were the amoral realism of courtly life?

- A. Comedy of Manners
- B. Problem Play
- C. Heroic Tragedy

Q-4. Identify the author of ‘Love in a Wood’ and ‘The Country Wife’.

- A. Goerge Etherege
- B. William Wycherly
- C. William Congreve

Q-5. Which of these authors wrote Closet Dramas?

- A. Shelley
- B. Browning
- C. Byron
- D. All of the answers are correct.

Q-6. Unlike the Shakespearean plays, The "closet dramas" of the nineteenth century were meant to be _____ rather than _____ .

- A. seen - acted
- B. produced - acted
- C. read - performed

Q-7. In which year was Shaw awarded the Nobel Prize for literature?

- A. 1925
- B. 1927
- C. 1930
- D. 1932

Q-8. Problem play is also known as

- A. Propaganda play
- B. Discussion Play
- C. Both of these

Q-9. Who is the writer of the plays Warren's Profession, Candida, Arms and the Man?

- A. John Milton
- B. G.B. Shaw
- C. John Dryden

Q-10. Problem plays were _____ plays.

- A. Emotional
- B. Realistic
- C. Scientific

7.6 IMPORTANT QUESTIONS:

1. Write an essay on Restoration Comedy of Manners.
2. Discuss the various factors that gave rise to the popularity of closet plays.
3. Discuss the rise and growth of problem play.

7.7 SUGGESTED READINGS:

- Baldick, Chris. *The Modern Movement: 1910-1940*. Oxford: Oxford University Press, 2004.
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- Hudson, W. H. *Understanding Plays*, Alyn and Bacon USA, 1994, 2nd edition.
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- Nicoll, Allardyce. *The Theory of Drama*. New Delhi: Doaba House, 1969.
- Daiches, David. *A Critical History of English Literature*, Vol. 3 and 4, New Delhi: Allied, 1997.

7.11 SUGGESTED READINGS:

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- Gassner, John. *Masters of the Drama*, 3rd Ed. 1940; rpt. New York: Dover Publication, 1954. Print.
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- Legouis, Emile, V F. Boyson, and Jessie Coulson. *A Short History of English Literature*. Oxford: The Clarendon Press, 1934. Print.
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- Nayar, Pramod K. *A Short History of English Literature*. New Delhi: Cambridge University Press India Pvt. Ltd, 2015. Print.
- Nicoll, Allardyce. *British Drama*, 5th Ed. 1925; rpt. London: George G. Harrap & Company Ltd. ,1964. Print.

7.12 IMPORTANT QUESTIONS:

A. Answer the following questions in detail.

- i) Discuss the influence of the Greeks and Romans on the rise of drama.
- ii) How did religion play an important role in the origin and rise of drama?

- iii) Write an essay on the major landmarks in the development of drama in English.

B. Write a brief note on the following:

- i) Early origins of English drama.
- ii) Contribution of the Greeks to drama
- iii) Morality Plays
- iv) Miracle and Mystery Plays
- v) Interludes
- vi) Beginning of regular drama
- vii) University Wits
- viii) Restoration Drama
- ix) Shakespearean Drama

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER - IV

COURSE: READING DRAMA

UNIT - 8 : THEATRE OF THE ABSURD, POETIC DRAMA

STRUCTURE

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8.0 OBJECTIVES:

This unit aims at explaining in detail two important sub-genres of drama – the Theatre of the Absurd and Poetic Drama. Both these types of drama marked a break from the highly naturalistic drama which flourished at the beginning of the twentieth century. The various characteristic features defining the absurd theatre and the poetic drama have been made a part of this unit. Along with this, the students will be acquainted with the major dramatists of both the sub-genres along with their important works.

8.1 THEATRE OF THE ABSURD

8.1.1 Introduction

“The Theatre of the Absurd” is a term applied to drama that reflects the idea that the universe is without purpose and human life is futile and meaningless. The phrase “The Theatre of the Absurd” was conceptualized from Albert Camus’ philosophy of “the absurd” as explained by him in his essay, “The Myth of Sisyphus” (1942) and was later popularized by Martin Esslin’s book *The Theatre of Absurd* (1961). In the words of Martin Esslin,

A term like ‘Theatre of the Absurd’ must be understood as a kind of intellectual shorthand for a complex pattern of similarities in approach, method and convention of shared philosophical and artistic premises whether conscious or subconscious, and of inferences from a common store of transition.

In *The Theatre of Absurd*, Esslin applied the term to the dramatic works of four main French playwrights - Eugene Ionesco, Samuel Beckett, Arthur Adamov and Jean Genet.

Absurd drama gained popularity from early 1950s till 1980s. In England, the theatre of the absurd became famous with the staging of Beckett’s *Waiting for Godot* in 1955. It envisaged a total departure from all kinds of conventional drama. It brought a kind of revolution in the field of drama.

Some critics believed that Theatre of the Absurd arose as a movement from the doubts and fears surrounding World War II and what many people saw as the degeneration of traditional moral and political values. The movement flourished in France, Germany, and England, as well as in Scandinavian countries. Some of the founding works of the movement include Jean Genet’s *The Maids*, Eugene Ionesco’s *The Bald Soprano*, Arthur Adamov’s *Ping-Pong*, and Samuel Beckett’s *Waiting for Godot*.

8.1.2 The Philosophical Basis:

The Theatre of the Absurd has its roots in the existential philosophy of the French philosophers, Jean-Paul Sartre and Albert Camus. The Absurdist philosophy of Camus and the existentialist philosophy of Sartre were the main sources which influenced and shaped the theatre of the absurd. Having witnessed the World Wars and the consequent disillusionment experienced by humanity, Camus came to believe in the meaninglessness of life. Camus in his book, *The Myth of Sisyphus* (1942) defined “absurd” as the “tension” which arises from man’s efforts to discover purpose and order in the world. In Greek mythology, Sisyphus was a cruel king condemned by the Gods forever to roll a huge stone up a hill in Hades, only to have it roll down the hill just before reaching the top. Based on this myth, Camus suggested that all the efforts of man in this world are as futile as Sisyphus’ eternal labour.

The theatre of the absurd attacks the comfortable certainties of religious or political orthodoxy. “It does not provoke tears of despair but the laughter of liberation” says Martin Esslin. The chaos of existence as conceptualized by Camus and Sartre is the basis of absurd drama. According to their philosophy, the universe and man’s existence in this universe are meaningless. All attempts made by the human mind to understand the world are futile. Their theory failed all philosophies and religious systems which claimed that they were capable of enabling man make a sense of this world. The sense of loss of meaning due to political and social upheavals in the first half of the twentieth century inevitably led to a questioning of the recognized instrument for communication of meaning - Language. According to the existentialists, conversation is absurd and nonsensical as the language reflects the preoccupation of contemporary philosophy with the discovery of reality and it emphasizes the basic absurdity of human condition.

8.1.3 Form and Content:

The form and structure of these plays is dictated by the very idea that forms the basis of these plays. In both form and content, it portrays human beings as isolated from others. There is no conventional plot, dialogue or character motivation. This formlessness and apparent irrationality are an expression of the absurd predicament of man, whose existence has no reason. Eugene Ionesco, the proponent of this kind of drama described the dramatic technique as “anti-play” or “anti-theatre” which discarded the conventional notions of plot, characterization, dialogues, setting etc. which had been in use since the times of the Greeks.

Since the absurdist works rarely follow a clear plot, whatever action occurs serves only to heighten the sense that the characters are mere victims of unknown, arbitrary forces beyond their control. The dialogue is often redundant, setting and passage of time within the play is unclear, and the characters express frustration with deep, philosophical questions, such as the meaning of life and death and the existence of God.

There is little dramatic action as traditionally understood; however frantically the characters perform, their business serves to underscore the fact that nothing happens to change their existence. In Beckett’s *Waiting for Godot*, there is no plot, and a timeless, circular quality emerges as two lost creatures, usually played as tramps, spend their days waiting - but without any certainty of whom they are waiting for or of whether he will ever come.

Language in an absurdist play is often dislocated, full of cliches, puns, repetitions, and the conclusions don’t logically follow from the previous statements. For instance, the characters in Eugene Ionesco’s *The Bald Soprano* sit and talk, repeating the obvious until it sounds like nonsense, thus revealing the inadequacies of verbal communication. The

ridiculous, purposeless behaviour and conversation give the plays a sometimes dazzling comic surface, but there is undoubtedly an underlying serious message of metaphysical distress.

The essence of absurd drama is clearly expressed through a dialogue by a character named Estragon in Act I of Samuel Beckett's play *Waiting for Godot*. He says:

“Nothing happens, nobody comes, nobody goes, it's awful”.

An absurd existence is captured in this situation through the two tramps, Lucky and Pozzo. Vladimir, who is waiting for Godot, constructs a sort of parable in which Godot stands for God, or for a mythical human being or for the meaning of life or even death.

8.1.4 Existentialism:

Existentialism is a 20th century philosophy concerned with human existence, finding self, and the meaning of life through free will, choice, and personal responsibility without the help of laws, ethnic rules or traditions. It is based on the assumption that a person's judgment is the determining factor for what is to be believed rather than by religious or secular world values. Existentialism takes into consideration the following concepts:

- ❖ free will of human beings,
- ❖ human nature is chosen through life choices,
- ❖ a person is best when struggling against his individual nature, fighting for life,
- ❖ decisions cannot be taken without stress and consequences,
- ❖ the world consists of irrational ideas,
- ❖ personal responsibility and discipline is crucial,
- ❖ society is unnatural and its traditional religious and secular rules are arbitrary,
- ❖ worldly desire is futile.

The Theatre of the Absurd was heavily influenced by existential philosophy. It aligned best with the philosophy in Albert Camus' essay “The Myth of Sisyphus” (1942). In this essay, Camus attempts to present a reasonable answer as to why man should not commit suicide in face of a meaningless, absurd existence. As already explained, Camus describes the fate of Sisyphus and at the end of the essay, he concludes that, “One must imagine Sisyphus happy” (Camus). He means that the struggle of life alone should bring one happiness. Essentially, we can find meaning in living even without knowing why we exist. An existentialist could either be a religious moralist, agnostic relativist, or an amoral atheist. Soren Kierkegaard, a religious philosopher, Friedrich Nietzsche, an anti-Christian, Jean-Paul Sartre, an atheist, and Albert Camus, an atheist, are credited for their works and writings about existentialism. Sartre is noted for bringing the most international attention to existentialism in the 20th Century.

Human life is in no way complete and fully satisfying because of suffering and losses that occur when considering the lack of perfection, power, and control one has over their life. Even though life is not optimally satisfying, it nonetheless has meaning. Existentialism is the search and journey for true self and true personal meaning in life. It stresses that a person's judgment is the determining factor for what is to be believed rather than by arbitrary religious or secular world values.

8.1.5 Chief Characteristics of Absurd Drama:

- a) It was largely influenced by the disillusionment caused by the two world wars and had the underlying notion that human existence was essentially absurd and meaningless.

No doubt, the theatre of the Absurd was a post - world war creation. It provided the people a dignified way to confront the universe deprived of what was once its centre and its living purpose- the God and Faith.

- b) It marked a complete break from the tenets of drama as propounded by the Greeks or other dramatists of antiquity.
- c) It was clearly a reaction against the drawing room naturalism of the early twentieth century plays.
- d) Most of the absurd plays characteristically concentrated on two or three people maneuvering for sexual or social superiority in a claustrophobic room or a strange place. Works such as *The Birthday Party* (1958), *The Caretaker* (1960), *The Homecoming* (1965), *No Man's Land* (1975), and *Moonlight* (1993) are potent dramas of menace in which a slightly surreal atmosphere contrasts with and undermines dialogue of tape-recorder authenticity. Sometimes these characters are specifically unrecognizable - almost mechanical puppets.
- e) These plays lacked objectivity and focused on the personal world of the author.

8.1.6 Some major absurdist playwrights and their notable works:

Playwright	Absurd Plays
Samuel Beckett	<i>Waiting for Godot, Endgame, Krapp's Last Tape</i>
Edward Albee	<i>Who is Afraid of Virginia Woolf?, The Zoo Story</i>
Eugene Ionesco,	<i>The Bald Soprano, Rhinoceros, The Chairs</i>
Harold Pinter	<i>The Birthday Party, The Homecoming</i>
Jean Genet	<i>The Maids, The Balcony</i>

8.1.7 Summing Up:

Absurd plays of the 1950s are characterized by boredom, habit, monotony, impotence and ignorance which enveloped the world after the wars and created an absurd existence. Originally shocking in its flouting of theatrical convention while popular for its apt expression of the preoccupations of the mid-20th century, the Theatre of the Absurd declined somewhat by the mid-1960s; some of its innovations had been absorbed into the mainstream of theatre even while serving to inspire further experiments. However, Beckett's death in 1989 is said to mark the close of the movement's popularity.

8.2 POETIC DRAMA

8.2.1 Introduction

Poetic drama is drama written significantly in verse with the aim of being performed by an actor before the audience. Verse drama had remained a dominant form of drama in Europe for a long period of time. Most of Greek tragedy and Racine's plays were written in verse. Aeschylus, Sophocles and Euripides wrote great **poetic plays** which were saturated with intense emotions. In the context of English drama, many plays of William Shakespeare, Ben Jonson and John Fletcher were also written in verse. After Shakespeare, there came a steady decline in poetic drama. However, John Milton pulled the tradition along with his famous poetic drama *Samson Agonistes*. Moving further, Goethe's *Faust* and Henrik Ibsen's early plays also fall in the category of poetic plays. All through the 19th century, practically all the great poets -William Wordsworth, Percy Bysshe Shelley, Lord Byron, Robert Browning, Mathew Arnold, and Lord Alfred Tennyson, tried their hands at poetic drama, but failed to bring about a revival of this literary genre.

8.2.2 Revival of Poetic Drama in the Twentieth Century

In the twentieth century, poetic drama arose as a reaction to the naturalistic prose drama of Ibsen, Shaw and Galsworthy. By 1930s, prose drama, in the words of G.S. Fraser, "had reached a dead end". It could no longer hold the depth, tension and complexity of contemporary life. It was limited to the social and economic problems of the times and entirely excluded deeper and more fundamental issues. Drama in the hands of the naturalist playwrights ceased to be the representation of "emotional reality" and became a handmaid of social criticism. The use of flowery language in realistic plays was out of place, and drama, dealing with social problems, was prosaic rather than poetic. These conditions led some dramatists to revive poetic plays in what was termed as "little theatres". As an opposition to the highly realistic drama of the early twentieth century, there arose a need for imaginative thinking which was met by the poetic drama of William Butler Yeats, T.S. Eliot and other writers of poetic drama. Allardyce Nicoll describes this change as a "renaissance of imagination".

Thus, this revival was pioneered by William Butler Yeats, T. S. Eliot, Christopher Isherwood and Christopher Fry. However, in the early years of the twentieth century, some dramatists like Stephen Phillips did try their hand on poetic drama. Stephen Phillips wrote famous verse plays like *Paolo and Francesca*, *Herod*, *Ulysses*, *The Sin of David*, and *Nero*. But his plays could not cause the desired sensation and failed to create an appreciable demand for poetic drama. Because of his uncritical admiration of the Elizabethans, he was referred to as a "fossilized Elizabethan". Other dramatists who followed Stephen Phillips were Rudolf Besier and J.E.Flecker. Famous poets like John Masefield and John Drinkwater also wrote a few poetic plays. Whereas Masefield is known for the combination of prose and verse in his plays like *Good Friday*, *A King's Daughter*, *The Trail of Jesus* and *The Coming of Christ*, Drinkwater is best known for his poetic dramas which include *The Storm*, *The God of Quiet* and *X=O: A Night of the Trojan War*.

8.2.3 Major Themes:

Twentieth century poetic dramas have been written on a variety of subjects. Some plays have been written on the glorification and exaltation of religion and the church, while a number of them have atheism and denunciation of God and priests as their subjects. Some

plays are symbolical and mystical in character while many of them have Celtic mythology and Irish life as their subjects. Some plays have oriental grandeur and are inspired by oriental setting while others have aesthetic enjoyment and glorification of sex-urge as their main spring. Thus, the poetic plays of the twentieth century range over a wide variety of subjects.

8.2.4 The contribution of W.B. Yeats and the Irish Movement:

The Irish Movement contributed a lot to the twentieth century drama and poetry. The leaders of the Irish Movement were W.B. Yeats and J. M. Synge. Of these two, W. B. Yeats was a poet of considerable powers. His poetic plays were poetic both in form and spirit. They were characterized by symbolism, mysticism and delicate refinement. Some of his prominent plays are *The Countess Cathleen*, *The Land of Heart's Desire*, *The King's Threshold* and *On Baile's Strand*. In almost all his verse plays, Yeats probes the mystique of human nature and quest for answer to deeper esoteric questions.

8.2.5 Difference between poetic drama and prose drama

Comparing verse and prose as the media of drama, T.S. Eliot stated that “poetry is the natural and complete medium of drama, that the prose play is a kind of abstraction capable of giving you only a part of what the theatre can give, and that the verse play is capable of something much more intense and exciting”. However the main points of difference between the twentieth poetic drama and prose drama are as follows:

- a) In verse **drama**, the dialogues are written in verse and the characters talk in verse while in prose drama, the dialogues are written in prose and the characters also deliver their dialogues in prose.
- b) Poetic drama focuses on the innermost reality of life whereas prose drama concentrates its imitation on the outer reality of the world. The latter is naturalistic in character.
- c) Poetic drama induces the deepest sense of joy in life and strongly reminds its readers and audiences that they have the power of being conscious of their own lives, while in prose drama, simple description wrapped in reality is presented.
- d) The poetic equipment used in poetic drama gives us sensuous joy, while prose drama gives us merely a detailed description of events.

8.2.6 Chief characteristics of Poetic Drama

- a) The pictorial quality and expressive sensuousness of **poetic drama** is vivid. The images and language presented in a poetic drama make it intensely picturesque and serves as the total image of distilled human reality we observe in it.
- b) Poetry introduces sensory experience into drama which always remains abstract and along with that it interprets the action by setting it in a large context of moral and spiritual world.
- c) The poetic dramatist must unite whole drama in a way analogous with music. This organic order coming from within not as technical order imposed from within is quite impossible to prose because poetry has greater scope and flexibility.
- d) Religious attitude to human life is essential for writing a true **verse drama**. Except W.H. Auden and Christopher Isherwood, all the major poetic drama of the last thirty years have been religious to the core. The significant **phase of poetic drama** began

when drama retreated to its origin inside the church. Then, from church, it moved to commercial theaters.

- e) It is a mixture of high seriousness and colloquial element. It is the combination of the tradition and the experiment and of the ancient and the new.
- f) Eliot in his *Rhetoric and Poetic Dramas* asserted that rhetoric is an indispensable element of poetic drama. Rhetoric contains a truly dramatic element, whereby, the characters in the play support their dramatic importance, gaining their own objectivity by being independent of the subjectivity of the playwrights. Modern realistic dramas lacked this dramatic importance.
- g) In the twentieth century English poetic drama, dialogue was usually written in blank verse. *Murder in the Cathedral*, *The Family Reunion*, *The Cocktail Party* are popular examples of poetic drama by Eliot.

8.2.7 Some major poetic dramatists and their notable works:

Poetic Dramatists	Poetic Drama
William Shakespeare	<i>A Midsummer Night's Dream, Romeo and Juliet</i>
John Milton	<i>Samson Agonistes</i>
William Wordsworth	<i>The Borderers</i>
PB Shelley	<i>The Cenci</i>
Stephen Phillips	<i>Herod, Ulysses, Nero</i>
John Masefield	<i>Good Friday, A King's Daughter</i>
John Drinkwater	<i>X=O: The Night of the Trojan War, The God of Quiet</i>
Thomas Hardy	<i>The Dynasts</i>
W. B. Yeats	<i>The Shadowy Waters, The King's Threshold</i>
John Millington Synge	<i>The Well of the Saints, Riders to the Sea</i>

T. S. Eliot	<i>Murder in Cathedral, The Family Reunion</i>
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8.2.8 The Contribution of T.S. Eliot to Poetic Drama:

T.S. Eliot is well known for his poetic plays. He has been a shaping force in the twentieth century literature. In his critical works, he always defended poetic drama long before he started writing verse dramas himself. T. S. Eliot demonstrated that a tradition of poetic drama could be established in the 20th century and that contemporary setting and themes can be dealt with this literary species. In *The Possibility of a Poetic Drama*, *The Need for Poetic Drama*, *Aims of Poetic Drama* and *Poetry and Drama*, he strongly advocated the use of poetic drama. He himself wrote many poetic plays which include *Sweeney Agonistes*, *The Rock*, *Murder in the Cathedral*, *The Family Reunion*, *The Cocktail Party*, *The Confidential Clerk* and *The Elder Statesman*. His plays are marked by vigorous and bold use of all devices proper to the form of verse drama, emphatic melody, alliterative values, arresting imagery. They exhibited close links with religious and political beliefs. Of all his plays, *Murder in the Cathedral* is the most famous. It was written to be performed in Canterbury Cathedral “to commemorate the martyrdom of St. Thomas Beckett” who had been murdered in the Cathedral. It is written in the manner of the classical tragedy and has made use of medieval allegorical elements of the morality plays. Bamber Gascoigne in his book *Twentieth Century Drama* has written about Eliot’s play, *Murder in the Cathedral* that “it is the highest tribute to poetic drama to say, as one can of *Murder in the Cathedral*, that it is both intensely dramatic and inconceivable in prose”. Eliot’s plays are complex like his poetry but in his plays, he evokes the desired moods by handling the verse medium wonderfully. He succeeded in developing a flexible verse form from the contemporary idiom, which suggests the contemporary environment. He demolished certain misconceptions about poetic drama such as the idea that a nation can enjoy only one great age of poetic drama. He emphasized that verse is the natural language of men at moments of intense, emotional excitement and expresses the deeper passions of men, and as such it has a quality of universality and permanence. Nor is the use of verse artificial if used flexibly and to suit all situations and all characters.

8.2.9 Summing Up:

Poetic Drama is a great achievement of the modern age. It combines the qualities of both poetry and drama that give deep impact of dramatist’s emotions on the readers. In fact, poetry combined with drama increases seriousness in tragedy. With the revival of poetic drama, after a long period of time, churches once again housed the performance of these plays along with small theatres.

In modern verse plays, myths, religion, and politics have been well represented. The future of the poetic plays in English drama may be summed up with a quote by Galsworthy,

“...there will always remain a twisting and delicious stream which will bear on its breast new barks of poetry, shaped, it may be, like prose, but prose incarnating through its fantasy, and symbolism all the deeper aspirations, yearnings, doubts and mysterious strivings of the human spirit”.

8.3 CHECK YOUR PROGRESS:

Q-1 Theatre of the Absurd refers to:

- A. A literary movement of drama that explores the human condition as random and chaotic in a godless universe.
- B. Comical Theatre.
- C. Theatrical performances about madness.
- D. None of the above.

Q-2 Which of the following is considered to be a founding work in Theater of the Absurd?

- A. *Rosencrantz and Guildenstern are Dead* by Tom Stoppard
- B. *The Birthday Party* by Harold Pinter
- C. *Hamlet* by William Shakespeare
- D. *Waiting for Godot* by Samuel Beckett

Q-3 Theatre of the Absurd was popular as a literary movement during:

- A. World War II.
- B. the American Revolution.
- C. From the 1940s to the 1980s
- D. the Great Depression.

Q-4 *Riders to the Sea* is a famous poetic drama written by

- A. Anton Chekov
- B. Samuel Beckett
- C. J.M. Synge
- D. Christopher Fry

Q-5 Who is the author of the famous poetic plays - *The Shadowy Waters* , *The Golden Hemet*, *Deirdre* etc.

- A. W.B. Yeats
- B. G.B. Shaw
- C. Gordon Bottomley
- D. Stephen Phillips

Q-6 Who is the speaker of these famous lines, “Nothing happens, nobody comes, nobody goes, it’s awful”?

- A. Pozzo
- B. Lucky
- C. Estragon
- D. Vladimir

Q-7 Identify the author of the famous absurdist play, *The Birthday Party*?

- A. Eugene Ionesco
- B. Harold Pinter
- C. Samuel Beckett
- D. Albert Camus

Q-8 The Irish Movement is also known as

- A. Restoration period
- B. Modern Movement
- C. Celtic Revival
- D. Absurdist Movement

Q-9 Who is the author of *The Myth of Sisyphus*?

- A. Martin Esslin
- B. Samuel Beckett
- C. Edward Albee
- D. Albert Camus

8.4 IMPORTANT QUESTIONS

Answer the following questions in detail:

- 1) What do you mean by the term “The Theatre of the Absurd”? What are the salient features of this school of drama?
- 2) Reflect on the common themes in the Absurd drama.
- 3) Write an essay on the major features of the twentieth century poetic drama.
- 4) What were the factors that led to the revival of poetic drama in the twentieth century?

Give brief answers to the following questions:

- 1) Write a short note on the influence of the Celtic Revival on the emergence of poetic drama.
- 2) Write a note on the points of difference between poetic drama and prose drama.
- 3) Define Poetic Drama.
- 4) Define existentialism.

8.5 SUGGESTED READINGS

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BACHELOR OF LIBERAL ARTS

SEMESTER-IV COURSE: READING DRAMA

UNIT 9: ARTHUR MILLER – *DEATH OF A SALESMAN*

STRUCTURE

- 9.0 Objectives
- 9.1 Introduction
- 9.2 Arthur Miller: life and works
- 9.3 Introduction to the play
- 9.4 Check your progress-1
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- 9.8 Suggested reading and references
- 9.9 Questions for practice
 - 9.9.1 Long answer questions
 - 9.9.2 Short answer questions

9.0 OBJECTIVES:

This unit introduces you to

- The author Arthur Miller and his work
- Origin and historical context of *Death of a Salesman*, major influences like Economic Depression and American Dream
- Scene wise summary of the play with its critical analysis

9.1 INTRODUCTION:

You are now familiar with the terms pertaining to drama, growth of drama as a genre and new movements in theatre. In this unit, we will try to understand the underlying themes and techniques of modern drama through a reading of the summary and analysis of *Death of a Salesman*. It bears the influence of Expressionism, a movement in art and literature in the 20th Century. It will be interesting to note how it differs in form and matter from the traditional drama. The play stands out due to its juxtaposition of the past and the present and its symbolism.

9.2 ARTHUR MILLER: LIFE AND WORKS

Arthur Miller was born in Manhattan, New York, in 1915. His father, a Jew, was devastated by the great economic Depression of 1930s. His family moved to a poor neighbourhood of the city called Brooklyn in 1929. Miller finished his schooling in Brooklyn but could not join college. He did a lot of odd jobs before joining a course in journalism at the University of Michigan. He began to write plays like *Honors at Dawn* (1936) and *No Villain* (1937) while studying. His work caught the attention of the audience.

Miller won the Theatre Guild National Award for his play *They Too Arise* (1938). *All My Sons* (1947) is his first commercially successful play which won the New York Drama Critics Circle Award. The play under study *Death of a Salesman* was written in 1948. It won him accolades. His next *The Crucible* (1953) deals with a witch hunt in 1692 in Salem, Massachusetts. *A View from the Bridge* (1955) is a tragedy based on the theme of sexual betrayal. In 1957, Miller's collection of plays *Collected Plays* was published. His plays *After the Fall* and *Incident at Vichy* were performed in 1964 and *The Price* in 1968.

After the Fall traces his strained relationship with his second wife, the celebrated actress Marilyn Monroe. They got divorced in 1961. Monroe later committed suicide. The only novel written by Arthur Miller in 1945 is titled *Focus*.

As if his childhood hardships and strained marriage were not enough, Miller was persecuted for his social and political commitments. He had been under scrutiny for his communist affiliation but he remained true to his ideals.

9.3 DEATH OF A SALESMAN: INTRODUCTION, ORIGIN AND BACKGROUND

Death of a Salesman is one of Miller's critically acclaimed plays. The play captures the last day of a salesman's life. It revolves around a family of four including Willy Loman, his wife Linda, their grown-up sons Biff and Happy. The protagonist, the sixty-three-year-old salesman Willy Loman, is never able to reconcile himself to his failure to make it big in the world of sales. He stumbles never to get up again when he stops selling. Willy Loman keeps believing in the American dream of achieving success through hard work and impressive personality. *Death of a Salesman* followed long after the Depression of the 1930s which shattered the American dream but it bears the imprint of this watershed moment in American history. Willy lives in a world of make believe and instils the same values into his sons. The hollowness of these values is proved when he and his sons fail to fit into any job. Linda, instead of removing the blinkers of illusion from the eyes of her husband and sons, plays her part in the farce of a promising life, bright future and imagined success. Built on flimsy

grounds, Willy's world collapses very soon. He is guilty of not facing the reality even after the failure of his ideals. Willy's neighbour Charles and his son Bernard represent the real world and its ethics. Willy also fails as a role model to Biff who idolized his father. As a teenager, Biff is shocked to know about his father's adultery. His career spirals down after this incident. Unable to bear the decline of his son Biff, Willy crashes his car outside his house. Miller brilliantly weaves the conscious and subconscious life of Willy Loman as he slips in and out of his past. This technique helps bring out the tragic element in the character of Willy Loman who constantly fights to live up to his beliefs.

Written in 1948, the play became a hit with 742 performances on Broadway. Supposedly the idea of the play was brewing in his mind for ten years before it took shape. Miller wrote the first act of *Death of a Salesman* in less than a day at a small studio that he built in Roxbury, Connecticut. It opened on February 10, 1949 at the Morosco Theatre, and was appreciated by public and critics alike. *Salesman* won Arthur Miller all the accolades of theatrical craftsmanship: the Pulitzer Prize, the New York Drama Critics' Circle Award and a Tony. The play was also made into a film.

The origin of the play can be traced to a short story written by Miller at the age of seventeen. He was the same age as young Biff Loman. The story is about an old salesman who is not able to sell anything, is scorned and shunned by his customers. He used to borrow his fare from the narrator. The salesman had committed suicide by throwing himself under a subway train. Miller, however, could trace the roots of the play in his extended family itself. Willy Loman closely resembles Miller's salesman uncle Manny Newman. Manny seemed to be competing with his sons in a never-ending race. In Miller's words, in Newman household one was never allowed to lose hope. "It was a house . . . trembling with resolutions and shouts of victories that had not yet taken place" (Miller 122). Manny's son Buddy was a sports hero like Biff Loman and popular among girls like Happy Loman. But having failed in studies, he could not go to college. Manny, his family and other salesmen like him tried to play out the American dream. Willy Loman belongs to this class of actors who, as Charley remarks, put "on a smile and a shoeshine" and set out to sell their wares in the world, a world that either ignores or rejects them. The success of *Death of a Salesman* rides on Miller's ability to bring out the cruelty of the materialistic society and the vulnerability of a human being fighting with its mores. The play stands out as the tragic life and death of Willy Loman is portrayed on a deeper, psychological level.

9.4 CHECK YOUR PROGRESS - 1

Answer the following questions very briefly:

1. Which play of Arthur Miller deals with his strained relationship with Marilyn Monroe?
2. Which are the different awards won by *Death of a Salesman*?
3. Name two major factors that influenced the play.
4. Who in Arthur Miller's family is the inspiration behind Willy's character?
5. What is the occupation of Willy Loman? How does Charley describe a salesman?

9.5 SUMMARY AND CRITICAL ANALYSIS

9.5.1 Act I

Lomans' house is seen surrounded by high rise apartments. Willy Loman comes back exhausted from a business trip, rather earlier than expected. Linda is a little worried. She has been observing for some time that Willy's mental condition is deteriorating. Willy admits that he is not able to focus on things and he nearly killed himself that day by veering off the road. She advises her husband to slow down a little and take rest. She also suggests Willy to talk to his boss about giving him work in New York itself. Linda happily shares with Willy how their younger son Happy took Biff on a date that day. Apparently, Willy had had an argument with his son that morning as Biff, although thirty-four, is still to settle down in life. Willy calls Biff lazy, but in the same breath swears by his son's personal attractiveness. He is reminded of Biff's popularity in school. Willy feels suffocated and asks Linda to open the window. Willy's behaviour is strange as the window is already open. He also regrets that there is no greenery left around their house. While driving that day, he felt as if he had been driving their old car, a red Chevy. Willy goes to the kitchen for some cheese while Linda tries to sleep.

In the second scene, Biff and Happy are seen talking in their bunkbeds upstairs. Both are well-built. Happy is two years younger than his brother but seemingly more confident than him, especially with women. They hear their father talking to himself and discuss what could possibly be wrong with him. Biff has come back home after a long period. He tells Happy that he enjoys a simple life on farm and he has been working on one recently. He is upset with his father, still sour over their morning argument. Happy cheers him up saying that their father just wants Biff to succeed. Biff and Happy smoke, talk about girls and their jobs. Biff is not happy with the way his future is shaping. Actually, he can't make up his mind what he wants to do in life. Happy, too, is restless and gets frustrated at times. He has got a rented apartment, a car and lots of women in his life, but he still feels lonely. He feels he is more intelligent than his boss and deserves more in return. Biff asks Happy if they can work jointly. They may own a ranch and enjoy a life of outdoors. Happy shares with Biff that he has been flirting with a lot of women. It gives him a feeling of achievement when he steals others' girlfriends. Biff plans to meet Bill Oliver, his earlier boss, and strike a deal with him. His only worry is that Bill might remember the carton of basketballs Biff stole from him.

The boys hear their father talking to himself. They go off to sleep determined to talk to their father in the morning. The scene shifts to the past. There is music in the background and surroundings become covered with green. Willy is talking to his boys. Biff and Happy are young boys and they are washing their old car while Willy is giving them directions. Willy's behaviour with his boys is quite friendly. He takes a lot of pride in his boys, especially Biff. He cautions young Biff to stay away from girls and focus on his studies. He is enjoying his boys' company presenting a congenial picture. Getting gifts for his boys, encouraging Biff to play football, promising outings to his boys, Willy is the picture of a happy and proud father. But he fails as a father when he turns a blind eye to Biff's tendency to steal. Biff's neighbour and classmate Bernard tells Willy that their maths teacher is going to flunk him if Biff does not start studying. Willy dismisses it saying that "Bernard is not well liked" and he is unlikely to succeed in the business world where personality is synonymous with success. He tells his

boys to help their mother with the household work when Linda appears on the scene with her wash. The boys get to work and they call to their help other boys from the neighbourhood.

Linda and Willy take stock of Willy's earnings and the pending bills that week. Willy begins confidently announcing his profits on sales in different cities but soon realises that his income is dwindling along with his charisma. People seem to laugh at him. The expenditure on running his home exceeds his earning. Linda reassures him complementing that he is the most handsome man to her. A woman's laugh is heard and Willy finds himself with a woman on one of his business trips in the past. It is Willy's guilt that haunts him and reminds him of his infidelity to his wife. He gifts stockings to the woman. When he comes back to the present scene, he sees Linda mending his stockings. He is frustrated at his own failure as a husband. Bernard arrives on the scene to warn Willy against Biff's non-seriousness in studies but Willy does not listen to him. He is so swept away by Biff's popularity in school that he ignores the warnings of Bernard.

Happy comes downstairs and talks to Willy. Willy regrets not following his brother Ben to Alaska. He idolizes Ben. "There was a man started with the clothes on his back and ended up with diamond mines." He confesses in front of Happy that he can no longer drive a car without risking his life. He could not go beyond Yonkers that day.

Willy's neighbour Charley enters. His attitude towards Willy is full of pity and fear. Charley offers to play cards with Willy. As they play, Willy keeps denigrating Charley. He feels insulted when Charley offers him a job and so he declines it. During the game, Uncle Ben keeps impinging on the scene. Ben talks about Alaska and the opportunities it offers. Apparently, Uncle Ben is a figment of Willy's imagination because Charley can't understand what Willy is talking about. Frustrated over Willy's behaviour, Charley leaves. Willy wants to know the secret of Ben's success. They talk about their past. Willy enquires about their father from Ben. Their father, Ben claims, was very enterprising. He used to make and sell flutes and earn profits. Willy wants Ben to share the secret of his success with Biff and Happy. He calls Happy and Biff. Ben challenges Biff to a boxing fight. Willy encourages his son to fight with Ben though Linda is opposed to it. Charley enters the stage and complains that Biff has been stealing lumber from an under-construction apartment. Willy refuses to admit Biff's faults. Ben assures Willy that he is bringing up his sons rightly.

Ben leaves and the scene changes to present. Linda asks Willy if he has got the cheese. Willy is unwilling to go to bed. He goes out for a walk in his slippers. Biff discusses with Linda his father's strange behaviour. She accuses her sons of being thankless. She also accuses them of tormenting Willy whose condition worsens every time Biff comes home. She desperately asks them to save their father who is exhausted and can't go on like that for long. There is evidence that Willy has been deliberately trying to smash his car against the bridge railing. He has also attempted suicide at home using a rubber tube. She is constantly living in fear that something terrible would happen to him. Biff and Happy, moved by their mother's pleas, think of a career move together. Biff plans to go to his old employer Bill Oliver to ask for investment money into a business of sporting goods. Willy's faith in his elder son is quickly restored. He swears by his intelligence and dashing personality. During his conversation with his sons, he is very rude to his wife and interrupts her every time she tries to speak. Act one ends on a promising note with Willy looking forward to his son's meeting with Bill Oliver.

As he is about to sleep, he also promises Linda that he would ask his boss Howard to let him work in New York. Biff is horrified to see the length of rubber tubing behind the heater.

9.5.2 Critical Analysis of Act I

Death of a Salesman addresses multiple issues ailing the American society of the time. The first and foremost is the American dream of being successful through personal charm and charisma. It is the failure of this formula that the protagonist Willy Loman represents. Arthur Miller uses a disjointed time frame to bring out the gap between Willy's aspirations and achievements.

The surname "Loman" can be read as "low man" which signifies a man of meagre status and achievement. Willy Loman, a salesman, is falling into an abyss. He is disintegrating under the weight of his failed dreams. He is not able to distinguish between the real and the unreal. He is losing touch with reality. He relapses into the world of his imagination frequently and is driven to suicide. His sense of failure worsens when he encounters Biff. Biff has not been able to settle down and there are sufficient clues that Willy Loman is responsible for his son's predicament. Willy's emphasis on physical appearance and sports, completely disregarding the value of hard work and studies, derail the careers of Biff and Happy. They become perpetual adolescents. Biff is still looking for a stable job and Happy is looking for a stable relationship. Happy idolises his mother and wishes to marry a girl who is as steadfast as his mother is.

Linda is used to suppressing her desires and does not object to Willy's decisions. She supports Willy unconditionally out of her sense of duty though Willy has been unfaithful to her. It is with a sense of horror that she is witnessing the slow decline of her husband. Usually tolerant and passive, she rebukes her sons and asks them to save their father. Willy Loman is almost living on the edge and any small disruption in the form of his son's failure can push him into the eternal abyss. Arthur Miller draws attention to the fragility of a human being in the face of cutthroat competition and materialistic idea of success. Charley and Bernard represent the kind who rise by dint of their hard work and consistency. Willy looks down upon them as they are not "well liked." Ben on the other hand represents the romanticised idea of success coveted by Willy Loman. Ben's achievements seem to be unreal. They are in the nature of daydreams Willy Loman is prone to having. The encounters and give and take between Willy and Ben have enough clues to show Willy's delusional state of mind. He not only entertains a false image of himself but also believes in the prosperity of his brother Ben.

In order to unravel the aberrations of Willy's mind including his diving into the past and the present, talking to imaginary characters, Arthur Miller makes use of curtains as walls. The use of flute to represent the idyllic past is also very effective. Willy is afraid of the urban jungle the city is fast becoming. He wants to grow plants in his backyard. Perhaps Biff has inherited his love of outdoors from him.

Death of a Salesman strikes a chord as the protagonist is an ordinary salesman who is trapped in the expectations of the world around him. He and his family are doomed as they have internalised the wrong set of values. The psychological portrayal of Willy's character and life is truly heart rending.

9.5.3 Act II

Willy Loman is having breakfast at the kitchen table. He looks well rested after a good night's sleep. Biff and Loman have left for their work. Biff is supposed to meet Oliver that day. Willy Loman's hope and faith in Biff have been rekindled. Willy plans to talk to his boss Howard for relieving him from the touring job. Linda reminds Willy about the payments due on repair and instalments.

Linda tells Willy Loman that Biff and Happy want to treat him to a big meal at Frank's Chop House that evening. This infuses a new life in Willy. He is very upbeat about meeting his boss, getting an advance and a possible transfer to New York. He leaves for the meeting with great zeal and hope. Biff calls up Linda to ask whether she has extended the invitation to Willy. Biff is still waiting to meet Oliver. He discloses that it is he who had taken the rubber tubing attached to heater. Though Linda thought Willy himself had removed the tube as he was in a happy frame of mind now.

The scene changes to that of Howard's office. Willy tells Howard that he has come to have a word with him. Howard hardly pays any attention to Willy's request. He is more interested in listening to the recorded voices of his children. When he does listen to Willy's request to give him a settled job, he expresses his helplessness. Howard says he can't offer Willy any job in New York. A salesman has got to travel. Willy's entreaties fail to move Howard. Willy is ready to settle for less money but Howard, a hard-core businessman, refuses. Willy protests, "You can't eat the orange and throw the peel away – a man is not a piece of fruit." Instead, Howard politely asks Willy to take a break which implies he is firing Willy. When Willy boasts about his sons, he advises him, "This is no time for false pride, Willy. You go to your sons and you tell them that you are tired."

Howard leaves to meet other people. Willy is dejected and exhausted. Ben enters the scene and music is heard. Ben offers to take Willy along to Alaska but Linda opposes it. Willy too is sure of Biff's bright future in America which is a land of opportunities and where a person with a smiling face and contacts is sure to be successful. Biff enters as a high school student ready for a prestigious football match at Ebbets Field. Bernard and Happy are accompanying him carrying his shoulder guards. Willy is very excited about Biff's performance. He treats Biff like a hero already.

Bernard is seen sitting in his office with his feet up. He is a quiet self-assured young man. He has dropped by on his way to Washington where he is to argue a case in the Supreme Court. Willy is surprised to see him. He wants to know the secret of his success. Willy is aware that Biff had started really well but now lagged behind most of his contemporaries. He asks Bernard if he knows the reason behind Biff's downfall. Bernard points out that Biff could never regain balance once he flunked in maths. Biff could have joined the summer school and made up for that subject. Bernard asks if Biff had gone to meet Willy in Boston after he flunked. Willy confirms Biff had visited the hotel he was staying at. Bernard tells Willy that Biff had given up after his return. He had burnt his favourite sneakers. Bernard leaves as his father Charley enters. Charley lends Willy some money as he has been doing for some months. He also offers Willy a job in his company but Willy takes it as an insult and leaves.

The scene shifts to the restaurant where Loman brothers have planned a party with their father. Happy is making arrangements along with Stanley, a young waiter. He tells the waiter that the family is celebrating his brother's new venture. His brother Biff is going to strike a big deal with Bill Oliver. While Happy is waiting for his brother and father, a girl enters the

restaurant. Happy starts flirting with the girl. Biff arrives on the scene a little bewildered. Happy tries to hook his brother to the girl Miss Forsythe but Biff's mind is occupied with something more serious. He tells his brother that he kept waiting for Bill Oliver for six hours but Bill didn't even recognise him. Biff confesses, "I realised what a ridiculous lie my whole life has been! We have been talking in a dream for fifteen years." He got so angry and frustrated that he stole a fountain pen from Oliver's office. Biff wants to tell the truth to his father but Happy discourages him to do that. Willy joins his boys. Biff tries to explain what happened at Oliver's office but Willy is in a state of denial. He is not ready to accept that Biff has made a fool of himself by visiting Oliver. His mind begins to play tricks with him. He sees young Bernard telling Linda that Biff has flunked maths. Willy is again delusional and talking to himself. Biff gets scared. He is compelled to tell another false story to please his father.

A woman's laugh is heard. Willy is transported to a hotel room in Boston where he is staying with a woman. He is dressing up when somebody knocks at the door repeatedly. Willy asks the woman to hide in the bathroom. Willy is surprised to see Biff at the door. Biff looks crestfallen as he has failed in maths. He asks his father to do something about it. The woman calls out though Willy had told her to keep her mouth shut. She demands the stockings Willy has gifted her. Biff is shocked to see a woman in his father's room. Willy tries to explain but cannot convince Biff that the woman was her customer.

Willy is seen sitting in the restaurant again. He is talking to himself about flunking in maths. Biff and Happy get confused at their father's behaviour. There is an argument between Biff and his father. Miss Forsythe comes with her friend Letta. The boys leave with the girls abandoning their father. Willy asks the waiter for the address of any seed store as he wants to plant some vegetables in his backyard.

Linda is bursting with anger when the boys come back. She calls them animals and tells them to get out of the house. She does not want them to see Willy who is again hallucinating. He is in the backyard planting seeds at this hour. Willy refers to Linda as a woman who has suffered for the family. He is probably discussing with Ben about insurance money which the family may receive after his death. He can also see a grand funeral, ironically his own. This anticipates his decision to kill himself. Through this last effort, he wants to win over his estranged son.

Biff comes to his father in the backyard and informs him about his decision to leave. He dares to admit, "We never told the truth for ten minutes in this house!" He confronts Willy about the rubber tube in the cellar and bluntly tells his father that it is not going to make a hero out of him. Biff tries to make his father realise that they are no heroes, but ordinary people living out on daily basis. Willy thinks that Biff is being spiteful. He softens when Biff breaks down in front of him. Linda and the boys go upstairs to sleep. Willy assures Linda that he too is coming upstairs. Again, Willy is seen talking to Ben about leaving together in search of diamonds. It also indicates his exit from the world. Willy drives off and smashes his car.

In Requiem, Linda, Biff, Happy and Charley are seen at Willy's grave. Nobody has come to attend the funeral as Willy had expected. Willy's suicide leaves many questions unanswered. Willy's true friend Charley explains, "He's (salesman) man out there in the blue, riding on a smile and a Shoeshine. And when they start not smiling back – that's an earthquake." Linda

stays for a while at the grave to tell Willy that she has paid the last payment on the house and they are finally “free.”

9.5.4 Critical Analysis of Act II

The complications that begin in Act I reach a climax in Act II. The second act introduces the audience to an optimistic Willy Loman. He is full of hope for his son Biff and himself. But his hopes again prove to be delusions with the turn of events. His dreams of big deals are shattered. He is fired from his job and Biff cuts a sorry figure at Oliver’s office. The theme of betrayal dominates the second act. Willy’s disloyalty to his wife and betrayal of his own dreams crush his spirit and push him to the point of no return. Willy’s claims seem hollow in contrast with the steady toil of Charley’s son Bernard. Biff idolised his father till he finds out about his father’s affair. He too is struck by this bolt and never recovers from this betrayal. Biff fails in maths and Willy fails him as father. Biff never regains control over his life and becomes rudderless. This guilt is tearing Willy apart and he becomes a fragmented personality. The interaction between his past and present, reality and fantasy intensifies making Willy a lost soul. His last attempt to redeem his failure is fatal. He continues struggling to the end and emerge as something of a hero, albeit a flawed one. Ironically, this hero does not get the adulation he wanted from people even after his death. The house Willy owned is finally free as Linda submits at his grave. Willy does not get to enjoy the fruit of his labour.

9.6 SUMMING UP

This unit acquaints the students with the outline of the story of the play. Through the detailed study and critical analysis of the play, students can apply the theory and history of drama to the text and appreciate the techniques and themes of modern American drama deftly used by Arthur Miller. A reading of the text is recommended for deeper understanding of the play.

9.7 Check your progress - 2

Answer the following questions briefly:

1. What happened to Willy while driving?
2. Who is Willy’s brother? Which country did he go to?
3. What did Willy and Biff fight over in the morning in Act I?
4. What is Linda’s attitude towards her husband?
5. Describe Willy’s meeting with Howard? What was its outcome?

9.8 SUGGESTED READING AND REFERENCES

9.8.1 Suggested reading:

- *Arthur Miller* by Leonard Moss in *Twayne’s United States Authors Series*
- *Arthur Miller: Portrait of a Playwright* by Benjamin Nelson
- *Death of a Salesman: Certain Private Conversations in Two Acts and a Requiem* with an introduction by Christopher Bigsby

9.8.2 References:

Timebends: A Life by Arthur Miller (2013)

9.9 QUESTIONS FOR PRACTICE

9.9.1 Long Answer Questions

- a. Which incident is a turning point in Biff's life? How does it affect him?
- b. Describe the restaurant scene in detail.

9.9.2 Short Answer Questions

- a. What are the techniques used by Miller to show Willy drifting into his past?
- b. What are the clues in the play betraying Willy's suicidal tendencies?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

COURSE: READING DRAMA

UNIT 10: ARTHUR MILLER – *DEATH OF A SALESMAN*

STRUCTURE

10.0 Objectives

10.1 Introduction

10.2 Themes

10.2.1 American Dream and materialism

10.2.2 Relationships and Betrayal

10.2.3 Pastoral vs Urban

10.3 Check your progress I

10.4 Characters

10.4.1 Willy Loman

10.4.2 Biff Loman

10.4.3 Linda Loman

10.4.4 Happy Loman

Minor Characters

10.4.5 Ben Loman

10.4.6 Charley

10.4.7 Bernard

10.4.8 Howard Wagner

10.5 Technical Aspects

10.5.1 Structure and plot

10.5.2 Expressionism

10.6 Summing up

10.7 Check your progress-2

10.8 Suggested reading and references

10.9 Questions for practice

10.9.1 Long answer questions

10.9.2 Short answer questions

10.0 OBJECTIVES:

This unit examines

- Major themes of the play
- Major and minor characters, their portrayal and role in the play
- Form of the play including its plot, technique and symbols used by Arthur Miller

10.1 INTRODUCTION:

In Unit I of *Death of a Salesman*, you studied the origin and historical background of the play. It also gave you a detailed summary of the play. We will critically engage with the play in this unit. It would enlighten you about the issues addressed by Arthur Miller in this play. The structure of the play is integral to its theme. This unit will also throw light on the various techniques and methods that make the appeal of the play long lasting. Miller employs a combination of realism and expressionism in the play which gives it a psychological dimension.

10.2 THEMES:

10.2.1 American Dream and materialism

Death of a Salesman cannot fit into one single category. It addresses many problems at the same time. The major preoccupation of Miller seems to be the American Dream. America offers itself to its people as a land of opportunities. It implies that anyone who strives can achieve financial and material success. Miller not only plays with this concept but also makes use of various elements of a dream. Willy Loman aspires to be successful in material terms, he sets out every morning wearing “a smile and shoeshine.” He believes that any man who is smart, charismatic, and well-liked is bound to be successful. However, Willy and his sons fail to live up to this dream. When Willy stops selling, it is the end of the world for him. Miller is not opposed to the idea of the American dream, he only draws attention towards the materialistic definition of success and the human cost of such a pursuit.

Willy’s brother Ben stands for the realization of American dream. He wanders into a jungle in his teen age, explores continents namely Alaska and Africa, and strikes a fortune by discovering a diamond mine. But Ben appears only in the reconstructed past and there is no evidence that his achievements are real.

Charley and Bernard, who stay next door, represent another version of the dream. Unlike Willy, their life is not driven by denial and lies. Bernard who was considered a bookworm as a young boy, becomes a successful lawyer through hard work. His slow ascension to success

proves that Miller does not reject the dream of Thomas Jefferson and Benjamin Franklin, the architects of America. Instead, it is the misinterpretation of the dream Miller is concerned with. When ambition replaces human need, the dream turns into a nightmare.

It is true that Willy Loman fails to achieve the financial success promised by the American dream. But that is not the real tragedy. Willy is so blinded by its glitter that he loses sight of the vital human values and feelings. Too much emphasis on appearances and false pride lead to the downfall of Willy and his sons. Crashing his car in the end is his last attempt at heroism by providing financial security to his family with his insurance money. Willy dies at the altar of American dream that has inspired generations of Americans. Miller's point is while the American dream can be a powerful source of motivation, it can reduce a human being into a commodity.

10.2.2 Relationships and Betrayal

While Miller directed the production of the play in China in 1983, he remarked, "*Death of a Salesman* is a love story between a man and his son, and in a crazy way between both of them and America" (*Beijing* 49). The relationship and conflict between Willy and his elder son Biff are central to the play. They are seen struggling with each other for their existence in the last twenty-four hours of Willy's life. In the idyllic past, Willy is Biff's hero and Biff is growing up to be a hero in Willy's eyes. In terms of time, money and energy, Willy has invested heavily in Biff for the realization of his dream of success. He shows off his son like a trophy. And Biff too showed great promise as a young footballer. On the other hand, Biff adored his father till he finds out his father's clandestine affair with a woman. He had come to meet his father in Boston when he flunked in maths. He was looking for support to tide over this crisis but his crisis deepens due to the betrayal of his father. Biff's career spirals down after that. As he grows up, he becomes a thief and a rudderless person.

Over the years, neither has been able to let go of the other because to do so would be to let go of a dream which, however tainted, still has the glitter of possibility, except that now Biff has begun to understand that there is something wrong, something profoundly inadequate about a vision so at odds with his instincts. (Bigsby xxii)

Biff comes back to resolve the conflict with his father, to finally liberate himself from the dream that Willy has instilled in him. However, he gets involved in the conspiracy to keep Willy happy by encouraging his illusions. He soon realises its futility and wants his father to confront the reality. He could save his father only at the cost of his freedom and fulfilment. This tension forms the crux of the play. The thought of Biff leaving home and city for farming breaks Willy's spirit and heart.

Willy's relationship with Linda is unequal. While Linda is extremely devoted and docile, Willy has been cheating on her. He yells at her, gets irritated when she interrupts. He tries to make amends towards the end of the play when he realises that Linda has suffered a lot. Willy's brother Ben and their father have also betrayed him by deserting him when he was a child.

Willy's other son, Happy, while moderately successful, is superficial. He has inherited Willy's tendency to betray in relationships. Unlike Biff, he vows to continue in his father's

footsteps after his father's death, pursuing an American Dream that will leave him hollow and alone.

10.2.3 Pastoral vs Urban

The theme of urbanisation and destruction of green cover recurs in the play. Urbanisation is closely associated with materialism and commercialisation. As the curtain rises, Willy Loman's house is seen surrounded by tall buildings. Its backdrop is made of towering angular shapes. So many high-rise buildings have eclipsed the natural beauty. Willy feels claustrophobic due to this landscape which also affects his mindscape. Christopher Bigsby remarks it is not only the house that has lost its protection and experienced the closing down of space and withering away of trees. He implies that Willy Loman too meets the same fate. Willy laments the felling of trees around his house. He can only see bricks and windows now and nothing grows in his backyard because plants don't get enough sunlight there.

Miller also uses pastoral or green as a metaphor for idyllic past of Willy Loman. Every time he drifts into an imaginary past, flute, also a symbol of pastoral, plays in the background. Willy Loman dreams of venturing into wild like his brother Ben and father. However, he can only fantasize about adventure as he is either too timid or too late for such an adventure. The city of concrete seems to frustrate him. Material possessions do not gratify Willy Loman and unfortunately, he lacks the insight to know what gives him fulfilment. It is too late in the night and in life when he is trying to sow the seeds of a pastoral future in his backyard.

Biff has known the pleasure of working on a farm. He is a self-professed man of the outdoors. But Willy undermines the satisfaction of working in the field. He is opposed to Biff's decision of working on a farm. Eventually Biff makes his own decision to leave the city dwelling of his father and go to a place where he feels more at home.

Death of a Salesman is a critique of the artificial world of the city with all its commercialisation, superficiality and indifference. Willy Loman cannot follow his brother as the world of a wild frontier waiting to be explored no longer exists. Instead, the green cover is shrinking and urban centres are fast encroaching upon the countryside. Willy's world is an urban dystopia where only buying and selling matter.

Willy thinks of his own death in terms of finally venturing into nature, the dark jungle that he could not enter during his lifetime.

10.3 CHECK YOUR PROGRESS - 1

Answer the following questions in 50-100 words:

1. Why does Willy Loman commit suicide?
2. Discuss the theme of pastoral vs urban in *Death of a Salesman*.
3. How has Willy betrayed his wife Linda?
4. Discuss the father-son relationship in *Death of a Salesman*.
5. What do you understand by the American dream?

10.4 CHARACTERS

10.4.1 Willy Loman

In *Death of a Salesman*, Miller places Willy in the centre of all action. The play traces the happenings on the last day of Willy's life. In choosing a salesman as the protagonist, Miller chooses an icon of the American dream. Willy is representative of a class of people who lived like artists, whose product in a materialistic society is above all themselves. They carry on with their work wearing "a smile and a shoeshine." The play unfolds as Willy interacts with other characters whether real or imaginary, in real or psychic time.

Willy's chief trait is his denial of reality. Miller once said of Willy Loman that Willy cannot bear reality and is unable to change it and hence he keeps on changing his idea of reality. He slips into his idyllic past whenever faced with a harsh situation. He is an aging salesman. All his claims of selling big are exaggerated. He could not achieve material success after a lifetime of daily grind. Travelling from store to store, humiliating himself, he can't earn enough to pay his bills. Willy is compelled to work for Howard, the son of his old boss, who fails to appreciate Willy's experience and expertise. When Howard fires Willy, the latter feels worthless and discarded. He derives satisfaction from his brother's success. He keeps hallucinating about his brother Ben who is an adventurer, a true icon of the American dream. Ben has travelled to far off continents and hit upon a diamond mine. Willy imagines Ben beckoning to him promising unlimited wealth. He does not wish to face the unpleasant facts of his present life, one of them being Biff's failure to settle down. Willy's selective memory glosses over Biff's downfall and Willy only remembers the glorious moments of Biff's youth and also believes in the promise of a bright future for his son.

Willy's longing for natural, green and open surroundings symbolises his longing for a tranquil and less demanding life. It also shows man's affinity with nature whose appeal is long lasting in contrast to material possessions which cannot provide fulfilment for long.

Willy constantly shifts in time and place resulting in his arbitrary and angry behaviour. He ends up looking absurd and crazy to his employer, buyers and family. He refers to Biff as a lazy bum and a bright young man in the same breath. Although he adores Biff as a teenager, he is unable to communicate with Biff in the present. He forgets or chooses not to remember memories of a past affair until the end of Act II. In the restaurant, he harps on the memory of Biff flunking maths. His memories interfere with his present and they are disrupting his daily life. This eventually drives Willy to commit suicide.

Willy is not a pure victim of the materialistic American society. He is at fault as he has adopted only the glitter of the American dream whereas Charley, his neighbour, is grounded and his son Bernard has risen by dint of hard work. Willy replaces determination and hard work with false pride and delusion. As a result, his sons become directionless and their careers get derailed. Willy's quest of material success while being unaware of the wealth of relationships is another serious flaw in his personality. He lacks sufficient insight into his situation. He enjoys growing plants but underestimates the value of simple pleasures.

Willy is guilty of betrayal also. He not only betrays the ideals of the American dream but also his family. Willy betrays Linda by having an extramarital relationship. Linda seemingly is ignorant about the affair, but Biff is badly hurt on learning about the affair.

Willy has a fragmented self consisting of memories, recollections, and re-constructions of the past. He is going to pieces trying to make sense of his life. Willy not only remembers an event the way normal human beings do. Rather, he relives it, losing himself in the situation as if it is happening at that moment.

Willy is quite attached to Biff and is sure of his son's ability to achieve success that has eluded Willy so far. Biff miserably fails in the exam of life as he has inherited his father's flawed value system. Willy is guilty of passing on to Biff his phoney belief that it is important to be well-liked to create an impression. Apart from this he is haunted by an act of adultery that ruined his son's life.

By the end of the play, Willy is in turmoil as the gap between his dreams and reality widens. Here Miller treats Willy as a tragic hero. He remarks, "There is nobility, in fact, in Willy's struggle. Maybe it comes from his refusal ever to relent, to give up . . . (*Beijing* 27). Willy decides to kill himself as he wants to leave a mark at least while dying. His exit from the world would help the family with insurance money and the suicide may reinstate Willy in Biff's eyes.

10.4.2 Biff Loman

Biff represents Willy's idyllic past and promising future. Willy treats him like a trophy. Every time Willy dives into the past, Biff is there like a happy memory. Biff brightens up Willy's dreams of future. As a young footballer he has received so much adulation that he strays from his path. He gets the welcome of a hero at home and his peers vied for his attention. His Adonis like looks, inflated self and encouragement from his father become his undoing. Biff takes to stealing in his youth. He steals a football from the locker room but Willy ignores it and rather praises his son. It is not surprising that Biff's habit of stealing continues throughout his adult life.

Biff looks up to his father for everything. He follows his father's philosophy that anybody who is "well-liked" is bound to be successful. Like his father he pays more attention to appearances and he never questions Willy.

Biff's impression of Willy as an ideal father is destroyed after Biff's trip to Boston. When Biff comes to know about his father's affair, he rejects Willy and his philosophy. He accuses Willy of cheating on Linda and calls him "fake." As Biff's role model turns out to be fake, he loses balance and direction. He tries his hand at many professions but is never able to settle down. Having lost faith in Willy's grand fantasies of success, he despises his father. Biff never gets along with his father after this incident.

Biff has a love-hate relationship with Willy. However hard he tries to dissociate with his father, he cannot turn a blind eye to his father's deteriorating condition. Linda draws the attention of the boys to their father's suicide attempts. Overwhelmed, Biff again gets carried away by his father's delusions. Believing that he was a salesman, he goes to his former boss Oliver for a meeting. Despite waiting till evening, he doesn't get to meet Bill Oliver. To make matters worse, he steals Oliver's fountain pen. This meeting, however, turns out to be an eye opener.

Unlike Willy, Biff finally accepts the truth that they never spoke truth for ten minutes in Lomans' house. Biff is relieved of the burden of his father's expectations. He realizes who he

is and what he wants. Biff is no longer a willing participant in Willy's make-believe world. He openly refuses to live by Willy's philosophy any longer. Ironically, Biff acknowledges that he, too, is a "fake," and both Willy and Biff are ordinary people.

Biff has a soft corner for Linda and he acknowledges Linda's contribution as a homemaker. He does not like Willy's shouting and interrupting his mother. He feels ashamed when Linda rebukes him for abandoning Willy. Biff loves outdoors and working with hands. His experience of working on a farm proves satisfying. Biff loses his father in the end but he finds himself.

10.4.3 Linda Loman

Linda is a devoted wife and homemaker. She is always seen doing household chores. She loves Willy unconditionally and wants to protect him at all costs. Willy bullies her, shuts her up and feels irritated quite often but she bears everything patiently. She is also aware that Willy has been borrowing money from Charley to run the house but never mentions it. She is often seen mending her stockings which reminds Willy of his failure as a provider and also as a spouse.

She is a tough woman as she has sustained her family whereas Willy has begun to daydream. She is living with the knowledge of Willy's suicidal tendencies. She is furious when Biff and Happy abandon their father in the restaurant. She threatens to throw them out. She, however, is not able to stall Willy's slow movement towards death. She is ready to accord him dignity by not confronting Willy on his suicide attempts. Her love and support are not enough to change Willy's decision to kill himself.

In fact, Linda too subscribes to the same societal norms of material success which cost Willy his life. While mourning at Willy's grave, Linda declares that having paid their debts, her family is finally free.

10.4.4 Happy Loman

Happy Loman, younger son of Willy Loman, is moderately successful. He has a job, a car and an apartment. Like Willy he trades in exaggerated claims and unrealistic goals. He is an assistant's assistant but always tells lies about his position. He thinks himself to be more intelligent than his boss. His plan to start a business of sporting goods with his brother Biff is total bluff, still he encourages his brother to meet his former boss Bill Oliver.

Happy is good looking, a fact Willy is proud of. As a growing boy in Willy's imagination, he keeps telling Willy that he is losing weight. He exploits his good looks to the full. Happy is a womanizer. He seduces one woman after the other, especially fiancées of his bosses, to have a sense of victory and power over them. Still he feels hollow and unfulfilled. He gets quite lonely at times and wants to marry someone as devoted as his mother. As compared to Biff, he is more indifferent to his father's plight. He abandons his father in the restaurant to chase girls and does not regret his act at all.

As Willy always preferred personal charm to substance, Happy never grows up and always remains a teenager whereas Biff is enlightened towards the end of the play. He becomes aware of what he is and what he wants to do. Truth dawns upon him that they had been living a fake life. Happy does not show any signs of change. At Willy's grave, Happy vows to continue his father's pursuit of the mirage of success.

Minor Characters

10.4.5 Ben Loman

Ben Loman is the elder brother of Willy. In the play, he exists only in Willy's imagination or his past. As an adventurer and enterprising man, he is a symbol of the American dream. Willy keeps talking to Ben in his daydreams. Ben has the typical American streak if Willy's conversations with him are to be believed. Ben entered the jungle as a teenager and came out rich. He went to Alaska and Africa and found diamonds. The descriptions of his travels and success seem larger than life given Willy's tendency to exaggerate. Ben also urges Willy to come along and explore the world but Willy is too timid to join him.

Ben had deserted Willy to pursue his dream of material success completely disregarding his relationships. Still Willy idolizes him and wants his advice in parenting his sons. He introduces Biff to his uncle Ben who challenges Biff to a boxing match playfully. Ben beats the child through trickery. It shows the unscrupulousness that goes with being rich and successful.

Willy, in his imagination, consults Ben on his decision to quit the world. Ben asks him not to make a fool of himself. However, Ben relents and is ready to take Willy along on an unknown journey.

Miller does not portray Ben as a character in the real time. He appears in Willy's reveries only to endorse Willy's views and decisions.

10.4.6 Charley

Charley is Willy's next-door neighbour. He runs his own business and is doing well. He disagrees with Willy Loman on many issues. He does not believe that appearance can replace hard work or sports can compensate for studies. He is not impressed with Biff's athletic achievements. He gives the right direction to his son Bernard who eventually becomes a competent lawyer.

Charley is the greatest well-wisher of Willy Loman. He is kindhearted and lends money to Willy whenever he comes asking for it. He even offers a job to Willy in his own company but Willy is too proud to accept the offer.

Charley understands Willy perfectly. When Biff criticizes his father after his death, Charley defends Willy saying, "A salesman is got to dream, boy. It comes with the territory."

10.4.7 Bernard

Bernard is Charley's son. He is very studious and is looked upon as a bookworm by the Loman family. In the past Willy Loman used to think that Bernard is no match for his sons who are handsome and well-liked. Bernard keeps reminding Willy about Biff's loss in studies but Willy pays no attention to his warnings.

Bernard becomes a successful lawyer as he consistently works towards his goal. But he is quiet and modest about his success. He already has a family and is well settled. He seems to be leading a quality life.

When Willy happens to meet Bernard in Act II, Bernard reveals that Biff had changed drastically after he returned from Boston. He never enrolled in summer school to make up in the failed subject.

10.4.8 Howard Wagner

Howard Wagner is Willy's present employer and son of his earlier boss Frank Wagner. He is the face of the society driven by money. When Willy's sales decline, Howard shows him the door despite the fact that Willy had been working for the company for a long time. His obsession with recorder shows his love for machines. He conveys to Willy that business has to be run mechanically and it has no room for emotions.

10.5 TECHNICAL ASPECTS

10.5.1 Structure and plot

The greatest challenge for Miller in *Death of a Salesman* was to handle its instantaneous time shifts. Unlike his earlier more traditional plays, *Death of a Salesman* is modern and innovative. Miller longed to write a play that would "cut through time like a knife through a layer of cake or a road through a mountain revealing its geologic layers, and instead of one incident in one time-frame succeeding another, display past and present concurrently, with neither one ever coming to a stop" (Miller 131). According to Christopher Bigsby, Miller compared the structure of the play to geological strata in which different times are present in the same moment. The time scale of the play is really intricate revealing the inside and outside of Willy's life.

In *Death of a Salesman*, Miller chose a form that could simultaneously address its social and psychological concerns. The twenty-four-hour time of the play is divided into "social time" and "psychic time." The social time consists of the give and take of Willy with the real world which provides the context of the play. The psychic time on the other hand consists of moments when Willy's memories encroach upon his present. The structure of the play is built on the interaction between his social and psychic time. The scheme of events is psychological instead of chronological. Whenever Willy receives a setback in the current time, he retreats into his idyllic past. His past or imaginary time is reinforced by music, light and backdrop of trees and leaves. Sound has been effectively used to create Willy's nostalgic moments. Certain sounds are associated with certain characters. Flute accompanies Willy's memories, Ben has his own music, laughter triggers the memory of the Woman. On stage, curtains are made to function like walls so the characters can easily shift places. Light also plays its part in creating a dream like impression. In fact, the stage directions in Act I describe the house as follows: "An air of the dream clings to the place, a dream arising out of reality."

The play has a basic plot and contains standard dramatic elements such as exposition, rising action, conflict and climax. However, Miller's introduction of fluid time creates an unsettling atmosphere that mirrors Willy's mental state. Audience watch Willy going to pieces slowly. Miller succeeds in evoking a sense of tragic while portraying Willy. However, the play does not fall into the category of classical tragedy as its protagonist is from working class background. Unlike Greek tragedy, Miller does not follow the chronological unfolding of the plot.

10.5.2 Expressionism

The use of music, light and symbols to express extreme mental turbulence and emotional upheavals of characters is characteristic of modern expressionism which came into vogue in the 20th century. Modern playwrights found the realism of the 19th century inadequate and passive. They developed several devices to translate the hidden reality of a character into theatre. *Death of a Salesman* has been written in truly expressionistic tradition.

Willy Loman does not remember his past in the usual manner. On the contrary, his whole past comes back and severs him from the present. Miller makes use of symbols seamlessly combining the past and present of Willy lending the play a lyrical quality. Stockings is the symbol of Willy's infidelity and rubber hose represents Willy's suicidal tendencies. Flute, as explained above, transports Willy into his pleasant idyllic past.

Arthur Miller has divided the play into two Acts only. He has avoided extensive division of the play into acts and scenes to keep the unity of time and action intact. This has helped to establish an expressionist reality in which the world is seen through Willy's eyes subjectively. It is a world where past and present do not have strict demarcations, they mingle freely leading to chaos.

10.6 SUMMING UP

This unit acquaints you with the major themes, characters and techniques dealt with in *Death of a Salesman*. As part of the course "Reading Drama", it familiarises you with modern drama in the American context. Its critical study in this unit gives you an insight into the prevailing issues in the 20th century American society, introduces you to the new technologies, innovative forms and literary movements in the field of drama. It also enables you to differentiate between the classic and the modern drama.

10.7 Check your progress - 2

Answer the following in 50-100 words:

1. What is Linda's role in Willy's life?
2. How does Miller present time in *Death of a Salesman*?
3. Compare Biff and Happy Loman.
4. Describe how the structure of the play is made to present illusion and reality?
5. Who is Ben? Is he a real or an imaginary character? Give arguments to support your answer.

10.8 SUGGESTED READING AND REFERENCE

10.8.1 Suggested reading:

- *Arthur Miller* by Leonard Moss in *Twayne's United States Authors Series*
- *Arthur Miller: Portrait of a Playwright* by Benjamin Nelson
- *Death of a Salesman: Certain Private Conversations in Two Acts and a Requiem* with an introduction by Christopher Bigsby

10.8.2 References:

- *Timebends: A Life* by Arthur Miller (2013)
- *Salesman in Beijing* by Arthur Miller (1984)
- Introduction to *Death of a Salesman: Certain Private Conversations in Two Acts and a Requiem* by Christopher Bigsby

10.9 QUESTIONS FOR PRACTICE

10.9.1 Long Answer Questions

- a. Discuss Willy Loman as a pathetically tragic figure. What is the cause of his troubles?
- b. Discuss *Death of a Salesman* as a critique of the American dream.

10.9.2 Short Answer Questions

- a. How is Loman family different from its next-door neighbour Charley and his family?
- b. Comment on the symbolism of *Death of a Salesman*.



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BACHELOR OF ARTS (LIBERAL ARTS)

CORE COURSE (CC): HISTORY

SEMESTER IV

BLAB32403T

CONTEMPORARY INDIA

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PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

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Prof. Anita Gill
Dean Academic Affairs



BACHELOR OF ARTS (LIBERAL ARTS) CORE COURSE(CC): HISTORY

SEMESTER -IV (BLAB32403T) CONTEMPORARY INDIA

MAX. MARKS:100

EXTERNAL MARKS :70

INTERNAL MARKS:30

PASS PERCENTAGE : 35%

Total Credits:6

Course Objective:

The paper aims at creating awareness among students about political, economic, and social issues that emerged in the modern period and remain contentious even in the present. It helps to understand that past, present and future are interlinked in the historical process. The problems of the past and their solutions need to be revised in the light of present issues in the best interest of the people. In a sense history is a continuous process.

INSTRUCTIONS FOR THE PAPER SETTER/EXAMINER:

1. The syllabus prescribed should be strictly adhered to.
2. The question paper will consist of three sections: A, B, and C. Sections A and B will have four questions each from the respective sections of the syllabus and will carry 10 marks each. The candidates will attempt two questions from each section.
3. Section C will have fifteen short answer questions covering the entire syllabus. Each question will carry 3 marks. Candidates will attempt any 10 questions from this section.
4. The examiner shall give a clear instruction to the candidates to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.
5. The duration of each paper will be three hours.

INSTRUCTIONS FOR THE CANDIDATES:

Candidates are required to attempt any two questions each from the sections A, and B of the question paper, and any ten short answer questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

SECTION- A

- Unit 1 The Making of the Constitution
- Unit 2 The Planning Commission
- Unit 3 The Green Revolution and its Impact
- Unit 4 Industrial Growth and Private Enterprise
- Unit 5 Liberalization of Economy

SECTION- B

- Unit 6 Issues of Caste, Class and Creed in the Political Sphere
- Unit 7 State's Reorganization
- Unit 8 Social Movements: anti caste, feminist, minorities
- Unit 9 Issues in North East, Punjab, Kashmir
- Unit 10 India in the 21st Century

Suggested Readings

- Bipan Chandra, *India Since Independence*, Penguin, Delhi, 2003
- Ramachandra Guha, *India After Gandhi*, Harper, Delhi, 2007



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BACHELOR OF ARTS (LIBERAL ARTS)
CORE COURSE (CC): HISTORY

SEMESTER - IV
COURSE (BLAB31103T): CONTEMPORARY INDIA

COURSE COORDINATOR AND EDITOR: Ms. PARAMPREET KAUR

SECTION A

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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: CONTEMPORARY INDIA

UNIT 1: THE MAKING OF THE CONSTITUTION

STRUCTURE

1.0. Learning Objectives

1.1. Introduction

1.2. Constitutional Developments

1.2.1. Formation of Constituent Assembly

1.2.2. Check Your Progress I

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1.5. Suggested Readings

1.6. Questions for Practice

1.6.1. Long Answer Questions

1.6.2. Short Answer Questions

1.0 LEARNING OBJECTIVES

Students, after reading this unit you will be able to:

- Understand the formation and composition of the Constituent Assembly.
- Know about the making of the Indian Constitution.
- Learn about the salient features of the Indian Constitution.

1.1. INTRODUCTION

Students, this unit will examine the making of the Indian constitution. On 26th January 1950, the Indian constitution came into effect. By this act, the Dominion of India transformed itself into the Republic of India. The constitution had been drafted, discussed and finalized by the Constituent Assembly between December 1946 and December 1949. Comprising 395 articles

and 8 schedules, this lengthy document set out the architecture of the new state. The deliberations of the Constituent assembly were comparably long and painstaking. The Indian Constitution sets the rules to which the ordinary law of the country must follow. It gives down a framework for a democratic and parliamentary form of government. The Constitution contains the Fundamental Rights which guarantees against the encroachments by the state and Directive Principles which sets directives to the state to reforms and make them effective.

1.2. CONSTITUTIONAL DEVELOPMENT

A prominent role was played by Motilal Nehru in introducing a resolution in the Central Legislative Assembly on 8 February 1924, which asked to summon a representative Round Table Conference to recommend the protection of the rights and interests of the bottom minorities, the scheme of a constitution of India known as 'National Demand'. It was passed by a large majority in the Central Legislative Assembly-76 for and 48 against. This scheme was sent to the British parliament for its ratification. Moreover, this was the first time that the demand for a Constitution and the procedure for its adoption was clearly spelt out.

The British showed their discontent, to the 'National Demand'. In November 1927, they appointed the all-White Simon Commission to recommend the further constitutional changes. All the sections of political opinion in India condemned the disapproval of the British. Lord Birkenhead, Secretary of State, on 24 November 1927, while announcing the Commission in the House of Lords, repeated his challenge to the Indians: 'Let them produce a constitution which carries behind it a fair measure of general agreement among the great peoples of India.' He first challenged the Indians on 7 July 1925.

The Indians accepted the challenge. The Congress took the initiative and summoned an All Parties Conference in May 1928, and a Committee was appointed under the Chairmanship of Motilal Nehru to determine the principles of the Constitution for India. On 10 August 1928, Nehru Report presented an outline of a draft of the Constitution of India. It proposed for Upper Parliamentary System with fully responsible government and joint electorates with reservation of seats for minorities in the states. It also emphasized on securing the Fundamental Rights of the citizens of India. The Fundamental Rights included: right to freedom of conscience, profession, practice of religion; right to freedom to express opinions, assemble in peace without arms, form unions or associations; equal rights for men and women and right to free elementary education. Secularism was also included in the Fundamental Rights. Out of nineteen fundamental rights, ten were incorporated into the Constitution. The Nehru Report also recommended that the provinces should be redistributed on the linguistic basis.

After the Nehru Report, the Simon Commission was boycotted. There were mass demonstrations in the country. The Congress declared complete independence in December 1929, and launched a Civil Disobedience Movement in April 1930. Hundreds and thousands of people were on the streets and many were in jail. It was clear that the Indians wanted the Constitution to be framed as soon as possible. It was thought that this should not be done through

the conference method, but through the Constituent Assembly. In 1933, Jawaharlal Nehru for the first time through M.N. Roy, the Marxist leader, articulated the idea of Constituent Assembly.

In June 1934, the Congress Working Committee, rejected the White Paper presented by the British government on further constitutional reform. The Committee passed a resolution that resolved that the only satisfactory alternative is a constitution drawn up by a Constituent Assembly elected on the basis of adult suffrage or as near it as possible. After 1934, the demand for the formation of a Constituent Assembly was repeated and the demand was included in the Congress manifesto for the elections of 1936-37. The Congress won seven out of eleven provinces and formed ministries. However, the meeting of the Congress Working Committee held on 27-28 February 1937, at Wardah, decided to accept the office and also addressed the legislators at Faizpur Congress and demanded for the Constituent Assembly as soon as possible.

The Convention of Congress legislators and AICC members was held at Delhi from 19-20 March 1937, and it was presided by Jawaharlal Nehru. Nehru asked them to work for a '*panchayati raj*', framed by a Constituent Assembly, and also to frame a grand *panchayat* of the nation, elected by all or people. Nehru also asked the members to clear the way for the Constituent Assembly, although the constitution must go, lock, stock and barrel. In July 1937, Nehru, impatiently again, demanded the legislators to introduce the resolutions to reject the present Constitution and formation of Constituent Assembly. The Working Committee of the Congress, in August, accepted the draft prepared by Acharaya Kripalini and sent to Congressmen in the Provincial Assemblies. At session between August and October 1937, Congress provinces- Bombay, Madras U.P., Bihar, Orissa, Central Provinces, North-West Frontier Province and Sind passed the resolution which demanded the repeal and replacement of the 'Government of India Act', 1935 by the Constitution for the independent India, and it should be framed by the Constituent Assembly elected on the basis of the adult suffrage. A resolution framed by the Constituent Assembly, for the replacement of the Government of India Act 1935, by the Constitution was introduced in the Central Legislative Assembly on 17 September 1937. S. Satyamurthi, the Congress leader introduced it, urged the British government to grasp the hand of friendship extended by Mahatma Gandhi. The same demand was repeated in Haripura session of the Congress in February 1938.

After the outbreak of the Second World War, Congress ministries resigned in protest against their being made a party to the war without their opinion or consent. During this time, the ministries passed resolutions in the legislative assemblies which demanded that India should be declared an independent nation and give her right to frame her own constitution. After Nehru, now Gandhiji was enthusiastic about the Constituent Assembly. He said the democratic *Swaraj* lies only in Constituted Assembly.

In the meeting of the Congress Working Committee from 15 to 19 April held at Wardha, the discussion between Gandhiji and Jawaharlal Nehru brought out Gandhiji's outstanding qualities of foresight and pragmatism. Jawaharlal Nehru decided that the British government must first declare India independent and then call a Constituent Assembly, but Gandhiji felt that the assembly could be called the first and be left free to decide on the issue of

independence. As it happened, and not for the first time, Gandhiji's views were closer to the actual turn of events.

The 'August Offer' was an offer made by Viceroy Linlithgow in 1940 to secure Indian cooperation in the war. For the first time, the British tried to concede the framing of the new Constitution. Lord Linlithgow also proposed that after the war, a Constitutional Assembly can be set up, but how it will be constituted by direct or indirect election based on adult or restricted franchise or by nomination, was not cleared. In India, the August Offer was rejected by all the major political parties. In December 1940, Congress launched a mass Civil Disobedience Movement to protest against the party made by the British without their consent. In March 1942, Winston Churchill, the Prime Minister of Britain dispatched Stafford Cripps, a Labour Party member of a war cabinet, to India with a task of making a Constitution for India and for the first time the procedure of setting a Constituent Assembly was discussed. This proposal was a great advance in securing the position of British in India. The Indians were given the liberty to frame their own Constitution. The idea of the Constituent Assembly was accepted, and its modalities were discussed. The Cripps' mission was to appease the Congress with its proposals. With the failure of Cripps' Mission, the National Movement and the British again confronted each other. The AICC resolution of 8 August 1942 asked the British to 'Quit India' and exhorted the Indians to 'Do or Die' and the provisional government of free India would evolve a scheme for a Constituent Assembly. At last, the British realized that the time of final negotiations with Indians have arrived. Therefore, after the conclusion of the war in Europe in May 1945, a White Paper on India was issued, followed by the abortive Simla Conference in June-July in 1945.

In July 1945 in the British elections, the Labour Party won, and it provided a new opportunity for a fresh start. On 19 September 1945, Lord Wavell, the Viceroy, announced the policy of the new government in India. He also promised to form a Constituent Assembly immediately. On 19 February 1946, the British government declared to send the Cabinet Mission to India to resolve the whole issue of independence and Constitution making.

The Cabinet Mission on 24 October 1946, the Cabinet Mission arrived in India and had prolonged discussions with the Indian leaders. The Cabinet Mission failed to secure an agreement and announced its own scheme on 16 May 1946. It recommended direct elections based on adult franchise for making of the Constitution. But any step would lead to unacceptable delay in the formulation of the Constitution. Therefore, the decision was taken that the newly elected Legislative Assemblies of the provinces would elect the members of the Constituent Assembly on the basis of one representative for one million population. The Muslims and the Sikhs would also elect their quota based on their population. There were many details about the procedures and suggestions about powers of the provinces and Unions. There were important provisions related to the grouping of the provinces into sections A, B, and C. Section A was the "Hindu Majority" provinces which consisted of Madras, Bombay, U.P., Bihar and the Central Provinces and Orissa. Section B and C Punjab, NWFP and Sindh in the west and Assam and Bengal in the east are the provinces of "Muslim-majority." The Cabinet Mission proposed that after the meeting to elect the chairman and completing the formalities, the Constitution

Assembly should be divided into sections. First, the provincial representatives in the meeting of their respective sections should decide the Constitutions of the Constituent provinces and whether they wanted to adopt any group Constitution. After the completion of this process, the members of all the provinces and princely states would meet again to settle the Constitution of the Union. The Union of India had to deal with defence, communication, and foreign affairs.

The Congress was against the Cabinet Mission. It opposed the scheme and wanted the Constituent Assembly to be sovereign as soon as it would come into being. Nevertheless, Congress decided to accept the scheme, and try to work it, as they felt that the rejection could again delay the freedom of India. The Muslim League also rejected the scheme. But the League opposed the Constituent Assembly before and after its formation.

1.2.1. FORMATION OF THE CONSTITUENT ASSEMBLY

The total membership of the Constituent Assembly was 389 of which 296 were representatives of the British India and, 93 represented the Indian princely states. However, there were only members from British India in the Constituent Assembly. In July-August 1946, the elections were held. Congress won 199 seats out of 210 seats in general category. From Punjab, it won 4 Sikh seats out of 3, 3 of the 78 Muslim seats, 3 from Coorg, Ajmer-Merwara and Delhi. The total tally of Congress was 208 and the Muslim League won 73 Muslim seats out of 78.

The talented persons were needed for the making of the Indian Constitution. So, Gandhiji suggested sixteen names for inclusion in the Congress list. Thus, thirty members who were not in the Congress list were elected on the Congress ticket. Muslim League failed to stop the elections of the Constituent Assembly. So, they started focusing on refusing to join its deliberations. Jawaharlal Nehru as President of the government and the Congress continued to make conciliatory gestures but to no avail. Therefore, the decision of the First session of the Constituent Assembly was taken, and it was announced on 9 December 1946.

As the Viceroy, Lord Wavell, was reluctant to call the Assembly, Congress insisted the Assembly to function, regardless of those who want to stay away. Nehru spoilt the desire of Wavell, to recruit the provisional president of the Assembly and issue invitations in his own name to the members to attend the first session of the Assembly. Dr. Sachchidanand Sinha, became the provincial President and issued the invitations on the name of the Secretary of the Constituent Assembly. By doing this, Nehru wanted all to see the independence of India from British rule. It was a great achievement of the Congress, especially of Nehru. The Constituent Assembly for independent India was not only dependent, being autonomous, but on being seen as autonomous.

The First Session of the Constituent Assembly was held on 9 December 1946. Now, India's independence was not very far. To decide, the working of the constitution within which the government and the people of India had to function was transferred and assumed by the Indian people with the involvement of the Constituent Assembly. 207 members attended the first session. The Muslim League refused to be the part of the deliberations. As a result, 76 Muslim members did not attend the session and four Muslim members of the Congress attended the

session. Dr. Rajendra Prasad was elected as the permanent Chairman of the Assembly on 13 December, and later he was designated as the President. Jawaharlal Nehru presented Objectives Resolutions in the Assembly on 13 December 1946 and was debated till 19 December 1946. But, the Assembly decided to postpone the discussion so that the members of the Muslim League and the Princely States would join the next session of the Constituent Assembly. When the members of Muslim League did not attend the next session of the Constituent Assembly on 20-22 January 1947, without any wait, the Objectives Resolution was passed. The third session of the Constituent Assembly was held from 28 April to 2 May 1947 and still, the Muslim League was not its part. The Mountbatten Plan was announced on 3 June 1947, according to which India was to be partitioned. It was totally opposite to the perspective of the Constituent Assembly. As Cabinet Mission Plan was to compromise with the League, was also in vain. After the independence of India on 15 August 1947, the Constituent Assembly became a sovereign body and also doubled as the legislature for the new state. It was the responsibility of the Constituent Assembly to frame the Constitution and make ordinary laws. The effective working of the Constituent Assembly was possible only because of the enormous preparations, organizational skills and hard work of the leading members. Its function as a legislature and its large size was never a hurdle in its effective performing. The work was organized into five stages: first, committees presented reports on issues, second: B.N. Rau, the constitutional adviser, prepared an initial draft based on the reports and his research into the constitutions of other nations, third: the drafting committee, chaired by B. R. Ambedkar, drafted a constitution was published for discussions and comments of the public, fourth: the draft constitution was discussed, and amendments proposed and enacted, fifth: Constitution was adopted.

The Congress played a critical role as it asked a Committee of Experts that till 4 July 1946, prepare material and proposals for the Constitution. The leader of the Committee was Nehru, and the other members were Asaf Ali, K.T. Shah, D.R. Gadgil, K.M. Munshi, Humayun Kabir, R. Santhanam and N. Gopalswamy Ayyangar. On 20 and 21 November 1946, AICC ratified the Objectives Resolutions and the Congress Working Committee drafted by Nehru, and was introduced in the first session of the Assembly. It was continued till the adoption of the Constitution. The discussions were done thoroughly with the Congressmen and examine each provision in their party forums and also active participation in the Assembly debates. Dr. Ambedkar said that every detail in the Constitution ensured its goodness, and it was thoroughly scrutinized. In Objectives Resolution of Nehru, the philosophy and basic features of the Constitution are described. He remained the active participant in the process of the formation of the Constitution. Jawaharlal Nehru also brought members of the princely states into the Constituent Assembly because the separate electorates were removed and the reservation of seats for religious minorities were also ended. Dr. Rajendra Prasad because of his impartial nature and dignity, became the President of the Constituent Assembly. The Congress brought enormous benefit to India by adopting a completely non-sectarian, appointing the best leaders, striving for consensus, not imposing its will. It also laid the foundation of the independent India and with its hard work and efforts of the people led to the freedom of India.

1.2.2. CHECK YOUR PROGRESS I

1. How many members were there in the Constituent Assembly of India?

2. Write few sentences on first session of the Constituent Assembly of India?

3. What do you know about August Offer?

1.3. SALIENT FEATURES OF THE INDIAN CONSTITUTION

The Indian Constitution sets the rules to which the ordinary law of the country must follow. It gives down a framework for a democratic and parliamentary form of government. The Constitution contains the Fundamental Rights which guarantees against the encroachments by the state and Directive Principles which sets directives to the state to reforms and make them effective. To give India a parliamentary system, a serious debate, was held. The panchayat based indirect elections and the decentralized government were not supported. With the support of Gandhians especially, Shriman Narayan, the decision was taken in the favour of a centralized parliamentary constitution. Many members, who committed intellectually or emotionally to socialism, also supported the parliamentary form of government. Most of the members did not desire about socialism to be embodied in the constitution, but framing of a democratic constitution with a socialist bias, to allow the nation to become as socialist as its citizens desired or as its needs demanded.

a. ADULT SUFFRAGE

The word suffrage means the right to vote. The Congress was demanding for adult suffrage since long time. Some were of the opinion to confine the adult suffrage to panchayat elections at the village level and indirect elections to higher level bodies. But the overpowering consensus favoured the direct elections. It was not a small achievement in a male oriented, upper-caste dominated, largely illiterate society to bring adult suffrage. There were many social groups who were unaware of their strength and remained unaffected by any political change, but after the introduction of the adult suffrage they realized that they were in a position to flaunt their power. There was an impact of the adult suffrage on the new groups at the lower level of the social hierarchy. They learnt how to experiment with the different political parties and the representatives to secure their needs. The adult suffrage forces the elitist of the candidates to seek the favour of the vote of the humblest voter.

b. PREAMBLE

The basic philosophy of the Constitution is found in the Preamble. The Preamble is based on the 'Objectives Resolution, which was drafted and introduced in the Constituent Assembly by Jawaharlal Nehru in its first session on 13 December 1946 and adopted by the Assembly on 22 January 1947. The Preamble states that the people of India in the Constituent Assembly made a declaration to secure to all citizens, 'Justice-Political, social and economic; Liberty to express, belief, thought, faith and worship; Equality of status and opportunity, and to promote Fraternity to assure the dignity of the individual and the unity of the nation.' The concept of Justice was given the priority deliberately, as compared to liberty, equality, fraternity along with social and economic as compared to political. Perhaps, the concept of social and economic justice was considered 'the most fundamental norm' of the Constitution of India.

c. FUNDAMENTAL RIGHTS AND DIRECTIVE PRINCIPLES

Fundamental rights are justiciable and Directive Principles are not, so they are less important. The Universal Declaration of Human Rights contains two sets of rights, and in the constitution, the first set is included under fundamental rights and the second, under Directive Principles. The reason of distinction between the two is very simple. Under the Fundamental Rights, the state guarantees political and civil liberties, and only secure economic and social justice over a period of time. The Directive Principles are not justiciable, means a citizen could not go to a court of law in case of denial. But the states, while making the laws, enjoined to apply these percepts. Through this, when the rights contained in the Directive Principles were incorporated into laws, it could become justiciable.

There was a sharp break with the British Government in India on the decision to have written rights, a list of rights, a declaration of rights in the Constitution. The British frequently rejected Indian demands for a list of rights. But the Indians, because of their colonial experience, suspected the government and preferred rights to be written down. They wanted to follow international trends as well. After the suppression of human rights in Germany, the Atlantic Charter, Soviet Union, and other places, and the United Nations Charter had been drawn up and the United Nations Human Rights Commission was established.

The Fundamental Rights were included in the Constitution and was imperative, because the first Constitution of India Bill that was framed in 1895 had contained this concept in roots, and was figured particularly in the Motilal Nehru Report of 1928. Moreover, it not only represented 'advanced democratic thought' but was also 'a convenient way of setting at rest the fears of minorities.' The British claimed that they stayed in India to protect the minorities, otherwise they would be suppressed by the majority. The Congress knew that the assertion was totally false.

The Assembly doubted the need for fundamental rights because they were in dilemma that how to do distinction between the rights and how could it be granted like political rights, and how to grant socio-economic rights to the state. Then the Assembly found a solution and borrowed a concept from the Irish Constitution as 'Directive Principles of State Policy.'

These were made non-justiciable. The idea of creating justiciable and non-justiciable, was suggested by the Sapru Report of 1945 (though not in the context of positive and negative rights).

The seven Fundamental Rights are incorporated in the Articles 12 to 35 in the Constitution. The rights are: the right of equality, the right of freedom, the right against exploitation, the right to freedom of religion, cultural and educational rights, the right to property and the right to constitutional remedies. These rights, primarily, protect individuals and minority groups from arbitrary of the state. But three of the articles protect the individual against the action of other private citizens: Article 17 abolishes untouchability, Article 15(2) says that no citizen shall be denied access to shops, restaurants, wells, roads, and other public places on the basis of his caste, race, religion, sex, or place of birth; and Article 23 prohibits forced labour and human trafficking. The state had to protect the rights of citizens from the encroachment by other citizens. Thus, the state not only avoid an encroachment on the citizen's liberties, but it had to ensure that other citizens did not do so either. A citizen, whose fundamental right has been violated or breached, could apply to the Supreme Court or High Court for relief, and this cannot be suspended except in case of declaration of Emergency. The courts have the right to decide whether these rights have indeed been infringed and to employ effective remedies including issuing of writs of habeas corpus, mandamus, prohibition, quo warranto and certiorari.

The Directive Principles, as stated earlier, are non-justiciable. They are the guidelines or instructions issued to future legislatures and executives. The Constitution favoured Directive Principles and Fundamental Rights to be read together and there should be no conflict between the two, but many serious differences of interpretation have arisen many times on this issue. Till 1971 the courts gave greater importance to Fundamental Rights than to Directive Principles, but Indira Gandhi brought 25th and 42nd Amendments in 1971 and 1976 gave importance to Directive Principles. However, in 1980, in the landmark judgement in *Minerva Mills Limited vs. Union of India*, the Supreme Court ordered that both Fundamental Rights and Directive Principles are equally important and one cannot be sacrificed for the other (AIR 1980 SC 1789).

The soul of the Directive Principles is contained in Article 38 which lays down that 'the State shall strive to promote the welfare of the people by securing and protecting as effectively as it may a social order in which justice, social, economic, and political, shall inform all the institutions of the national life.' Thus, the state secure adequate means of livelihood of all citizens, equitable distribution of material resources, and concentration of wealth and means of production is avoided. Securing equal pay for equal work for men and women. Securing suitable employment and healthy working conditions for the workers, children and pregnant women. Making effective provisions for securing the right to work, education and public assistance in case of unemployment, old age, sickness, etc. The Directive Principles expressed the hope that there would be compulsory primary education of children up to the age of fourteen years, and also desired for the objective of a common civil code. The state also took steps to organize village panchayats, provide free legal aid, improve standards of living and nutrition, and promote educational and other interests of Scheduled Castes and Tribes and other weaker sections. The

state was also asked for the protection and improvement of the environment, forests and the wild life of the country. The state shall endeavor to promote international peace and security, maintain just and honorable relations between nations, foster respect for international law and treaty obligations and encourage settlement of international disputes by mutual agreement.

It is clear after reading the Preamble, the Fundamental Rights and the Directive Principles that the main objective of the Constitution was to create an egalitarian society in which individual freedoms were secure. It did not abandon one ideal for the preservation of the other principle. Moreover, the relationship between individual liberty and social change was rightly envisaged as dynamic.

d. A SECULAR STATE

In the 42nd Amendment of the Indian Constitution, enacted in 1976, declares India to be a sovereign, socialist, secular and democratic republic. In 1973 the Supreme Court held the secular character of the Constitution to be one of the basic features of the Constitution. The Fundamental Rights prohibit the discrimination on grounds of religion. All persons are entitled to freedom of religion and conscience and also the right to freely profess, practice, propagate, and manage the religious affairs. Freedom to pay taxes to promote any particular religion. The Fundamental Rights also give freedom to attend the religious instructions and religious worship in any educational institution. Right to culture and education and securing the rights of the minorities and their right to establish and administer educational institutions.

Some people compared the term secularism borrowed from the western content to the Indian concept of Secularism. According to them, in the west, the struggle between the Church and the state led to the separation of the two. The Church used to decide on religious rituals, and the state regulated the secular affairs. But in India, In India, secularism became a part of the struggle of nationalist forces against communal forces that wanted to use religion for political purposes and divide the emerging nation on the basis of religion.

Nehru put it best: We call our state a secular one. The word ‘secular,’ perhaps, is not a very happy one and yet, for want of a better, we have used it. What exactly does it mean? It does not obviously mean a society where religion and conscience, including freedom for those who may have no religion. It means free play for all religions, subject only to their not interfering with each other or with the basic conceptions of our State.

e. FEDERAL STRUCTURE OR UNITARY

The Indian Constitution is both federal and unitary in nature. Perhaps, the Assembly was the first constituent body to embrace it from the beginning and called it ‘cooperative federalism.’ The characterization is done on the basis of the increased interdependence of the federal and regional governments without destroying the principle of federalism. The circumstances led the Constituent Assembly to have a federal constitution with the strong Centre. A strong Central government was needed to handle the situation of communal riots that accompanied the

Partition, to meet food crises, to settle refugees, maintain national unity and promotion of social and economic development, which was thwarted under the British rule.

However, before the fact of partition was accepted, the Assembly was not in the favor of a strong Central government. The Union Powers Committee of the Assembly, presided by Nehru, provided very weak central government in its first report. But when on 3 June 1947, the final decision of the partition was announced, the Constituent Assembly considered itself free from all the restraints imposed by the Cabinet mission of 1946, and moved towards a federation with a strong centre. There are certain distinctive features of Indian federalism.

The Constitution clearly specified the legislative powers of Unions and the states and minimized the disputes between them. It contains three lists of subjects: Union List, State List and the Concurrent List. The subjects in the Union list can be legislated upon by the union parliament, in State List only by the state legislature and the subjects in Concurrent list come within both state and union. But in case of conflicts between the state and the union legislation, the Union law prevails over the state law.

The Union Law has financial powers. The state depends on the Union for the financial aid for discharging their functions, limits the federalism. Nevertheless, in the constitution, federalism has withered away. The demands and agitations for the formation of the new states and for financial powers to the states, proved that the federal impulse is alive. The constitutional arguments are often occasioned by political contest and not by constitutional anomalies. There is a balance between the federal and unitary features of the Constitution, as much as the political balance in India as it is of constitutional developments, court judgement and the like.

1.3.1. CHECK YOUR PROGRESS II

1. Define the term, Adult Suffrage?

2. Write a few sentences on Preamble.

3. Mention a few Fundamental Rights?

1.4. SUMMARY

Students, in this unit we have discussed the making of the Indian constitution. On 26th January 1950, the Indian constitution came into effect. By this act, the Dominion of India transformed itself into the Republic of India. The constitution had been drafted, discussed and finalized by the Constituent Assembly between December 1946 and December 1949. Comprising 395 articles and 8 schedules, this lengthy document set out the architecture of the new state. The deliberations of the Constituent assembly were comparably long and painstaking. The Indian Constitution sets the rules to which the ordinary law of the country must follow. It gives down a

framework for a democratic and parliamentary form of government. The Constitution contains the Fundamental Rights which guarantees against the encroachments by the state and Directive Principles which sets directives to the state to reforms and make them effective.

1.5. SUGGESTED READINGS

Bipan Chandra, *India After Independence 1947-2000*, India: Penguin Books, 2000.

Granville Austin, *The Indian Constitution: Cornerstone of a Nation*, 2nd ed, New Delhi: Oxford University Press, 1998.

S.K. Chaube, *Constituent Assembly of India: The Springboard of a Revolution*, New Delhi: Manohar Publishers, 2000.

1.6. QUESTIONS FOR PRACTICE

1.6.1. LONG QUESTION ANSWERS

1. Discuss the making of the Indian constitution?
2. Write about the critique about the constituent assembly which drafted the constitution?

1.6.2. SHORT QUESTIONS ANSWERS

1. Write few sentences on third session of the Constituent Assembly of India?
2. What do you know about August Offer?
3. Define the term, Secular State?
4. Comment on Directive Principles?
5. Who was Viceroy Linlithgow?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: CONTEMPORARY INDIA

UNIT 2: THE PLANNING COMMISSION

STRUCTURE

2.0. Learning Objectives

2.1. Introduction

2.2. The Context

2.3. Models of Economic Planning

2.4. Five Year Plans 1951-1965

2.5. Economic Plans 1966-1991

2.5.1 Check Your Progress I

2.6. Five Year Plan 1992-2014

2.7. The NITI Aayog

2.7.1 Check Your Progress II

2.8. Summary

2.9. Suggested Readings

2.10. Questions for Practice

2.10.1. Long Answer Questions

2.10.2. Short Answer Questions

2.0 LEARNING OBJECTIVES

After reading this unit, you will be able to:

- Understand the context of the founding of the Planning Commission for development.
- Learn about the Five-Year Plans and their aim.
- Know the outcome of the plans for development.
- Look at different perspectives on economic development.

2.1. INTRODUCTION

Students, the Planning Commission of India was established in 1950 as an organization to encourage and supervise the social and economic development of the newly independent country. The main objective of Planning Commission was to improve the standard of living of the citizens by maximizing the potential of the available resources and productive capacity. It aimed to increase the per capita income, national income, agricultural and industrial production. The Planning Commission was a non-constitutional and non-statutory body and was responsible for devising five-year plans for social and economic development through efficient use of material and human resources for self-reliance. The Planning Commission had several concerns like education, health, infrastructure, industry, rural development, water resources, finances and furthering science and social welfare.

2.2. THE CONTEXT

Prime Minister Jawaharlal Nehru had a certain ideological position influenced by ‘Stalin – Marxism and firmly insisted in socialism as an integral element in a democracy. It was with this perspective that the Planning Commission was established on 15 March 1950. Nehru was the Chairman of the Commission a Deputy Chairman and several Ministers and senior officials of the government were also included in it. Representatives from the fields of economics, science, agriculture, industry and commerce were other full-time members. The Planning Commission defined economic planning in accordance with national priorities, devised the path of action and policy measures to reach the goal of economic growth and self-reliance. Nehru recognized that India was still a nation –in-the-making and not a structured nation. He was also clear about the immense diversity and variety in the country, yet subordinated all issues to that of economic development for national unity.

The setting up of the Planning Commission was a long thought out process which was initiated even before the independence of India was achieved as early as 1934 M. Visvesvaraya, a well-known engineer and politician, spoke of the necessity of planning for a country in his book *Planned Economy of India*. In the same year N.R. Sarkar, president of the Federation of Indian Chamber of Commerce and Industry (FICCI) also voiced the opinion that for coordinated development of the country a comprehensive plan covering all aspects of the economy should be devised. In 1938 Nehru who also championed planned economic development for India set up the National Planning Committee (NPC) which drew up an elaborate plan and gave recommendations for economic development. In 1944 the Bombay Plan was presented by leading industrialists like JRD Tata, GD Birla and others which underlined a significant role of the state for economic progress. The Planning and Development department was set up with Sir Ardeshir Dalal as Chairman. The Interim government established the Planning Advisory Board in 1946. At the time of independence in 1947 Pandit Nehru set up the Economic Programme Committee and served as its chairman. Eventually the Planning Commission was founded in 1950. It functioned till 17 August 2014 when it was dissolved and replaced by the NITI Aayog.

2.3. MODELS OF ECONOMIC PLANNING

There are different models of economic planning which follow specific strategies to reach their goal. In 1944 the 'Gandhian Plan' was enunciated by Acharya Agarwal which had the aim to raise the material and cultural level of the people and improve basic standard of living. It underlined scientific development in agriculture and growth of cottage industries with focus on employment-oriented planning rather than production oriented. In 1945 M.N. Roy put forward the People's Plan while in 1950 Jai Prakash Narayan gave a Sarvodaya Plan for development. After 1947 first the Harrod Domar model was followed which focused on increase in national income and production. This strategy believes that economic growth is linked to the level of savings and capital output ratio. In the second Five Year plan the Nehru-Mahalanobis two sector model was adopted – which encouraged the consumer goods sector and capital goods sector and highlighted the need for investment in heavy industry for rapid economic development. This was a long-term strategy which continued up to the fifth Five Year Plan. It called for larger role of public sector. Dr. Manmohan Singh, as Finance Minister in the Narasimha Rao government, introduced the LPG strategy – Liberalization, Privatization and Globalization – for economic planning. This opened up the private sector, allowed foreign investment and promoted export to boost economic growth. The Planning Commission thus, followed different strategies of planning to move towards the goal of economic development for all.

2.4. FIVE YEAR PLANS 1951-1965

After independence India launched a programme of Five-Year Plans to optimize the use of resources and achieve rapid economic growth. The formulation of the Five-Year Plans considers the views of the Chief Ministers, Steering Committees and working groups which included representative from all concerned ministries and state governments, academicians, private sector and NGO's. The Planning Commission reviews all the plans and recommendations and prepares a detailed plan for approval by the government.

The Nehru government saw economic development as an essential component for national integration and consolidation. In 1947 it promoted the construction of dams, established fertilizer plants, cement factories, electric plants and heavy machinery units as symbols of national endeavor. To integrate the policies of social justice and social equality with economic development was equally important. During the national movement also, socio economic change for all levels of society had been part of the agenda after attaining freedom from colonial rule. In order to formulate a programme for planned economic development in the country the planning Commission was established. This ensured that there was proper distribution of resources to all states and reflected the concern of the government for all regions and their future. Planning was a powerful instrument that could be used for economic and social development.

The first Five Year Plan (1951-56) was launched on 1 April, 1951. It was focused on the economic sector, rehabilitation of refugees, agricultural development for food self-sufficiency and checking inflation. Five IIT's (Indian Institute of Technology) were also set up under this plan. The second Five Year Plan (1956-61) had 'socialistic goals' for a self-reliant and

self-generating economy. Five steel mills were set up in Bhilai, Durgapur and Rourkela. Basic and heavy industry was the focus with hydroelectric power projects. The plan however, had to be cut back due to shortage of foreign exchange. The third Five Year Plan (1961-66) initiated Panchayat elections, set up electricity boards in the states and Secondary Education boards to extend education and the democratic process.

The first five Year plan focused on the immediate refugee crisis following independence and dislocation caused by partition. With the second and third Five Year Plans the Nehru – Mahalanobis strategy of development was put into practice. The basic element was rapid development of heavy and capital goods manufacture in the country, mainly through the public sector. It was seen as critical for self – reliance. It allowed for foreign aid and investment to undertake massive projects. The plan also promoted labour intensive cottage industries for producing consumer goods. This was believed to be a solution for unemployment as well. The Nehru-Mahalanobis strategy also emphasized growth with equity, and therefore, wanted to distribute the economic resource and activities. Rapid growth was seen as the answer to the economic situation. The Planning Commission allocated greater resources to the backward states in the form of grants and loans on the basis of a formula which assigned an important criterion to the degree of backwardness. In the planning of public sector enterprise balanced regional growth was an important consideration. Bihar and Madhya Pradesh gained the most, Assam, Himachal Pradesh, Jammu and Kashmir and the north east state also benefited in infrastructural development.

The Nehru – Mahalanobis strategy believed that state supervision of development was necessary for ensuring regional balance, preventing concentration and monopoly, protecting small industries and channeling resources according to planned priority. This required the establishment of a proper control and licensing authority for which the Industrial Development and Regulation Act (IDRA) was passed in 1951. Thus, began a system of license, quota rules and regulation, over which the bureaucrat and politician's nexus came to have a stronghold. They obviously resisted all attempts for any later change or modification.

The first three Five Year plans initiated a long-term impact on the economy and progress was soon visible. The growth in the GNP was 4% between 1951-1965 which was four times when compared to the early 20th century. It was even comparable to the then developed nations. A rise in saving and investment was seen increasing the possibility of further investment and growth. Agricultural growth took place with extension of cultivation, irrigation, community development at village level and agricultural research. The annual growth in agriculture was 3%, more than times higher than the early 20th century. Yet food shortage persisted and had to be imported. Industrial growth during this period was around 7% with a threefold increase in production. The dependency on the advanced countries was reducing with this programme the Planning Commission formulated. In 1960's the Planning commission formulated the concept of the poverty line. Below this line were those people whose food consumption was not providing the minimum level in terms of calories. The intention was to uplift those below the poverty line.

2.5. ECONOMIC PLANS 1966-1991

From 1966-69 the Planning Commission paid attention to agriculture in annual plans to meet the food crisis faced by the country. A New Agricultural Strategy was devised with high yield seeds, rise in use of fertilizers, soil conservation and irrigational development. This new agricultural strategy led to the 'Green Revolution' and food surplus for the first time. This new programme was continued in the Five-Year Plans from 1969-74 for growth with stability. In this plan 14 banks were nationalized. This period had a slogan '*garibi hatao*'. Despite a growth of 3.5% in the GDP however, inflation could not be controlled. The Five-Year Plan for 1974-79 was terminated by the Janata government. It had intended to create a national highway system and move ahead towards self-reliance and eradication of poverty.

The Sixth Five Year Plan (1980-85) framed by the Planning Commission aimed to expand the economy to combat poverty. It was also concerned about the over population and recommended family planning measures to check the rapid growth in the population. This period saw a growth of 5.5% in the GDP. The seventh plan (1985-90) saw a 6% growth with policies and programmes to increase food production, employment and manufacturing. The Jawahar Rozgar Yojna was introduced to combat the 3-year drought in several parts of the country. The phase from 1989-91 was marked by political uncertainties and annual plans were formulated by the Planning Commission. There was an ongoing debate on a shift to privatization and liberalization.

The achievements of the Planning Commission from 1965 to 1991 are generally not seen as being considerable but must be viewed in the backdrop of formidable issues both domestic and foreign. The genocide in East Pakistan led to an additional 10 million refugees in the country; war with Pakistan in 1971, drought in 1972, 1974 and also in 1987-88; oil prices also shot up in the 1970's causing havoc. Continuous efforts were made to improve balance of payments, creation of food security, alleviation of poverty and reduction of dependence on imports. India weathered through this storm. The food situation improved with a 35% increase in production by the early 1970's while food imports dropped from 10.3 million tonnes to 3.6 million tonnes. Food security became a reality, while rural employment and income was maintained despite the drought. Indian economy achieved greater self-reliance and autonomy. Fiscal deficit was brought down and foreign exchange increased. Capital good manufactures rose while import of foreign equipment decreased. This was the period in which the stock market now became significant, becoming a new feature in the economy. The ONGC or Oil and Natural Gas Commission were also set up. The economy under the guidance of the Planning Commission was steadily improving.

However, the need for reform was becoming visible to continue on the path to economic progress in the long term. Some structural weaknesses had been identified which were becoming critical by the 1990's. There was need for adjustments in planning and economic reforms. Three kinds of problems had emerged in the time since economic planning had been initiated. Firstly, were the protections, to the industrial base through import restrictions which were now seen as excessive and were causing technological backwardness, inefficiency and lack

of innovation. The license – quota system was stifling the industry, investment had decreased and the public sector had become stagnant and ineffective. There was not only control but also intervention from time to time with negative consequences. Secondly, the development path was slow to respond to global changes. Since entry of multinational companies (MNC's) and foreign capital was restricted it was not possible to utilize new opportunities. Exports had also started to decline. The third issue was related to political imperatives. There were new demands on resources, government expenditure was rising with increase in subsidies, grants, salaries, loan waivers and over staffing. The gap between saving and investment was constantly widening leading to a low GDP. Foreign exchange reserves were also declining. Reform was long overdue.

An attempt at reform was initiated in the 1980's with liberalization measures, deregulation of industrial licenses and fewer restrictions on large enterprises. They were path breaking but minor. By 1984 there was further deregulation, exchange rate flexibility and partial removal of import controls. The need for economic reform was recognized but in the face of persistent opposition from vested interests and ideological opposition from the orthodox left, reforms were obstructed.

A process of reform began in 1991 under the guidance of Dr. Manmohan Singh, the then Finance Minister in the Narasimha Rao government. It involved fiscal correction, liberalization of trade and industrial controls, dismantling of the licensing system, abolition of the MRTP Act, and reforms in public sector, capital market and foreign investment in an attempt to free the economy from internal controls. The reforms were creditable at first but the problems and challenges remained.

2.5.1. CHECK YOUR PROGRESS I

1. When was the Planning Commission established?

2. What was the objective of the Planning Commission?

3. Explain the Harrod Domar model for Economic Planning.

4. What were Five Year Plans?

2.6. FIVE YEAR PLAN 1992-2014

The Eighth Five Year plan (1992-97) focused on economic growth and saw a 6.78% growth in the GDP. Agriculture and allied sector, trade, manufactures, export – import, all showed an increase. In 1997-2002 came the ninth plan with its agenda of growth with social justice and equality. It aimed at regional balance, productive employment and more self-reliance, with a better quality of life for the people. In this period the service sector grew by 7.8%, industry by

4.5% while the GDP was 5.4%. The tenth plan of the Planning Commission (2002-07) was concerned with literacy, forest cover, poverty and economic growth. The poverty ratio declined by 5%; forests increased by 25% and the literacy rate rose to 75%. In this period economic growth was at 8%. The eleventh plan (2007-12) had a target of 9% annual growth rate to propel Indian economy in the world with the country poised for a historic breakthrough. The economy continued with an average growth rate of 8%, farm sector increased by 3.7% and industry by 7.2%. The goal had been 4% for agriculture and 10% for manufacture and production. The Planning Commission had aimed at inclusive development. They were concerned with gender equality, environmental sustainability as well as education and skill development. This period saw a rapid economic growth. The target for the 12th Five Year plan was 8% with an agenda of fast, sustainable and inclusive growth. Agriculture was expected to increase at 4% per annum and manufacturing by 10%. There was also a scheme to increase electric power by 80,000 million watts. This plan was derailed with the dissolving of the Planning Commission on 17th August 2014.

As a result of the economic reforms of 1991 the Indian economy saw an unprecedented growth rate of 7.5% in the eighth plan. Gross domestic savings averaged over 23% by 1997. Industrial production rose to 12.8% by 1995-96. As the capital goods sector and small-scale industries bounced back. The fiscal deficit improved, foreign investment bore fruit, and liberalization of the stock market produced positive results. Critics of the economic planning however, claimed it was anti-poor, although poverty levels saw a significant fall. The economic reforms of the Planning Commission were designed to put India on a higher growth curve. Social services and rural development schemes were expanded and even inflation was curbed from 17% in 1991 to below 5% in 1996. The reform and initiatives were quite successful on the whole but issues of public sector performance, public savings, labour reform and fiscal deficit remained problematic. But 1996-97 a slowing down of the economy could be seen. This slowdown was partly due to political instability, coalition governments with divergent views and economic sanctions on India because of the nuclear tests. The reform process needed to continue with the same goals of self-reliance, industrialization, removal of poverty with new strategies and positive response to internal and external changes and experiences.

2.7. THE NITI AAYOG

The Planning Commission was replaced by the NITI Aayog (National Institute of Transforming India) on 1 April 2017. NITI Aayog was to prepare a fifteen-year vision document, a seven-year vision action plan and a three-year action plan. It was a ‘think tank’ of the Government of India to frame policy and provide direction. The objective of the NITI Aayog was to design a long-term strategy and program for development. It intends to encourage national and international partnerships, extend education and facilitate research. It is to function as a resource centre for knowledge and skills for innovation and research.

The Prime Minister is the Chairperson of the NITI Aayog which has a governing council with the Chief Ministers of all states and Lt. Governors of Union Territories. The Aayog

is supervised by a CEO and has full time experts in agriculture and public health. The NITI Aayog is an advisory body and unlike the Planning commission cannot impose policies on states, nor approve projects or allocate funds. It works to create policy to involve and foster participation in the economy. Its programmes include AMRUT, Digital India, Atal Innovation Mission, Medical Education reform, Swachh Bharat, Land Leasing law, Agricultural reforms and monitoring of states in health, education and water management.

The NITI Aayog is different from the Planning Commission in its purpose, structure and authority. The Planning Commission was an extra-constitutional body with secretaries appointed by due government process. It had a ‘top-down’ approach and imposed policies on states, even allotting funds to projects approved by them. The states participated in annual meetings as observers. In the NITI Aayog on the other hand a member come from a wider sphere and includes all Chief Ministers and governors of Union Territories as equal and full participating members. The CEO is appointed by the Prime Minister and the Aayog serves in a spirit of cooperation between all states. The NITI Aayog is an advisory body or ‘think tank’. It focuses on a ‘grassroots level’ of planning and does not impose policy or allocate funds. It is seen as an effort at cooperative federalism.

2.7.1. CHECK YOUR PROGRESS II

1. What was the Nehru – Mahalanobis strategy?

2. What is NITI Aayog?

3. Who is the chairperson of the NITI Aayog?

2.8. SUMMARY

Students, the Planning Commission with its Five Plans was successful at increasing national income from 1.2% in the early 20th century to 3% in 1950-2000. In 1970-80 the annual growth rate of national income was 4% which increased to 5% in 1990-2000. The per capita income also increased from Rs. 254.7 in 1950-51 to Rs. 1741.3 in 1980-81, further to Rs. 5365.3 in 1990-91 and Rs. 16563.5 by 2000-2001. This was a considerable achievement. Developments in agriculture were also significant and showed an upward trend of food grain output from 510 lakh tonnes in 1950 to 176.4 million tonnes in 1990 and 1950 to 176.4 million tonnes in 1990 and 211.9 million tonnes in 2001. Industry was an important sector of the economy and a large investment was made in it boosting production to new levels. The Planning Commission gave attention to transport and communication too. The mileage of roads and railways increased with higher outlay in the Five-Year Plans. The considerable progress in the economy led the self-reliance and self-sufficiency specially in food and consumer goods. The focus on basic industries like power, steel, fertilizer went a long way in contributing to the development in the economy.

This progress led to employment generation, specially in the first nine 5-year plans, creating job opportunities in small scale industry, self-employment and service sector. However, employment lagged behind with the increasing population and unemployment was rising at a rapid rate since 2000. The Five-Year Plans achieved a significant growth in power and public utilities. Hydro, thermal, nuclear and wind energy was developed in the five-year plans. The Planning Commission met its aim to bring about economic stability with efforts to check inflation. The Commission was able to increase capital formation to 21.3% in 2000-01. Planning also brought about development of science and technology to meet its goals with new institutions, research and technical education. An important sector of planning was the growth of social services – education, health and family planning, welfare of labour and backward classes. The Planning Commission made substantial provision of about 21% in the ninth plan for development of these services which are essential for the economically backward who need state support. The objective of social justice was met by the Planning Commission with emphasis on reduction of poverty, bridging the inequalities in wealth distribution, creation of jobs and raising the standard of living.

The Planning Commission achieved its objectives though not in totality and has been criticized on several aspects. Poverty and inflation remain persistent issues in the country, unemployment and unbalanced regional development also continue to plague the nation. Concerns of social justice and equality also mar the progress that has been made in the last seven decades. The Planning Commission and its five-Year Plans have mixed results. Targets have fallen short while some plans have even been disappointing. The economic planning still has to control rise in price, decrease unemployment, carry out infra structure development and improve efficiency in administration. There has been no substantial improvement in the standard of living, production is marked by a slow growth, while investment is still inadequate. Critics are of the view that India lacks a strong economic foundation. There has been debate on the economic needs of the country and even on the structure and functioning of the Planning Commission. The fact that the Planning Commission reduced the autonomy of states was raised, the departure from original functions and the neglect of a large section of society has been pointed out in these debates. Crucial decisions were taken by a handful of people in relation to their political ideology. It is hoped that the NITI Aayog with its new structure and objectives will change the economy in a positive way.

2.9. SUGGESTED READINGS

Bipin Chandra, *India Since Independence*, India: Penguin Books, 2007.

2.10. QUESTIONS FOR PRACTICE

2.10.1. LONG ANSWER QUESTIONS

1. Examine the kind of economic planning suggested by different individuals in the mid 20th century.

2. What was the outcome of the Five-Year Plans from 1951-65?
3. Evaluate the economic planning from 1966-1991. What were its main achievements?
4. Assess the performance of the Five-Year Plans of 1992-2014. Did India meet the targets?
5. Write a short note on the NITI Aayog.
6. Discuss the achievements and limitations of the Planning Commission.

2.10.2. SHORT ANSWER QUESTIONS

1. Who was M. Visvesvaraya?
2. What changes did Dr. Manmohan Singh introduce as Finance Minister?
3. What was the Jawahar Rozgar Yojna?
4. Why did the economy slow down by 1996-97?
5. Who all form the NITI Aayog?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: CONTEMPORARY INDIA

UNIT 3: THE GREEN REVOLUTION AND ITS IMPACT

STRUCTURE

3.0. Learning Objectives

3.1. Introduction

3.2. Early Developments after 1947

3.3. The Context of the 1950's – 60's

3.4. The Beginning of the Process

3.4.1. Check Your Progress I

3.5. The Results of the New Agricultural Strategy

3.5.1. Check Your Progress II

3.6. Summary

3.7. Suggested Readings

3.8. Questions for Practice

3.8.1. Long Answer Questions

3.8.2. Short Answer Questions

3.0. LEARNING OBJECTIVES

After reading this unit, you will be able to:

- Understand the process which led to the Green Revolution
- Know the nature of the Green Revolution.
- Learn the impact of this development.

3.1. INTRODUCTION

Students, the Green Revolution was one of the most technological transformations of the 20th century. It was a process by which the food shortage in post – independence India was transformed to self-sufficiency in food grains. The programme behind this change was the new Agricultural Strategy which ushered in technological reforms from the mid 1960's. The Green

Revolution not only increased the food capacity but had far reaching impact on agrarian classes, ecology and even politics. It created a debate on the political and economic factors and even the timing of the programme. The new strategy was led by M.S. Swaminathan who took the initiative of Norman Borlaug to increase productivity in the developing world. Swaminathan is referred to as the 'Father of the Green Revolution'. In this strategy modern crop varieties were developed by agricultural research with support of international research centers and spread across the developing world.

The term Green Revolution was used by William Gaud of the USAID in 1968 who said the new developments in the field of agriculture are a new revolution – a green revolution. The new agricultural programme was first developed in Mexico in 1950 with help from the United Nations, US government and the Rockefeller Foundation. For the US this was a significant experiment in the use of science and technology for agricultural development. Mexico attempted to increase its agricultural productivity in irrigated areas to resolve issues of food shortage. The Rockefeller Foundation partnered with them in innovating new varieties and US universities participated in research. The government created the Mexican Agricultural Programme (MAP) to raise agricultural output. They were successful in increasing wheat production by 70% in 1951, 80% in 1965 and 90% by 1968. Mexico became the model for the Green Revolution to be extended to Africa and Asia. The success of the program was due to the high yield seeds, use of fertilizers, improvement of soil, and control of weeds and pests. These new varieties dramatically increased crop yields and vastly improved food supplies. The Green Revolution also triggered off broader economic change.

In 1960 the Ford Foundation and Rockefeller Foundation set up a rice research institute (IRRI) in Philippines and developed the IR8 variety which revolutionized rice production. Philippines became a rice exporter for the first time. China and Brazil also brought about a transformation in agricultural output through similar programmes. These successful experiments became the fore runners for the Green Revolution in India.

3.2. EARLY DEVELOPMENTS AFTER 1947

The 'Nehru years' from independence to 1964 focused on institutional reforms and cooperative farming in agriculture and ignored technological advancement, according to critics. In fact, Nehru understood the importance of agriculture and from the first Five Year Plan invested in this sphere. The first plan had an outlay of 31% on irrigation and agriculture while in the next plans it ranged from 20-24%, a considerable proportion by any standards. Massive irrigation projects were completed like Bhakra Nangal, and a scientific infrastructure was created Research laboratories, agricultural universities, fertilizer plants were set up as the 'temples' of modern India. By the early 1960's however, the possible agricultural growth with extension of cultivated area had reached its peak and the benefits had been exhausted. At this juncture Nehru moved toward technological improvements to further expand cultivation and production from land. A new programme called the IADP (Intensive Agricultural Districts Programme) was initiated in fifteen districts, one in each state, as an experiment. These districts were selected on the basis of

their geographical advantages and were part of the third Five Year Plan. It was thought that it would be extended to other areas once it proved its worth. The foundation of the Green Revolution was thus, laid by Nehru in his lifetime.

3.3. THE CONTEXT OF THE 1950's – 60's

The annual growth in agricultural output between 1949 and 1965 was about 3 per cent. By the early 1960's the agricultural growth had started to slow down and began to stagnate. At the same time the population was increasing at the rate of 2.2 per cent per annum since independence and exerted pressure on agriculture with its increased demand for food. The proposed plan for industrial boost also needed agricultural support via raw materials. The increased demand led to rise in prices of food grain. To meet the food shortage and the rising prices the government had to import food grain. Under the PL – 480 scheme India agreed to import grain from the USA in 1956. In 1956-57 3 million tonnes of food grain were imported and by 1963 it had increased to 4.5 million tonnes.

The situation in the early 1960's had become critical. The two wars with China (1962) and Pakistan (1965), combined with drought in 1965-66 resulted in decline of agricultural output of food grain by 20 per cent consequently, food prices shot up by 20 per cent a year between 1965-68. India now imported 10 million tonnes of food grain to meet the crisis. There was fear of famine in Bihar and Uttar Pradesh, adding to the economic issues. At this juncture the US threatened to stop its commitment to export grain to India. This pressure was being exerted on India by President Johnson of the US so that a policy favorable to America was accepted by India, he knew of the desperate dependence India had on US food grain.

It was essential at this point for India to become self-reliant and self-sufficient in food. Prime Minister Lal Bahadur Shastri and the Food Minister C. Subramaniam decided that the New Agricultural Strategy be implemented in earnest. Indra Gandhi who became Prime Minister in 1966 too supported this programme for developing Indian agriculture and alleviating the issues of food shortage. The World Bank appointed Bell Mission also recommended this move.

3.4. THE BEGINNING OF THE PROCESS

The rationale for the Green Revolution was to tackle low food production, frequent famines and shortage of finances. It was to increase production by use of HYV's, artificial fertilizers and pesticides a goal that had seen dramatic success in Mexico and other countries. The selection of HYV's had great potential and could be adapted to diverse environments. They were resistant to biotic stress like insects and pests and abiotic stress including drought and flooding. It was intended that the Green Revolution would reduce malnutrition, poverty and prices. The short-term objective was to meet food shortage and long-term aim was to modernize agriculture, create infrastructure, boost industrial development, develop employment opportunities and lead to scientific innovation and research.

Government investment in agriculture rose considerably, almost doubled between 1968-1973. The new inputs included high yield variety seed (HYV), chemical fertilizers and pesticides, agro machinery like tractors, pumps; soil testing facilities, agricultural education and credit to areas that had good natural and irrigational advantages. The HYV's popular in the 1960's had some specific features. They were mostly dwarf varieties, had improved response to fertilizers, relied heavily on irrigation, matured in a shorter time span and were resistant to disease. They produced a better quality and quantity of crops. HYV's were largely for wheat, corn, rice and cotton. Some of the wheat varieties were Kalyan Sona and Sonalika which was obtained by cross breeding wheat were obtained by cross breeding wheat with other crops. About 10% of the total cultivated area, 32 million acres, was selected for this new strategy. The Agricultural Prices Commission was established in 1965 to ensure the farmer received sustained remunerative prices. The farmers too were ready to make investment in their land in this scenario adding to the total gross capital formation in agriculture. As a consequence, irrigated areas increased from 1 million to 2 ½ million in the 1970's, electric and diesel pumps from 0.4 to 2.4 million sets in the 1960's, tube wells from less than a lakh to 4.6 lakhs in number and tractors from around 30,000 to 1.4 lakh. The use of chemical fertilizers, nitrogen, potassium and phosphorus rose of 3 lakh metric tonnes to 23½ lakh metric tonnes by 1970-71.

3.4.1. CHECK YOUR PROGRESS I

1. What is meant by 'Green Revolution'?

2. Identify the main features of the 'Green Revolution'.

3. Which early developments helped to bring about agricultural improvement?

4. What was the IADP?

3.5. THE RESULTS OF THE NEW AGRICULTURAL STRATEGY

The Green Revolution led to increased crop production, decreased import of food grains, contributed to industrial growth, created rural employment and benefitted agrarian classes. Within a short time, the results of the new strategy were visible. By 1970-71 food grain production had increased by 35% compared to the late 1960's. In tonnage the increase was from 89 million tonnes in 1964-65 to 112 million tonnes by 1971 – 72. Food import consequently declined from 10.3 million tonnes to 3.6 million tonnes from 1966 to 1971. Availability of food rose from 73.5 million tonnes to 99.5 million tonnes during this period. By 1978 food availability was 110.2 million tonnes by 1984 it was 128.8 million tonnes. India was not only self-sufficient in food grains but had a buffer stock of more than 30 million tonnes. This made it possible for India to deal with severe drought in 1987 – 88 without foreign aid and even export grain to countries facing food shortages. The Green Revolution had arrived. By the end of the 20th

century India was producing 200 million tonnes of food grains. The production in 1951 was only 51 million. The Green Revolution ushered in a growth rate of 3 per cent which was higher than the population growth rate of 2.1 per cent. This was a major achievement for the country. In this period about 51% increase in production was due to expansion of agriculture and 49% as a result of increase in yield. Both area and yield were essential for maintaining growth. Between 1967-68 and 1989-90 about 80% of the growth of agricultural output was due to increase in yield. This was a direct consequence of the new strategy with high yield variety seeds, chemical fertilizers, mechanization and agricultural education.

The Green Revolution also generated a rapid increase in the marketable surplus of grains. A number of factors contributed to this process. The early areas where the new strategy was implemented were already high yield areas so additional output was marketed. The labour per unit output declined in these areas making the surplus available for marketing. The government also supported the marketing and distribution process, making it viable. The setting up of *mandis*, later Mandi Boards, Food Corporation of India with its large storage facilities, made this marketing and distribution possible. The market surplus as a result of the Green Revolution enabled the government to procure food grain and build up a considerable food stock. It was a major step towards self-reliance in the country.

Critics however, were not convinced of its positive outcome and pointed out that it led to increased regional disparities and was not beneficial to small and marginal farmers who became entrapped in a cycle of debt. Dry areas were in fact, ruled out for the Green Revolution and the use of technology was only by the large landowners. Thus, leading to class polarization and increasing the gap between the small and large farmer.

The Green Revolution was at first believed to heighten regional disparities. In fact, critics of the New Agricultural Strategy felt that the areas already well-endowed were being given additional resources thus, creating further inequality. However, recent research by scholars has found that over time the Green Revolution actually spread to other regions and brought prosperity. They look at three phases of the Green Revolution – a first from 1962 – 65 to 1970-73 in which Punjab, Haryana and western Uttar Pradesh showed sharp increase in wheat production; the second phase up to 1980-83 saw a shift to HYV of rice and a Green Revolution took place in eastern UP, Andhra and coastal Karnataka and Tamil Nadu; Maharashtra and Gujrat also saw increased output; in the third phase of the Green Revolution till 1992-95 the new strategies spread to Bihar, Bengal, Assam and Orissa as well. Growth was also seen in Madhya Pradesh, Rajasthan and the southern region. There was thus, eventually an all India growth in agricultural output at 3.4% a year. The growth pattern saw more diversification and reduced regional inequalities.

In the initial stages of the Green Revolution, specially in the 1970's, it was thought that it was creating class polarization in the villages. Critics believed that the wealthy peasants and capitalist farmers were gaining at the cost of the small peasant and tenants who could not make investments in their land. In fact, they said a process of de-peasantization was taking place taking place. They also argued that the introduction of agricultural machinery displaced

agricultural labour and caused a decline in wages of labour too. They were of the view that a process of impoverishment was taking place which could lead to unrest among agrarian classes and even revolt. 'The Green Revolution will lead to the Red Revolution' was their slogan. These arguments seem unfounded as an effort was made from the initial stages to ensure that small farmers and poor farmers had access to the new technology and participated in the new agricultural strategy, even the labour concerns had been addressed. A series of programmes were devised to reach out to the rural groups, including the poor farmers and the landless. Schemes like Rural Works Programme (RWP), SFDA, MFAL, CSRE, EGS were launched to give small and marginal farmers long term loans and subsidies. Millions of farmers benefitted from these institutional credit organizations like Agricultural Refinance Corporation in addition to nationalized banks.

As a result of the government efforts small farmers too had productive assets. Peasant with a small landholding of 5 or less acres cultivated 21% area, had 31% of irrigational facilities and used 32% of the fertilizers. They had received 33% of the total agricultural credit. The Green Revolution had thus helped them to produce 26% of the value of agricultural output with 21% of the cultivated land. It enabled the marginal farmer to survive. It was actually the large land owners who faced consistent decline in the agricultural areas while holding of small farmers remained stable or even improved. In 1980-81 98% farmers who held 25 acres or less of operational holdings cultivated 77% of total area and cultivators with holdings of 10 areas or less were 88% of total operational holding and cultivated 47% of the area. There was no class polarization as such that could be identified with the Green Revolution. Tenants and sharecroppers may have been at a disadvantage as rents increased and also owners started to organize farming on their own to get more benefits of the increased output. Mostly all the agrarian classes were beneficiaries of the Green Revolution.

In fact, the doubt that mechanization of agriculture would lead unemployment of labour was also unfounded. In 1969 a study on the labour found that the demand for labour had risen as had wages due to cropping intensity. The number of agricultural labourer's in the Punjab for instance increase three times between 1961-81. This demand was filled largely with large scale migration of workers from eastern UP and Bihar. This rate of growth in labour demand however, could not be sustained for long.

The Green Revolution actually created new employment opportunities through agro industries, trade in agricultural produce, warehousing for agricultural needs like fertilizers, pesticides and even food grain. This growth gave a boost to the transportation industry and maintenance of agricultural implements, trucks, tractors, pumps, and other equipment created further employment. With a increase in the income of farmers due to the Green Revolution there was a parallel increase in the demand of masons, carpenters and other skilled workers. The additional demand however, could not meet the requirements of employment for the rapidly growing population: all categories of people, directly or indirectly, benefitted from the Green Revolution and interstate disparities in agricultural wages also began to decline from the 1970's onwards.

The Green Revolution also had a negative impact. In the long term the legacy of the Green Revolution is assessed as detrimental. Although crop output increased for food grains, the non-food grains were largely left out of the new Agricultural strategy – pulses, oilseeds, jute, tea and sugarcane did not benefit as wheat and rice did. In fact, the use of HYV's was only of food grains and some extent cotton. In retrospect we find that only 40% of the cultivated land was under the impact of the Green Revolution. The eastern parts if the country were mostly excluded, while the western and southern areas had less impact of the new strategy. Unemployment also became an issue in rural areas and increased with time.

The most detrimental impact was on the soil, water and air - leading to health issues and environmental degradation, even loss of biodiversity. The many fold increase in water consumption for irrigation purposes has led to water scarcity and a lowering of ground water levels. It is estimated that 91% of water is used in the agricultural sector. Rice needs flooding for growth and cereals take 50% of the water consumed. The Green Revolution favoured water intensive crops and led to a series of issues related to water availability. In fact, irrigation was allocated larger resources than even agriculture with high investments in irrigation.

The excessive and unrestricted use of chemical fertilizers and pesticides had poisoned the soil, water and environment. Heavy use of pesticides pollutes groundwater and air and even enters the food chain. It destroys the beneficial organisms in the earth leading to poor quality of soil. The heavy metals in the fertilizers are released into the environment with harmful effects. Crops are sprayed with chemicals, sometimes 2-3 times to protect them from insects and disease. These chemicals are a serious health hazard and damage kidneys, liver and lungs. They also cause neurological, endocrine and reproductive disorders. In areas with high use of chemicals still births, delayed development and even intellectual disabilities have been on the rise. Concerns have also been linked to environmental degradation with increased morbidity over the last few decades. Most farmers do not use protective gear like masks and gloves, increasing the effect of chemicals on the body. Men and women are both exposed to these chemicals from an early age with harmful consequences for health. Even the banned DDT causing severe harm is used illegally. Stubble burning is adding to the increasing problem caused by fertilizers and pesticides. The Green Revolution thus, had serious long-term consequences for both agriculture and society. Social activists are of the opinion that the Green Revolution caused greater financial and sociological problems for the people.

3.5.1. CHECK YOUR PROGRESS II

1. What was the PL 480 Scheme?

2. List the major outcomes of the Green Revolution.

3. Which programmes were started to reach out to rural people?

4. What was the negative impact of the Green revolution?

3.6. SUMMARY

Students, the Green Revolution was a new strategy to boost agricultural output and make India self-sufficient in food. It was a successful programme that brought about not only food sufficiency but had an impact on all categories of society by generating employment and contributing to increase in wages with a large proportion of the population dependent on the agricultural sector it had a major impact on the agrarian classes and improved rural poverty levels. The agricultural growth did bring prosperity in each agrarian group but was not equitable making the wealthy farmers even more rich. The gaps within the peasantry thus increased. By the 1990's the programme had slowed down as investment in infrastructure, and irrigation necessary for agricultural growth was reduced. The initial investment by the government which had bought about the Green Revolution could not be sustained over or long period of time.

On the whole, the Green Revolution was successful in introducing new methods of farming in India. The new high yielding varieties of food grain led to greater output from land. This enabled cultivators to prosper by selling the surplus in the market. New insecticides and pesticides protected crops and contributed to enhanced yield. The expansion of irrigation also added to the growing surplus. The shift to agriculture machinery made it possible for farmers to work more efficiency and over a longer area too. On the downside the continuous, almost overuse of chemical fertilizers and pesticides affected the fertility of soil, they are water soluble and dissolved easily, and caused degradation of soil by killing bacteria and micro-organisms useful for growing crops. They also made the soil alkaline and rendered it unfit for agriculture. The excessive utilization of ground water through tube wells had led to a considerable reduction in the water table making it not only difficult to bore new tube wells but has also impacted the water available for people.

There has been criticism of the Green Revolution in the context of its negative environmental impacts, excessive use of chemical fertilizers excessive use of grown water without adequate rejuvenation – is taking its toll. The practice of agricultural subsidies this for fertilizers and electric power are also adversely affecting the country's economy. The optimum agricultural growth without the parameters of the Green Revolution have probably been reached. Output and growth rates have plateaued with known technology and it is creating new problems related to ecological degradation and even health. The Green Revolution led to extension of cultivation at the cost of the forests triggering a massive deforestation in many parts. At the same time experts point out that if new techniques are not utilized we would require an impossible increase of 66% in existing cultivable area, which would wipe out the forests too. In fact, the green revolution is actually instrumental in saving the forest from further encroachment. What is needed is a balance between modern technology a sustainable agriculture and not an opposition to agricultural growth. It is essential to educate farmers about proper use of fertilizer and pesticide after due soil testing, to check wasteful irrigation practices and retain a healthy

ecological balance. What is required is further scientific innovation and discovery through research to achieve sustainable growth. The Green Revolution is a success story which needs to be replicated in new forms and ways.

A new Green Revolution is needed – Green Revolution 2 with organized ways of farming for sustainable practices. Alternative agricultural techniques may be the solution, like the Zero Budget Natural Farming (ZBNF), climate resilient ZBNF, which has been initiated in 6 million hectares in Andhra Pradesh and 8 million hectares in Karnataka. Interventions deviate from the natural laws of balance and functioning that is unsustainable with adverse effects. Any new strategy has to be eco-friendly and sustainable. Several suggestions have been put forward to achieve this new mile stone in agriculture - such as plant protection programmes, irrigation, education and research activities, crop insurance, land development programmes, credit at low interest, natural pesticides with neem and chillies, among others.

The Government of India introduced the Green Revolution Kishonnati Yojana in 2005 with the aim of boosting the agricultural sector. Eleven schemes were initiated among them the National Food Securing Mission (NFSM), Subsidy on Agricultural Extension (SMAE), National Mission for Sustainable agriculture (NMSA) and Mission for Integrated Development of Horticulture (MIDH). Increased mechanization is also on the agenda. An ‘Evergreen Revolution’ is the need of the times, in which productive output is increased within a safe environment, with economic viability and is socially sustainable. Integral to this ‘revolution’ would be the coming together of technical development with economic principles. Improvement in agriculture should not be at the cost of the environment or human health, a balance has to be achieved and maintained.

3.7.SUGGESTED READINGS

Bipan Chandra, *India Since Independence*, India: Penguin Books, 2007.

3.8. QUESTIONS FOR PRACTICE

3.8.1. LONG ANSWER QUESTIONS

1. Discuss the problems that India faced with regard to food in the Post-1947 period.
2. Describe the preparation made for initiating the Green Revolution.
3. Identify the immediate results of the Green revolution.
4. Comment on the long-term impact of the Green Revolution.
5. How did the Green Revolution impact the different agrarian classes?

3.8.2. SHORT ANSWER QUESTIONS

1. What was the New Agricultural Strategy?
2. What were the ‘temples of modern India’?
3. How much did food grain production increase in the Green Revolution?
4. Did the Green Revolution increase regional disparities?
5. Explain ‘class polarization’?
6. Was the small farmer also part of the Green Revolution?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: CONTEMPORARY INDIA

UNIT 4: INDUSTRIAL GROWTH AND PRIVATE ENTERPRISE

STRUCTURE

4.0. Learning Objectives

4.1. Introduction

4.2. Industrial Growth and Private Enterprise

4.2.1. Industrial Policy Resolution, 1948

4.2.2. Industrial Policy Resolution, 1956

4.2.3. Monopolies and Restrictive Trade Practices Act, 1969

4.2.4. Check Your Progress I

4.2.5. The Industrial Policy Statement of 197

4.2.6. The Industrial Policy Statement of 1977

4.2.7. The Industrial Policy Statement of 1980

4.2.8. Liberalization of Industrial Policy Regime, 1980's

4.2.9. Check Your Progress II

4.3. Summary

4.4. Suggested Readings

4.5. Questions for Practice

4.5.1. Long Answer Questions

4.5.2. Short Answer Questions

4.0. LEARNING OBJECTIVES

After reading this unit you will be able to:

- Understand why independent India followed the mixed economy framework for the growth of its industrial sector.
- Examine the features of the Industrial policies adopted by India for the growth of the Industrial sector between 1947-1991.

- Critically assess the movement of Indian Industrial policies from stringent control over private sector to policies towards industrial liberalization.

4.1. INTRODUCTION

Students, India immediately after its Independence introduced the first Industrial Policy Resolution of 1948 with an objective to achieve rapid industrial growth and development. The system of economy visualized was a mixed economy comprising public and private sectors. Following, the adoption of the Constitution and the socio-economic goals, the Industrial Policy was comprehensively revised and adopted in 1956. But development experience during the 1960s suggested that this policy was unsuitable for achieving rapid growth and transformation of economy to a developed economy. To meet new challenges, from time to time, it was modified through statements in 1973, 1977 and 1980. In this module an attempt has been made to assess the need and features of various industrial policies and amendments adopted between 1947-1991.

4.2. INDUSTRIAL GROWTH AND PRIVATE ENTERPRISE

Students, post-independence India was deeply influenced by the Soviet Union which had state run industries and an era of socialism with large role of the government in production of goods and services. Capitalism was associated with exploitive tendencies and having vested interests. At the time of independence, the private sector was virtually non-existent in India except the Tatas and the Birlas. The requirement of capital for the country's industrial growth was far beyond the capacity of these industrial houses. Accordingly, it became essential for the state or the government to achieve industrial growth through public sector undertakings. It was realized that the objective of socialistic pattern of society could be achieved only through a comprehensive development of public sector enterprises. Saving and investment were identified as the key determinants of economic growth. High interest rates were offered to promote saving, while investment was induced through subsidies and capital grants. Industries like of electricity generation, transport and communication, engineering goods, telecom, and iron and steel industry were exclusively put in the domain of public sector and were identified as of strategic significance or were to be developed on priority basis because they provided an infrastructural base for the overall spread of industrialization in the economy. The Indian government after Independence had put barriers to foreign trade and foreign investment. This was considered necessary to protect the producers within the country from foreign competition. Industries were just coming up in the 1950s and 1960s and competition from imports at that stage would not have allowed these industries to come up. Thus, India allowed imports of only essential items. The role of public and private sector in the industrial growth has been guided by various industrial policies of the government that has been announced from time to time in view of changing priorities from 1948 onwards. Let us discuss them in detail.

4.2.1. INDUSTRIAL POLICY RESOLUTION, 1948

The Industrial Policy Resolution of 1948 marked the beginning of the evolution of the Indian Industrial Policy. The resolution was issued on April 6, 1948. It made clear that India is going to have a mixed economic model. In other words, the resolution accepted the importance of both private and public sectors for the development of the industrial sector. The 1948 Resolution also accepted the importance of the small and cottage industries as they are suited for the utilization of local resources and are highly labour intensive. The 1948 Resolution divided the Industries into following four broad categories:

- **Strategic Industries (Public Sector):** Owing to the strategic need of country's defence, the three industries of arms and ammunition, atomic energy and rail transport could not be left in the hands of private entrepreneurs. Therefore, these industries were monopolized by the central government.
- **Basic/Key Industries (Public-cum-Private Sector):** 6 industries viz. coal, iron and steel, aircraft manufacturing, ship-building, manufacture of telephone, telegraph and wireless apparatus, and mineral oil were designated as "Key Industries" or "Basic Industries". These industries were to be set-up by the Central Government. However, existing private undertakings in this field were allowed to continue for ten years after which the government would review the situation and could acquire any existing undertaking after paying compensation.
- **Important Industries (Controlled Private Sector):** 18 industries of national importance were included in this category. It included industries like heavy chemicals, heavy machinery, sugar, cotton, textile and woolen industry, cement, paper, salt, machine tools, fertilizers, rubber, air and sea transport, motor, tractor, electricity etc. These industries were placed under private sector. However, the government decided to regulate them. Regulated development of private sector was to ensure that there was no concentration of economic power in the private hands.
- **Other Industries (Private and Cooperative Sector):** All other industries which were not included in the above mentioned three categories were left open for the private sector. However, the State could take over any industry in this sector also if its progress was unsatisfactory.

The Resolution emphasized the predominant role of small-scale industries for fuller utilization of local resources of the country, the generation of employment and reaching the goal of self-sufficiency in consumer goods. Thus, the State was to extend financial assistance for their expansion. It also felt the need for labour legislation to ensure the working classes a fair wage and improved working conditions.

The system worked to provide protection to Indian industry. Protection, both against potential domestic competition and foreign competition, was the right approach in the initial

stage of industrialization in a developing economy which was struggling to come out of the stranglehold posed by two-centuries old colonial domination. However, over time, the excessive protection through import restrictions started leading to inefficiency and technological backwardness in Indian industry.

4.2.2. THE INDUSTRIES (DEVELOPMENT AND REGULATION) ACT, 1951

The Industries (Development and Regulation) Act or IDRA was passed in October 1951 to implement the Industrial Policy Resolution, 1948. It came into force on May 8, 1952. The Act provided the necessary means to the central government in order to implement its industrial policy of 1948 and to regulate and develop the activities of industries of national importance. For instance, the Act made the registration of all industrial units in the scheduled industries compulsory and enjoined upon the owners thereof to obtain a certificate of registration within a prescribed time. It also necessitated the need that the new industrial units to be established only after obtaining a license from the Central Government. A license was needed not only for establishing a new enterprise, but also for expanding production capacity of the existing ones, production of new articles, and change in location. Licenses to increase production were issued only if the government was convinced that the economy required more of the goods.

Opening new industries in economically backward areas was incentivized through easy licensing and subsidization of critical inputs like electricity and water. This was done to counter regional disparities that existed in the country. The Act in its original form applied to industries included in the first schedule of the Act. The schedule covered a number of industries like metallurgical, industrial machinery, transportation, fertilizers, textiles, cement, defence, etc. The provision was also made for the constitution of the Central Advisory Council and Development Council. The prior consultation with Central Advisory Council and Development Council was obligatory before the Central Government took certain measures such as the revocation of a license or taking over the control and management of any industrial unit on the ground of unfair practices adopted by the industries or if the working of a particular industrial unit was not satisfactory (say for example, there was substantial underutilization of capacity or product was not up to the mark or cost of production and price were excessive).

4.2.3. INDUSTRIAL POLICY RESOLUTION, 1956

Students, the Government revised its first Industrial Policy (the policy of 1948) through the Industrial Policy Resolution of 1956 (IPR 1956). It was regarded as the “**Economic Constitution of India**” or “**The Bible of State Capitalism**”. The noteworthy factors that necessitated the government to plan the new industrial policy resolution were: the enactment of the Constitution of India guaranteeing certain fundamental rights to all citizens, the directive principles of State Policy; acceptance of 'Socialist Pattern of Society'

as the objective of social and economic policy; the successful completion of the First Five Year Plan and the need for placing the Second Five Year Plan before the country with rapid economic development as its objective. The broad objectives laid in the IPR 1956 for the growth of the Industrial sector were as following:

1. To accelerate economic growth and boost the process of Industrialization.
2. To secure a continuous increase in production and its equitable distribution,
3. To develop heavy industries and machine making industries.
4. Expansion of public sector.
5. To build up a large and growing competitive cooperative sector.
6. To prevent monopolies and the concentration of wealth and income in the hands of a small number of individuals.
7. To create employment and reduce poverty.
8. The removal of regional disparities through the development of regions with low industrial base.

It provided the basic framework for the government's policy in regard to industries till June 1991. It 1956 classified industries into three broad categories:

- **Schedule A:** It included 17 industries. Four industries namely the railways and air transport, arms and ammunition, heavy industries, and atomic energy were to be developed as central government monopolies. In the remaining 13 industries, all new units were to be established by the state. However, existing units in the private sector were allowed to subsist and expand.
- **Schedule B:** consisting of 12 industries, was open to both the private and public sectors; however, the private sector was to play only a secondary role. In other words, such industries were progressively state-owned, but private enterprise was expected to supplement the efforts of the state in these fields. This category included all mineral industries, road transport, machine tool, chemical industries like manufacturing of drugs, antibiotics, fertilizers, rubber etc.
- **Schedule C-** All the other industries not included in these two Schedules constituted the third category which was left open to the private sector. However, the main role of the state in this category was to provide facilities to the private sector to develop itself but the state reserved the right to undertake any type of industrial production.

The IPR 1956, stressed the role of cottage and small scale industries in the development of the national economy, for providing immediate large scale employment, for ensuring a more equitable distribution of the national income and facilitating an effective mobilisation of resources of capital and skill which might otherwise remain unutilised. The state supported cottage and small-scale industries by restricting the volume of production in the large-scale sector, by differential taxation, by direct subsidy policy and by reservation of certain products for small-scale sector. Financial assistance was also offered to these small-scale industries for improving and modernising their techniques of production and thereby improve their competitive

strength. The Resolution also called for efforts to maintain industrial peace; reduction in regional disparities, the need for organisation of schemes of apprenticeship training in both public and private sectors, and the extension of training facilities in business management in universities and other institution to meet the shortage of technical and managerial personnel.

The private entrepreneurs were offered many types of industrial concessions for establishing industry in the backward regions of the country. These concessions included: tax holiday (freedom from the payment of tax for some time), and subsidised power supply. Like the policy of industrial licensing, the industrial concessions were expected to promote regional equality.

Criticism: The IPR 1956 came in for sharp criticism from the private sector since this Resolution reduced the scope for the expansion of the private sector significantly. Most of the laws and policies that were passed during that time were based on the Principle of Command-and-Control. There was high scale of government intervention in the affairs of the private industries and businesses. The thrust was to promote the public sector of the county which could only lead to the growth of the economy. This era is also termed by many as the period of License Raj wherein, the private industries were required to take approval licenses from the government in order to function; there were high tariffs and quotas imposed on the import of goods.

4.2.4. CHECK YOUR PROGRESS I

1. The first Industrial Policy Resolution was announced in which year?

2. Why did Industrial Policy Resolution of 1956 give importance to the public sector?

3. What was the basic idea of industrial licensing policy?

4. What were the main objectives of Industrial Regulations Act 1951?

4.2.5. MONOPOLIES AND RESTRICTIVE TRADE PRACTICES ACT, 1969

Students, to prevent the concentration of economic power in the hands of few, to provide for the control of monopolies, and to prohibit the monopolistic and restrictive and unfair trade practices of large business houses, the Monopolies and Restrictive Trade Practices (MRTP) Act, was passed in the year 1969. Monopolistic Trade Practices meant that activities which hamper or

eliminate competition of healthy nature in the economic market were prohibited as these trade practices were anti-consumer. Restrictive Trade Practices meant some businesses often tend to control the supply of goods or products in the market by either restricting production or taking control of the delivery. The Act disallowed and ensured that firms do not indulge in these practices. MRTP Act also allowed for the establishment of the Commission of MRTP which was to be a regulatory authority to deal with the offences under the MRTP Act. Under the MRTP Act, all firms with assets worth more than rupees 100 crores were classified as MRTP firms and were subjected to several restrictions. For instance, if big business houses intended to set up a new enterprise, then applications were sent for the scrutiny of the Monopolies and Restrictive Trade Practices (MRTP) Commission. Under the MRTP Act, if the assets of a business house were more than the prescribed ceiling of Rs. 100 crores, its application was rejected. Such firms were permitted to enter selected industries only and this also on a case-by-case approval basis. In addition, separate approvals were required by such large firms for any investment proposals. Its sole purpose was *“Achieving the highest possible production with least damage to people at large while securing maximum benefit”*. It became effective in June 1970. This prevented big business houses to undertake big investments in projects of infrastructure of heavy industry.

Small-scale industry, on the other hand, was offered protection from competition by reserving certain areas of production exclusively reserved for the small-scale industries, particularly labour intensive industries such as readymade garments, chemicals, leather products, etc. Besides, financial institutions were developed to cater to the needs of small-scale industries. Several boards (like Handloom Board and Silk Board) were established to promote the products of small-scale industries in the global market. With the emphasis placed on productivity in the Sixth Five Year Plan, major amendments to the MRTP Act were carried out in 1982 and 1984 in order to remove impediments to industrial growth and expansion. This process of change was given a new momentum in 1985 by an increase of threshold limit of assets.

4.2.6. THE INDUSTRIAL POLICY STATEMENT OF 1973

Over the years, keeping in view the changing industrial scene in the country, the industrial licensing policy underwent several modifications or its procedures have been liberalized from time to time. The next important Industrial Licensing Policy Statement came on February 12, 1973. It identified high-priority industries where investment from large industrial houses and foreign companies would be permitted. In the Industry Policy Statement 1973, the term “Core Industries” was included. It referred to the 6 Core Industries: iron and steel industry, cement, coal, crude oil, oil refining and electricity. They were called the basic industries or infrastructure industries. The private players were allowed to apply for license in these industries and for that they required Rs. 20 crore assets or more. In this policy some industries were reserved for small and medium players. The Public Private Partnership (PPP) was also emphasized as a prototype and it was called “Joint Sector” in which a partnership between public and private sector was allowed. The government also decided to take over and run ‘sick’ companies, such as a number of textile mills, rather than allow such loss-making companies to close down. In the same year,

government had also enacted the Foreign Exchange Regulation Act 1973 (FERA) due to severe crunch of Foreign Exchange. India allowed limited investment by MNCs in the country. All non-banking foreign branches and subsidiaries with foreign equity exceeding 40 per cent had to obtain permission to establish new undertakings, to purchase shares in existing companies, or to acquire wholly or partly any other company. The foreign investment brought advantages of technology transfer, marketing expertise, introduction of modern managerial techniques and new possibilities for promotion of exports. However, it tied the hands of big MNC's to expand their business, so it was felt by the policy makers that there should be some relaxation in the act so that the economic development through industrialization can speed up in the country.

4.2.7. THE INDUSTRIAL POLICY STATEMENT OF 1977

The Industrial Policy Statement of 1977 laid emphasis on decentralisation and on the role of small-scale, tiny and cottage industries. The list of industries exclusively reserved for the small scale sector was expanded from 180 items to more than 500 items. It provided for an annual review of this list in view of new products and new processes of manufacture that emerge. Within the small scale sector, a tiny sector was also defined with investment in machinery and equipment up to Rs.1 lakh and was situated in towns with a population of less than 50,000 according to 1971 census figures, and in villages. Special legislation to protect cottage and household industries was also proposed to be introduced. A District Industries Centre would be set up to provide, under a single roof, all the services and support required by small and village entrepreneurs. In addition, the Khadi and Village Industries Commission would plan and develop the 22 village industries under its purview.

The areas were clearly demarcated for the development of large scale industry like basic industries that are essential for providing infrastructure and for the development for small and village industries, such as steel, non-ferrous metals, cement, oil refineries, capital goods industries, high technology industries that require large scale production and that are related to agricultural and small scale industrial development such as fertilizers, pesticides and petrochemicals, machine tools, organic and inorganic chemicals. A list of industries was issued where no foreign collaboration (financial or technical), was considered necessary since indigenous technology was fully developed in the field.

4.2.8. THE INDUSTRIAL POLICY STATEMENT OF 1980

The Industrial Policy Statement of 1980 focused attention on opening the domestic market to increased competition, technological upgradation, modernization and readying our industry to stand on its own in the face of international competition. The public sector was freed from a number of constraints and given a large measure of autonomy. The technological and managerial modernization of industry was pursued as the key instrument for increasing productivity and improving our competitiveness in the world. It emphasized on rapid and balanced industrialization of the country with a view to benefit the common man by increasing availability

of goods at reasonable prices, large employment and higher per capita incomes. Certain major concessions and relaxations to help the growth of small, medium and large-scale enterprises with the objectives of modernization, expansion and development of backward areas were announced, which were as follows:

Relaxation to MRTP and FERA Companies: Under the pretext of expanding industrial production and promoting exports, various concessions were provided to companies falling under the MRTP Act (Monopolies and Restrictive Trade Practices Act) and FERA (Foreign Exchange Regulation Act). The government specified a list of 33 broad groups of industries in which MRTP and FERA companies were permitted to undertake production of new articles, provided the concerned items were not reserved for the small-scale or public sectors. Various other concessions like regularization of excess capacity and capacity re-endorsement, facilities to set up industries in backward areas etc. were also granted to MRTP and FERA companies.

Delicensing: With a view to allow faster industrial growth and production, the government delicensed 28 broad categories of industries and 82 bulk drugs and their formulations. For these industries only, registration with the Secretariat for Industrial Approvals (SIA) was now required: no license had to be obtained under the Industries (Development and Regulation) Act. This was subject to the conditions that the undertakings concerned did not fall within the purview of the MRTP Act or the FERA, that the article of manufacture was not reserved for the small-scale sector. During 1989-90 some more industries were delicensed.

Economic Federalism: It proposed to promote the concept of economic federalism with the setting up of a few nucleus plants in each district, identified as industrially backward, to generate as many ancillaries small and cottage industries for their development.

Improving the performance of the public sector: It was realized that public sector enterprises were working below the optimum level of efficiency and the faith in the public sector was eroding. Therefore, industrial undertakings were closely examined on a unit-by-unit basis and steps were taken for effective development of management cadres in finance, production marketing and information system. The statement mentioned that industrial units found guilty of deliberate mismanagement and financial improprieties leading to sickness would be dealt with firmly. "In the case of existing sick undertakings which show adequate potential for revival, it would be the policy of the government to encourage their merger with healthy units which are capable of managing the sick undertakings and restoring their viability". "Recourse to takeover of the management under the Industries (Development and Regulation) Act will be taken only in exceptional cases on grounds of public interest where other means for the revival of sick undertakings are considered not feasible. Where such takeover becomes necessary the state government will, in such case, is expected to assume responsibility for the financing and management of the undertaking."

Redefining the role of small-scale units: To encourage the development of small units, the government revised the definition of small units. Investment limit of the small scale industries was raised from Rs 10 lakhs to Rs 20 lakhs and investment limit of tiny industries or micro enterprises was raised from Rs 1 lakh to Rs 2 lakhs to help them upgrade their machinery and improve their efficiency.

Protection to small scale Industries: It was notified that the items produced in small sector would be reserved for development in the small-scale sector and that the large-scale units would not be allowed to expand the production of these items. It is significant that while 180 items were reserved for extensive development in the small-scale sector between 1967 and 1977, their number was now increased to 807.

Incentives: Industrial processes and technologies that aimed at optimum utilization of energy or the exploitation of alternative sources of energy were given special assistance, including finance on concessional terms. Similar benefits were also extended to activities that contributed directly to the improvement of the environment and reduced the deleterious effects on pollution of air and water.

Removal of Regional Imbalances: To remove regional imbalances the state encouraged industrial units in backward areas. To achieve a faster rate of growth in the villages, generate higher employment and higher per capita income, the handlooms, handicrafts and Khadi and other village industries were given greater attention.

The net result of all these changes was that on the eve of the Seventh Five Year Plan, a broad-based infrastructure had been built up. Basic industries had been established. A high degree of self-reliance in a large number of items - raw materials, intermediates, finished goods - had been achieved. New growth centres of industrial activity emerged. A large number of engineers, technicians and skilled workers had also been trained. The Seventh Plan recognized the need to consolidate on these strengths and to take initiatives to prepare Indian industry to respond effectively to the emerging challenges. Indian industry grew by an impressive average annual growth rate of 8.5% in the Seventh Plan period.

4.2.9. CHECK YOUR PROGRESS II

1. When was MRTP Act passed?

2. What were the two aims of Industrial Policy Statement of 1980?

3. What is the full form of FERA?

4. What was the aim behind the passing of MRTP Act?

4.3. SUMMARY

Students, in this unit the various industrial policies adopted from time to time (between 1947-1991) to accelerate the economic development. Each and every policy had stressed on the mixed economy character of the economy which is co-existence of the public and private sector but in reality, it was heavily tilted towards the public sector. The pre-1991 policies were highly regulated and were formulated with a view to give public sector commanding heights and control over key industries/services. It paved the way for nationalization or overtake of private industries. Thus, coal mining, banking, insurance, textile mills, earlier in the private sector were nationalized. In order to protect domestic industries, India followed a regime of quantitative restrictions on imports. This was encouraged through tight control over imports and by keeping the tariffs very high. However, the policies adopted were severely criticised. It was argued that these industrial policies have generated inefficiencies, under-utilisation of capacities, mismanagement, red-tapism and a shift in the industrial policy was envisaged. Consequently we saw a new industrial policy in 1991. It needs to be mentioned here that it was not only the criticism but the surrounding international and national environment also that led to shifts in policy towards liberalisation.

4.4. SUGGESTED READINGS

Bipin Chandra and et.al., *India After Independence 1947-2000*, New Delhi: Penguin Books, 1999.

Jagdish Bhagwati, *India in Transition: Freeing the Economy*, Delhi: Oxford University Press, 1992.

V.K. Puri and S.K. Misra, *Indian Economy*, Mumbai: Himalaya Publishing House, 1983. (37th Edition 2019)

4.5. QUESTIONS FOR PRACTICE

4.5.1. LONG ANSWER QUESTIONS

1. Write a detailed note on the limitations of Industrial policies adopted in post-Independent India between 1947-1991?

2. Why did independent India adopt the mixed economy system?
3. Write a detailed note on the salient features of industrial policies adopted in India since independence?

4.5.2. SHORT ANSWER QUESTIONS

1. Give two main features of the Industrial Policy Resolution, 1956.
2. Write two salient features of the Industrial Policy Resolution of 1948.
3. Write two amendments made to the Industrial policy Resolution of 1956?
4. What were the two steps taken regarding liberalization of licensing policy in the 1980s?
5. What incentives for export promotion were laid down in the Industrial Policy in the 1980s?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: CONTEMPORARY INDIA

UNIT 5: LIBERALIZATION OF ECONOMY

STRUCTURE

5.0. Learning Objectives

5.1. Introduction

5.2. Liberalization of Economy

5.2.1. Causes

5.2.2. Objectives

5.2.3. Measures taken for Liberalization

5.2.4 Check Your Progress I

5.2.5. Benefits of Liberalization

5.2.6. Disadvantages/Criticism of Liberalization

5.2.7. Check Your Progress II

5.3. Summary

5.4. Suggested Readings

5.5. Questions for Practice

5.5.1 Long Answer Questions

5.5.2 Short Answer Questions

5.0. LEARNING OBJECTIVES

Students, after reading this unit you will be able to:

- Understand the need for liberalizing Indian economy in 1991.
- State the measures taken for liberalizing the Indian economy.

- Critically evaluate the impact of liberalization on economy.

5.1. INTRODUCTION

Students, in 1991, the massive shortage of funds, corruption, the malfunctioning of government-owned sectors, bureaucratic interference, delays in investment decisions, debilitated the Indian economy. Together with the concepts of the 'License Raj' and red-tapism, there was fear that the Indian nation would go bankrupt. It was at this crucial juncture that the then Prime Minister, P.V. Narasimha Rao and the then finance minister of India, Dr. Manmohan Singh attempted one of the most important economic reforms since independence aiming at liberalizing the economy and quickening its rate of economic growth. In this module an attempt has been made to critically analyze the need and features of New Economic Policy introduced by the Indian government in 1991 of which Liberalization was an important component.

5.2. LIBERALIZATION OF ECONOMY

Prior to 1991, government had imposed several types of controls on Indian economy, for instance, industrial licensing system; price control or financial control on goods, import licence, foreign exchange control, restrictions on investment by big business houses, and others. It was experienced by the government that several shortcomings had crept into the economy on account of these controls. These had dampened the enthusiasm of the entrepreneurs to establish new industries. These controls had given rise to corruption, undue delays and inefficiency. Rate of economic growth of the economy fell sharply and high-cost economic system came into being. With the gradual liberalization of the 1956 Industrial policy in the mid-eighties the tempo of industrial development started picking up. But the industry was still feeling the burden of many controls and regulations. Therefore, the long-awaited liberalized industrial policy or New Economic Policy also known as the policy of liberalization or end of licence/permit Raj was announced by the Government of India in 1991 in the midst of severe economic instability in the country. The economic liberalization in India aimed at making the Indian economy more market and service-oriented and expanding the role of private and foreign investment to raise efficiency and accelerate economic growth. It opened up the economy for private players. Liberalization policy reduced unnecessary restrictions and controls on business units imposed by government, simplified the procedures, and relaxed trade and industry from unnecessary bureaucratic hurdles. Greater reliance was placed on market forces (of supply and demand) rather than on checks and controls.

5.2.1. CAUSES

Students, several causes resulted in introducing these reforms. Let us discuss them.

Fiscal Deficit: A fiscal deficit is a shortfall in a government income compared with its spending. Prior to 1991, on account of continuous rise in non-development expenditure, fiscal deficit went on increasing. In the year 1981-82, it was 5.4% of GDP and in 1991-92, it rose to 8.4% of GDP. Thus, due to rising fiscal deficit there was corresponding rise in public debt and interest payments. Interest liability became 36.4% of total government expenditure. It, therefore, became inevitable for the government to make efforts to scale down fiscal deficit.

Increase in Unfavourable balance of payments: When the value of total imports is greater than the total value of exports then the problem of balance of payments arises. Government could not restrict imports even after imposing heavy tariffs and fixing quotas. On the other hand, exports were very less due to the poor quality and high prices of our goods as compared to that of foreign goods.

Gulf War I: In 1990-91, the situation was aggravated by the rise in the price of oil and a fall in Indian exports to the Middle East or Gulf region due to Iraq's invasion of Kuwait. Also, a large number of Indians working in Gulf countries came back because of which India lost remittances too.

Fall in foreign Exchange reserves: In 1990-91, Foreign exchange (foreign currencies) reserves, which the government (earns from exports) generally maintains to import goods like petroleum, dropped to such low levels that it was insufficient to pay for an import bill for 2 weeks. The government had to mortgage country's gold to arrange necessary foreign exchange.

Rise in Prices: Annual rate of inflation increased to 10.3% in the year 1990-91. Because of increasing pressure of inflation, country's economic position became worse. Poor and marginalized people of the society did not have enough access to food.

Poor performance of Public Sector Undertakings (PSU'S): PSU's enterprises are wholly owned by the government. In 1951, there were just 5 PSU'S and in 1990-91 its number rose to 246. Despite of huge investments in this sector, they were incurring heavy losses because of too much of government interference, inefficient management and poor performance of the employees who did not feel the need to be either competitive or effective because their jobs were secure. Thus, importance of private sector was felt.

To manage the financial crisis, India received financial help of \$7 billion from the International Bank for Reconstruction and Development (IBRD), popularly known as World Bank and the International Monetary Fund (IMF) on an agreement to announce its New Economic Policy. It meant they expected India to liberalise and open up the economy by removing restrictions on the private sector, reduce the role of the government in many areas and remove trade restrictions between India and other countries.

5.2.2. OBJECTIVES

Students, let us discuss the main objectives of India liberalizing its economy in 1991.

- Liberalizing the industry from the regulatory devices such as licenses and controls.
- The reforms intended at bringing in larger cooperation of the private sector to make the economy of India the fastest developing economy in the globe with capabilities that can help it match up with the biggest economies of the world.
- To bring down the rate of inflation.
- To reduce the role of the public sector in future industrial development.
- To enhance support to the small-scale sector.
- Increasing competitiveness of industries for the benefit of the common man.
- Providing more incentives for industrialization of the backward areas.
- To introduce more competition into the economy with the aim of increasing efficiency.
- To loosen the governments' grip over the economy and the introduction of open competition into economic life or to introduce a free market system.
- To reduce the public debt and stabilize the economy.
- To build sufficient foreign exchange reserves.
- To convert from inward looking economy to outward looking economy by removing all kinds of un-necessary restrictions.
- It wanted to permit the international flow of goods, services, capital, human resources and technology, without many restrictions to develop India on modern lines.

5.2.3. MEASURES TAKEN FOR LIBERALIZATION

Students, the public sector which was conceived as a vehicle for rapid industrial development, largely failed to do the job assigned to it. Most public sector enterprises became symbols of inefficiency and imposed heavy burden on the government through their perpetual losses. Since a large field of industry was reserved exclusively for public sector where it remained a virtual non-performer (except for a few units like the ONGC). The industrial development was thus the biggest casualty. The new industrial policy seeks to limit the role of public sector and encourage private sector's participation over a wider field of industry. Though a few liberalization measures were introduced in 1980s in areas of industrial licensing, export-import policy, technology upgradation, fiscal policy and foreign investment, but reform policies initiated in 1991 were more comprehensive. It made very significant changes in four main areas viz., industrial licensing role of public sector, foreign investment and technology and the MRTP Act. Let us discuss these measures in detail.

Deregulation of Industrial Sector: Prior to 1991, government had imposed various controls on Indian economy. For instance, (i) industrial licensing under which every entrepreneur had to get permission from government officials to start a firm, close a firm or decide the amount of goods that could be produced (ii) private sector was not allowed in many industries (iii) some goods

could be produced only in small-scale industries, and (iv) controls on price fixation and distribution of selected industrial products. This dampened the enthusiasm of the entrepreneurs to establish new industries and led to rise in corruption, undue delay and inefficiency. Rate of economic growth fell sharply. The reform policies introduced in and after 1991 removed many of these restrictions. Under the New Economic Policy, private sector was freed to a large extent from licences and other restrictions. Industrial license is required only in five industries namely the alcohol, cigarettes, hazardous chemicals, industrial explosives, and defence equipment's. Under the new industrial policy, number of industries reserved for public sector was reduced from 17 to 8. In 2010-11, the number of these industries was reduced merely to two namely the atomic energy and the core railway operations. Many goods produced by small-scale industries have now been de-reserved. In most industries, the market forces (demand and supply) has been allowed to determine the prices. Government stakes in Public Sector Enterprises were reduced to enhance their efficiency and competitiveness.

Relaxation from Monopolies Restrictive Act: Under the Monopolies and Trade Practices Act (MRTP Act), all firms with assets worth more than rupees 100 crores were classified as MRTP firms and were subjected to several restrictions. For instance, if big business houses intended to set up a new enterprise, then applications were sent for the scrutiny of the Monopolies and Restrictive Trade Practices (MRTP) Commission. Under the MRTP Act, if the assets of a business house were more than the prescribed ceiling of Rs. 100 crores, its application was rejected. This prevented big business houses to undertake big investments in projects of infrastructure of heavy industry. Such firms were permitted to enter selected industries only and this also on a case-by-case approval basis. In addition, separate approvals were required by such large firms for any investment proposals. Under the new economic policy MRTP was done away with. These firms no longer require to obtain prior approval from the government for investment in the delicensed industries. They are free to expand themselves. By eliminating the requirement of time-consuming procedures and prior approval of the government, it is now possible for all productive sections of the society to participate in efforts for maximisation of production. As a result, there would be no restriction on dominant companies and industrial houses for setting up new industries or expansion of existing industries, acquisitions and amalgamation. In year 2002, MRTP Act was abolished and in its place a much liberal Competition Act 2002 was enacted.

Freedom for Expansion and Production to Industries: Prior to liberalization, government used to fix maximum limit of production capacity. Under the new policy no prior official approval is needed and industries are free to expand. 'What to produce and how much to produce' is now a matter of producer's choice depending on market conditions. This has enabled the industry to take full advantage of large-scale production.

Increase in the Investment Limit of Small Industries: Investment limit of the small scale industries and tiny industries or micro enterprises was raised to Rs. 1 crore and rupees 25 lakh, respectively, to help them upgrade their machinery and improve their efficiency.

Freedom to Import Capital Goods and Raw Materials: Under the policy of liberalization, government allowed Indian industries to import machines, high technology and raw materials from more advanced countries in order to expand and modernise themselves.

Replacing FERA with FEMA: Earlier, for regulating foreign exchange transactions, government had enacted Foreign Exchange Regulation Act (FERA). This Act was very restrictive in nature. It involved various checks and controls on transactions involving foreign exchange. Following the economic liberalization and changed attitude of government towards foreign capital, FERA was replaced with Foreign Exchange Management Act- FEMA in the year 1999. The provisions of FEMA liberalized foreign exchange controls and restrictions on foreign investment.

Liberalization of Taxation Policy: Prior to 1991, the income tax rates were very high and tax structure was also very complicated. It was a great hindrance in the path of rapid economic development. High tax rates de-motivated the entrepreneurs in setting up new enterprises or expanding the existing enterprise. Since 1991, there has been a continuous reduction in the taxes on individual incomes as it was felt that high rates of income tax were an important reason for tax evasion. It is now widely accepted that moderate rates of income tax encourage savings and voluntary disclosure of income. This reduced tax evasion and increased government's revenue. The fiscal policy reforms simplified the tax structure and also reduced the rates to a very large extent. Instead of so many indirect taxes at different levels of production, the government introduced GST in 2017, which is a single indirect tax on the final product. It brought about a uniform tax system all over the country.

Liberalization in Financial Sector: Financial sector includes financial institutions, such as commercial banks, investment banks, stock exchange operations and foreign exchange market. Earlier financial sector was regulated and controlled through various norms and regulations by the RBI (Reserve Bank of India). Liberalization implied a substantial shift in the role of the RBI from 'a regulator' to 'a facilitator' of the financial sector. For instance, as a regulator, the RBI (prior to Liberalization) would itself fix interest rate structure for the commercial banks. But as a facilitator (after Liberalization) the RBI would only facilitate the free play of the market forces and leave it to the commercial banks to determine their interest rates within certain limits, to recruit their employees and to manage their internal working with less restrictions. Further, norms for setting up private sector banks have been liberalized. Now, competition (rather than control) rules the decision-making process in banks. Free play of the market forces has led to the emergence of private bankers (both domestic as well as international) in the Indian banking industry. Liberalization has also allowed FII (Foreign Institutional Investors) such as merchant bankers, mutual funds and pension funds, to invest in Indian financial markets. Though banks have been given permission to generate resources from India and abroad, certain managerial aspects have been retained with the RBI to safeguard the interests of the account-holders and the nation. Consequent upon these changes, financial sector in India has shown a multi-dimensional

growth and is playing a significant role in the growth and development of the economy. New institutional structures such as SEBI were erected in the face of new realities of Indian financial sector.

Disinvestment in selected public sector industrial units: For the first four decades after Independence, the country was pursuing a path of development in which the public sector was expected to be the engine of growth. However, the public sector overgrew itself and its shortcomings started manifesting in low capacity utilization and low efficiency due to over manning, low work ethics, over capitalization due to substantial time and cost over runs, inability to innovate, take quick and timely decisions, large interference in decision making process etc. Hence, a decision was taken in 1991 to follow the path of Disinvestment. As a measure to raise large resources and introduce wider private participation in public sector units, the government would sell a part of its share-holding of these industries to Mutual Funds, financial institutions, general public and workers. For this purpose, the Government of India set up a 'Disinvestment Commission' in August 1996 which worked out the modalities of disinvestment. On the basis of recommendations of the 'Disinvestment Commission' the government sells the shares of public enterprise.

Establishment of a Board for Reconstruction of Public Sector Enterprises (BRPSE): The Government has decided to establish a Board for Reconstruction of Public Sector Enterprises (BRPSE) to advice the Government on ways and means for strengthening public sector enterprises (PSEs) in general and to make them more autonomous and professional. The Board would consider reconstructing – financial organizational and business – of central PSEs and suggests ways and means for funding such schemes. The Board would also advice the government on disinvestment/closure/sale in respect of chronically sick/loss making companies, which cannot be revived.

Liberalization of industrial location: The Industrial Policy 1991 stated that, there is no need to obtain approval from central government for industrial location. This enabled the Indian firms to set up industries at a right location of their choice without much interference from government authority.

Foreign exchange reforms: These were initiated in 1991 to increase the foreign exchange reserves in country. For instance, Indian rupee was deliberately devalued or lowered down against foreign currencies to encourage exports of the domestic goods and services and discourage imports. It also set the tone to free the determination of rupee value in the foreign exchange market from government control. Now, more often than not, markets determine exchange rates based on the demand and supply of foreign exchange.

Liberalization of Foreign Trade Policy: In order to protect domestic industries, India was following a regime of quantitative restrictions on imports. This was encouraged through tight

control over imports and by keeping the tariffs very high. These policies reduced efficiency and competitiveness which led to slow growth of the manufacturing sector. Foreign Trade Policy also underwent a substantial change in the wake of liberalization. It has made the import of capital goods, raw materials, technology very easy. Quantitative restrictions on import have been withdrawn. Provisions regarding import quota, import-permit, import-licence have been simplified. The procedures and documents related to import and export have been simplified. Tariff restrictions have been moderated and instead of policy of protection to the domestic industry, now there is the policy of 'survival of the fittest'. Efficiency is the benchmark of growth.

Liberalization of Foreign Investment: This was the first Industrial policy in which foreign companies were allowed to have majority stake in India. In 47 high priority industries, up to 51% FDI was allowed. For export trading houses, FDI up to 74% was allowed. Today, there are numerous sectors in the economy where government allows 100% FDI like in case of mining, including coal and lignite, pollution control related equipment, projects for electricity generation, transmission and distribution, ports, harbours, oil refining, all manufacturing activities in Special Economic Zones (SEZ's), some activities in telecom etc. Foreign investment inflows are of two types: foreign direct investment and portfolio investment. Foreign direct investment (FDI), is buying or establishing a manufacturing business, building warehouses, buying buildings, creation of infrastructure in the form of hydro-electric projects, telecommunications, construction of express highways, manufacturing units, in a foreign country. It raises the rate of real investment in the economy and helps us to achieve a faster rate of economic growth. It is a long-term investment in a foreign country. As against it, foreign portfolio investment (FPI) is the purchase of securities of foreign countries, such as stocks and bonds, on an exchange. In simple words, FPI involves the purchase of securities that can be easily bought or sold with a hope of generating a quick return. Critics believe that the share of foreign direct investment should be more than portfolio investment as portfolio investment is of a speculative nature and is hot money which can lead to flight of capital during a period of political uncertainty.

5.2.4. CHECK YOUR PROGRESS I

1. Who was the finance minister during the 1991 economic reforms?

2. Write down the two main objectives of Liberalization.

3. How were the Indian industries regulated prior to reforms?

4. For what categories of products was industrial licensing not abolished?

5. List the aims of trade policy reforms.

5.2.5. BENEFITS OF LIBERALIZATION

Industrial policies in India have taken a shift from predominantly socialistic pattern in 1956 to capitalistic pattern since 1991.

Increase in Foreign Investment: Liberalization has promoted globalisation. With liberalization, inflow of foreign investment has increased. The foreign investment in the form of foreign direct investment and portfolio investment has brought valuable foreign exchange currencies in India which is helping us in solving our balance of payments difficulties.

Increase in Foreign Exchange Reserves: Before new economic policy of 1991, India was facing acute shortage of foreign exchange. After liberalization wave, foreign exchange reserves of India have improved because of huge inflow of foreign investment and increase in exports. On 12th April, 2019, India's foreign exchange reserves were 414.89 billion US dollars.

Increase in Industrial Production: The changes in respect of foreign investment and foreign technology agreements are also designed to attract capital, technology and managerial expertise from abroad. This has raised the availability of such scarce resources in the country, has improved the level of efficiency of production, and has given boost to entrepreneurs to set up more industrial units. All this has increased industrial production. Also, due to the end of license Raj, project time and therefore, project cost has reduced. Material and human resources engaged in cultivating contacts and 'getting things done' are released for more productive uses. Thus, efficiency has also improved. Closure, liquidation, or rehabilitation etc. of sick/ weak public sector units will free resources for more productive use.

Increase in Competition: As a result of liberalization, many domestic and foreign enterprises have started business operations in India. The economy is thrown open and the best goods and services compete in the market. Because of increased competition, consumer has a choice, there is reduction in prices and improvement in quality of product. It has benefited the customer.

Control over Price: Before liberalization, inflation rate was very high in our economy. With liberalization, competition and production have increased. In the year 2009-10 inflation rate was only 3.8 percent, while this rate was 12.1 percent in the year 1990-91. In 2017-18, inflation rate was 3.6 percent.

Check on Corruption: The end of licence or permit Raj has put a check on demand of bribe by bureaucratic officials for granting these licences, permits, etc. It has helped to check corruption.

Reduction in Dependence on External Commercial Borrowings: Before liberalization, our government had to raise external commercial loans to meet balance of payments deficit. Liberalization has helped to increase inflow of foreign capital, which in turn has reduced the need of external commercial borrowings. It has reduced the debt burden of government.

5.2.6. DISADVANTAGES/CRITICISM OF LIBERALIZATION

Students, the liberalization policy of 1991 has invited scathing criticism from a number of quarters. The main points of criticism are as follows:

Increase in Unemployment: Liberalization has promoted the import of capital intensive technology. It has promoted automation, computerisation and mechanisation of industrial activities in the economy, which in turn, has accentuated the problem of unemployment. Also, the trade liberalization often leads to a shift in the balance of an economy. Some industries grow, some decline. Therefore, there may often be structural unemployment from certain industries closing. Trade liberalization can often be painful in the short run, as some industries and some workers suffer from the decline in uncompetitive firms. Though net economic welfare improves, it can be difficult to compensate those workers who lose out to international competition.

Loss to Domestic Units: Liberalization has promoted competition in the economy. It has adversely affected infant domestic industries which are not strong enough to compete with multinational corporations. Many small domestic units have become sick and have been closed.

Dangers of business colonisation: the various measures and concessions given to promote foreign investment has provided opportunities to MNCs to percolate down the Indian economy and gobble up Indian enterprises. The aggression which MNCs have shown to devour domestic enterprises has raised the dangers of business colonisation.

Increased Dependence on Foreign Nations: The greater flow of cheap goods from developed countries has replaced the demand for domestic goods. Economic liberalization has seriously undermined our manufacturing capabilities. Now a common man also uses imported televisions, refrigerators, mobile phones, and other things. Also, with liberal import of technology, India's local Research and Development capabilities in the production of technologies is adversely affected. Increased dependence on imported goods has hindered the self-sufficiency character of our country.

Narrow Scope: It has mainly concentrated on the large corporate sector. As a Consequence, there is a virtual neglect of small-scale sector and agriculture which are the main sources of

employment. Therefore, in order to improve the over-all economic growth and make it more sustainable from a long-term point of view, small scale sector and agriculture should be strengthened.

Unbalanced Economy: Liberalization makes the economy an unbalanced economy as it makes it dependent on other countries. In case of any fluctuation in the foreign economy, there is a correspondent fluctuation in our economy also.

Increase in Regional Imbalances: Private sector units and foreign enterprises capital flows and trade have remained highly confined to certain core developed areas of the country. They have shown no interest in setting up their business units in backward regions. It has further increased regional imbalances.

Vaguely defined industrial location policy: The New Industrial Policy, while emphasised the detrimental effects of damage to the environment, failed to define a proper industrial location policy, which could ensure a pollution free development of industrial climate.

5.2.7. CHECK YOUR PROGRESS II

1. What was the consequence of devaluation of rupee?

2. Write two effects of Liberalization on the Indian Economy.

3. How the policy of liberalization towards foreign investment has raised the dangers of business colonisation?

4. How the policy of liberalization has led to an increase in the Foreign Exchange Reserves of India?

5.3. SUMMARY

Students, this unit made an attempt to understand the need, features and impact of the new liberalisation policy introduced in the year 1991. In the late 1980s, government expenditure began to exceed its revenue by such large margins that meeting the expenditure through borrowings became unsustainable. Prices of many essential goods rose sharply. Imports grew at

a very high rate without matching growth of exports. The foreign exchange reserves declined to a level that was not adequate to finance imports for more than two weeks. There was also not sufficient foreign exchange to pay the interest that needed to be paid to international lenders. Also, no country or international funder was willing to lend to India. It was feared that the Indian nation would go bankrupt. It was at this crucial juncture that the then Prime Minister, P.V. Narasimha Rao and the then finance minister of India, Dr. Manmohan Singh attempted to liberalize the Indian economy by removing bureaucratic hurdles in industrial growth. This policy opened the door of the Indian economy for the global exposure for the first time. Liberalization policy reduced the import duties, abolished quantitative restrictions on import of raw materials, opened reserved sector for the private players, relaxed rules restricting large companies to expand existing units and construct new ones, devalued the Indian currency to increase the export, and made 'Licence, Permit and Quota Raj' a thing of the past. Furthermore, reforms included breaking public sector monopolies, reducing foreign currency debt dependence and tax reforms. The economy was thrown open and the best goods and services could compete in the market and the consumer got a choice at best lowest prices. Trade liberalization gave substantial economic benefits. However, there is a need to re-orient our liberalization policy with a view to making it more broad-based so as to include agriculture and small scale industries. Excessive dependence on foreign investment needs to be checked, or else it can raise the dangers of business colonisers.

5.4. SUGGESTED READINGS

Bipin Chandra and et.al., *India After Independence 1947-2000*, New Delhi: Penguin Books, 1999.

Jagdish Bhagwati, *India in Transition: Freeing the Economy*, Delhi: Oxford University Press, 1992.

V.K. Puri and S.K. Misra, *Indian Economy*, Mumbai: Himalaya Publishing House, 1983. (37th Edition 2019)

5.5. QUESTIONS FOR PRACTICE

5.5.1. LONG ANSWER QUESTIONS

- 1.What is liberalization? What steps were taken by the government to liberate the Indian economy?
- 2.Critically analyze the liberalization policy adopted by the Indian government in the year 1991.

5.6. SHORT ANSWER QUESTIONS

1. Why was Liberalization policy introduced in the year 1991?
2. What effect did Liberalization have on foreign investment?
3. What benefit did the domestic industries get by reducing the tariff?
4. Does Liberalization cause economic growth?
5. Write two positive and negative impacts of Liberalization?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: CONTEMPORARY INDIA

UNIT 6: ISSUES OF CASTE, CLASS AND CREED IN THE POLITICAL SPHERE

STRUCTURE

6.0. Learning Objectives

6.1. Introduction

6.2. Issues of Caste, Class and Creed

6.3. Check Your Progress I

6.4. Summary

6.5. Suggested Readings

6.6. Questions for Practice

6.6.1 Long Answer Questions

6.6.2 Short Answer Questions

6.0. LEARNING OBJECTIVES

After reading this unit, you will be able to:

- Understand the question of caste system and caste inequality.
- Know about the efforts of the leaders to remove caste injustice from the country.
- Analyze the role of political parties to protect the interests of the Dalits, backward classes and minorities.

6.1. INTRODUCTION

Students, in this unit the issues related to caste, class and creed in the political sphere will be discussed. Before independence, socio-religious reformers like Jyotiba Phule in Maharashtra and Sri Narayana Guru in Kerala took up the question of caste system and caste inequality. Gandhiji also integrated the issue of abolition of untouchability into the national movement. With independence, major initiatives in this area of removing caste injustice and inequality were to be attempted. The Constitution extended political rights to all citizens. The reservations were made. Dr. B.R Ambedkar played an active role in this sphere. After him, a new trend identified in the

political sphere as Dalit Panthers emerged in Maharashtra as part of the country-wide wave of radical politics. On similar lines, another party emerged in North India, Bahujan Samaj Party (BSP) for the Dalits, backward classes and minorities.

6.3. ISSUES OF CASTE, CLASS AND CREED

In India, the caste system originated about twenty-five hundred years ago. It is prevalent in all the religions like Hindus, Christians, Sikhs and Muslims. The main aspects of caste are: aspects of hierarchy, of high and low, of untouchable and touchable, unequal legitimation for the unequal access to resources, exploitation and oppression of lower castes, discrimination against lower castes by higher castes. The caste system designated certain groups like out castes and untouchables, it denied their access to ownership of land, entry to temples, access to common resources of water from the village tank or well. Non-untouchable castes, including lower among them, were denied to have any physical contact with the untouchables. They were not allowed to accept food or water from the hands of untouchables. The untouchable castes performed all the menial jobs in the villages. Such as water carriers, skimmers of hides from dead animals, leather workers, scavengers and agricultural labour. Under the jajmani system, the landowning families distributed the fixed share of the agricultural produce to the untouchables in exchange for their menial services.

There were certain breaches in the caste system from the middle and late nineteenth century onwards. The new employment opportunities in factories outside the village, economic changes, mandis, government services, emergence of contractual relations, the army (aided by education), all contributed to the upliftment in the position of the untouchables. The Social reform movements started by Jyotiba Phule and Sri Narayana Guru also began to question the caste system and caste inequality in Maharashtra and Kerala. Gandhiji also integrated the issue of abolition of untouchability into the national movements from 1920 onwards. The other major campaigns and struggles such as Viakom (1924-25) and Guruvayur Satyagrahas (1931-32) were organized. Gandhiji wanted the upper caste to realize the enormity of the injustice done by them to the untouchables. He also opposed the attempt of the British to treat the Depressed Classes. The untouchables were then called in the official parlance as Depressed Classes. Gandhiji wanted the untouchables to be separate from the Hindus, and grant them reserved seats in legislatures, based on the separate electorates in the Communal Award of 1932. Once the untouchables were separated from the Hindus, the Hindu society would change its attitude towards them.

Dr. B.R. Ambedkar, born in a major untouchable Mahar caste of Maharashtra, was a brilliant lawyer. He was educated in the United States with the help of a scholarship given by the Maharaja of Baroda. By the late twenties, he emerged as a major leader of the Depressed Classes. In 1932, Ambedkar agreed to the Poona Pact, providing the reserved seats to the Depressed Classes from within the general Hindu category. Gandhiji went on a fast against the Communal Award. Dr. Ambedkar even chose Sikhism in 1936 and argued that conversion to

another region was necessary. But the British government did not assure the continuation of the benefits of reservation in the case of conversion. Ambedkar formed the Independent Labour Party in 1936, to combine peasants and workers. The party, participated in the elections of the Bombay Legislative Assembly in 1937, and won few seats. In 1942, Dr. Ambedkar formed the Scheduled Castes Federation, to focus on the Scheduled Castes (SCs) alone. He also realized that his effort to build an alliance against the Congress was of no use. To get more benefits for the SCs, Ambedkar also co-operated politically with the British government. In the forties, he won a seat on the Viceroy's Executive Council (the equivalent of the Cabinet) for his loyalty towards the colonial government.

In the different regions also, the differing strands emerged. The Ad-Dharm, in the Punjab, Adi Hindu in U.P., the Namashudras in Bengal. They allied with the pro-British Unionist and Krishak Praja parties in both Bengal and Punjab. In Bihar, Jagjivan Ram, a prominent Harijan leader, formed Khetmajoor Sabha and the Depressed Classes League. Before independence, the Harijan organizations demanded for freedom of the *begar* or caste-specific imposed labour, grant of forest or wastelands for cultivation, and removal of legal disabilities from owning land, as imposed by the Punjab Land Alienation Act 1900, which did not include SCs among agriculturalist castes. A number of individual Gandhians and Gandhian organizations actively took part in it.

After independence, major attempts were made to eradicate caste injustice and inequality in the area. The Constitution provided political rights to every citizen of India including Scheduled Castes irrespective of caste, sex, religion, language, and race. Article 17 abolished the practice of untouchability in any form. Its enforcement shall be considered a punishable offence with law. The parliament passes the Untouchability (Offences) Act in 1955, according to which any offences were punishable with fine, cancellation of licences, and public grants. The Protection of Civil Rights (Amendment) Act, was passed in 1976. It provided enhanced and stringent punishment and appointment of officers and special courts to deal with the offenders, legal aid for victims. The Indian Constitution made provisions for the Scheduled Castes, such as reservation of seats in educational institutions and legislatures, and in the government jobs. These reservations were made only for ten years, but since then it has been extended continuously.

Despite the differences between Dr. Ambedkar and Congress in the pre-independence days, he was chosen as the Chairman of the Drafting Committee of the Constitution by the Congress and also the law minister in Nehru's Cabinet. As the differences grew, Ambedkar left the Congress and formed All India Scheduled Castes Federation. It participated in the elections, but most of its candidates lost to Congress candidates in reserved seats. Dr. Ambedkar, in 1956, reverted to his position of conversion being necessary. As the leader he led, half a million people (approximately 6 million), especially Mahars, his own community, to become Buddhists. He did this because the reservations for the Buddhist converts were not denied as they were to SCs who converted to Christianity and Islam. Some other untouchable groups, such as the Jatavs of Agra, also followed him, but many others did not. In

1956, Dr. Ambedkar died, leaving no second line of leadership. In 1957, the Republican Party was founded. It contested the elections to the Bombay Legislative Assembly in the end won a few seats. The party soon split because of the clashes over personality and the other issues. In a few years' time, most factions joined or allied with the Congress, and under Y.B. Chavan special efforts were made to accommodate them.

In Maharashtra, a new movement emerged called Dalit Panthers (Dalit, meaning downtrodden) as a part of the country-wide wave of radical politics. In 1972, the Dalit Panthers established itself as a political organization and was inspired by the ideology of Dr. Ambedkar and popular mainly among youth and students in urban areas. They had revolutionary thinking, but there is no evidence of evolution of such concrete strategy. In 1978, there was an agitation for renaming Marathwada University as Ambedkar University. As a result, there was an Anti-Dalit riots in the rural areas of Maharashtra. In the riots, the main aggressors were the middle-caste Maratha Kunbi non-Brahmin peasants.

In the 1980s, there were serious differences in Dalit Panthers over the issues, either to include non-Dalit poor, non-Buddhist Dalits, primacy of cultural versus economic struggle and over personalities in Dalit Panthers or not. For instance: Raja Dhale versus Namdeo Dhasal. As soon as the splits began, most factions joined Congress. In 1990, Prakash Ambedkar, grandson of B.R. Ambedkar, tried to unite all the Dalit organizations to contest in the Maharashtra State Assembly elections. In Bombay, a huge morcha of 500,000 people was organized, but still the differences arose again between them.

In the 1980s, a new party, the Bahujan Samaj Party (BSP) emerged in North India, under the leadership of Kanshi Ram (and later Mayawati, who became Chief Minister of U.P.). BSP declared electoral power as its chief aim and strategy.

Initially, though, there was a talk of Dalit Backward Castes and minorities to come together as Bahujan Samaj, BSP became a willing party to befriend with any political party like Congress, BJP, Janata, Samajwadi Party as long as it advances its vote share and gets political power. This deal with BJP, made Mayawati the Chief Minister of U.P. in 1995. BSP, who regarded V.P. Singh as a messiah of social justice, dropped him to support Devi Lal and Chandra Shekhar in 1990. The BSP has succeeded in securing the base of the SCs in U.P., Punjab and Madhya Pradesh for becoming the significant factor in electoral calculations of other parties. The importance to the party is given because of the lack of dominance of any one party, otherwise it might not have the power. In general, the ideology has been strident and often abusive towards the upper castes.

Non-Dalit parties and groups have also played a significant role in their empowerment. The NGOs and the different parties have set up different agricultural labour unions. It has taken over the issues such as wage demands, demands for employment guarantee schemes, right to work, house-sites, abolition of child labour, right to education. These all have contributed to a new self-confidence of Dalits. Moreover, Dalit organizations have also mushroomed exclusively. In rural areas, the Dalit youth have organized Ambedkar Samghams. The students, teachers, youth, and office workers have been organized into associations in the

urban areas. But these organizations are more concerned in promoting the interests of their members and are less concerned with rural areas or the urban poor.

However, despite all the efforts of Dalit parties and other political groups, the majority of Dalits still vote for the Congress. The overwhelming reality that propelled Dalit leaders over the years towards the Congress. There are no simplistic explanations based on theories of co-option or betrayal. Dalit ideologies will have to understand the underlying causes, if they want to change it.

According to sociologists, despite the claim of the leaders of the Dalits, the Buddhist converts did not give up their Hindu gods or goddesses, but they have added the photos of Ambedkar and Buddha. Buddhist converts celebrate Hindu festivals that were barred to them with great public display, by cooking prohibited religious food, and enhance their confidence. The upper castes are not arranged based on their becoming Buddhists-but by their defiance of traditional Hindu norms and emulation of Hindu religious practices.

Thus, despite conversion, Dalits feel equal with upper caste Hindus only when they practice the same religious rites and customs which were earlier denied to them by the upper caste Hindus. The understanding and strategy of struggle of Gandhiji against the Dalit problem, which provides religious equality via temple entry, stands validated. The Christian converts continue to have separate Dalit Churches, or separate places within churches. They face discrimination, denial of promotions within Church hierarchy, denial of right to perform ceremonies, priest's refusal to accept water from their hands, proves that conversion only transferred the problem of caste-based discrimination from Hinduism to Christianity. The high caste Ashraf's treated Muslims, and the low-caste Muslims converts, in a similar manner.

Similarly, there is a marginal difference in the reservation of job and seats in educational institutions at a higher level. In the total population, about 3 percent get a higher education and can have access to government jobs. The percentage of Scheduled Castes is much smaller, as they are mostly poorer, more rural. There are effects of reserved seats for scheduled castes in legislatures with the electoral imperatives. It forces the representatives to take up the issues to their constituents. But the tendency for co-option and personal aggrandizement among the Scheduled Caste representatives has not been any lower than that among those belonging to higher caste groups. Recently there is problem of competition between different castes, like Mahars and Mangs in Maharashtra, Malas and Madigas in Andhra Pradesh, Chamars and Chuhars in North India. The better-off castes, the SCs avail benefits of the reservation and the disadvantaged ones started to demand quotas within quotas and intra-SC hostility becoming visible politically. So, once the reservation is secured, for the further improvement you have to secure a larger portion for your group.

Nevertheless, the overall position of the Scheduled Castes has improved considerably. The causes are not mainly found in the two highly visible strategies that are: conversion or reservation. The invisible processes of industrialization, social and economic change, growth of rural employment due to agricultural growth have helped in the upliftment of the Scheduled Castes.

The extension of the anti-poverty programme, primary education and health facilities, the literacy campaign, rural income-generating schemes like subsidies and loans for dairying and goat-rearing, the rural employment guarantee schemes, the abolition of child labour are all crucial. Indira Gandhi started the provision of house sites in villages. It has been important as it has removed a major power in the hands of the upper castes who earlier threaten to throw out the recalcitrant members from the village land. There were the consequences of adult franchise, which made the vote of the poorest and the lowest caste, the valuable.

The standard of living of the Scheduled Caste has improved because of the distribution of land, and by removing the stigma of landlessness. According to the new innovative scheme started in Andhra Pradesh, the Scheduled Castes could purchase land on the market with the help of grants and loans provided by the government. The alienation of the caste from the traditional occupation, and the breakdown of the jajmani system, has also been critical.

Thus, due to all these processes, in the urban areas, untouchability has virtually disappeared and it has drastically declined in the rural areas. Where in the most prosperous rural areas, the employment opportunities for low castes have expanded sharply, it has decreased sharply. The higher castes flaunt their status whenever the employers have to seek out labour. Though old casteist prejudices still prevail, the caste-based discrimination in the factories and offices is rare. The atrocities on the Scheduled Caste still prevail. They are the reaction to defiance of upper caste norms. For instance: eloping of upper-caste girl with lower caste boy, alignment of lower caste with extremist political groups, to challenge upper caste authority. Thus, these atrocities are a proof of increasing assertion by lower caste.

However, still there are great inequalities in access to education, employment, and other social and economic opportunities. There is a strong link between literacy and caste. Several studies show that for several decades, upper caste in the villages had near-universal adult literacy but the lower caste, particularly the women, had zero rates. In India in 1991, where literacy rate for men and women were 64 percent, but for women it was 39 percent. For Scheduled Caste men, they were 46 percent and only 19 percent for SC women. The comparable figures in U.P. were 56/25 and 39/8. However, in Kerala, the gap is much narrower, with figures being 94/86 for general and 85/73 for SC. The contrast between the regions shows that inequality can be reduced through positive measures like provision of elementary education. Without education, the benefits of reservation policy cannot be utilized, as the general category shows their inability to fill quotas for SCs at every level.

The emphasis on promoting anti-poverty strategies like rapid economic development and employment, and to raise income by employment guarantee scheme and other similar schemes should be continued in future. The emphasis should also be laid on primary and secondary education, especially for women, as it is a major vehicle for social mobility. Its direct impact can be observed on the fertility rates. Education is the critical vehicle for the social mobility, so equal opportunities should be given for quality education from the primary level.

With the Mandal report in the anti-Mandal agitation in 1990, the issue of the Backward Classes or Castes arose, which is quite different from the Scheduled Caste. To equate

or collapse the two castes, at the political level many efforts are made. Being an intermediate caste, the position of the Backward Castes in the ritual hierarchy was above the untouchables and below the Brahmins and Kshatriyas. The BCs suffer from several ritual disadvantages as compared to the upper castes. But they were incomparable to the Scheduled Castes, as the Backward Castes had access to land and other economic resources. They did not suffer from untouchability. The Backward castes has great inequalities economically and socially with some castes or sections of castes and others are disadvantaged with a ritual position just above that of the SCs.

According to Sociologists, the Backward Castes such as Ahirs, Yadavs, Kurmis, Vokkaligas, Lingayats, Lodhas, have considerably gained economic advantage. This happened by land reforms made after independence that gave land rights to ex-tenants of zamindars. This strengthens their political power and representation. They now want to use this power to secure their positions in education, jobs and many more. The agricultural labourers are the biggest exploiters of the Scheduled Castes in the rural areas. The scholars showed the Mandal report and according to them, it was based on the wrong methodology and a weak database. Sociologists have criticized the Mandal judgements that since independence, caste has undergone a drastic change. But still the judiciary is working on the outdated and ill-informed western notions of caste. The politics of Backward Castes is more interested in the reservations and sharing the benefits and powers than struggle for social justice.

6.3. CHECK YOUR PROGRESS I

1. When was the Untouchability (Offences) Act passed?

2. Write few sentences on Civil Rights (Amendment) Act 1976?

3. Who was Kanshi Ram?

6.4. SUMMARY

Students, in this unit we have analyzed the issues related to caste, class and creed in political sphere. Before independence, socio-religious reformers like Jyotiba Phule in Maharashtra and Sri Narayana Guru in Kerala took up the question of caste system and caste inequality. Gandhiji also integrated the issue of abolition of untouchability into the national movement. With independence, major initiatives in this area of removing caste injustice and inequality were to be attempted. The Constitution extended political rights to all citizens. The reservations were made. Dr. B.R Ambedkar played an active role in this sphere. After him, a new trend identified in the

political sphere as Dalit Panthers emerged in Maharashtra as part of the country-wide wave of radical politics. On similar lines, another party emerged in North India, Bahujan Samaj Party (BSP) for the Dalits, backward classes and minorities.

6.5. SUGGESTED READINGS

Bipan Chandra, *India After Independence 1947-2000*, India: Penguin Books, 2000.

6.6. QUESTIONS FOR PRACTICE

6.6.1. LONG ANSWER QUESTIONS

1. Write a detailed note on the issues related to caste, class and creed in political sphere?
2. Describe the issues related with the Depressed classes in India in post-independence period?

6.6.2. SHORT ANSWER QUESTIONS

1. When was the Republican Party founded?
2. Write few sentences on Dalit Panthers?
3. What do you know about the Mandal Report?
4. Who was the main leader of the Depressed Classes?
5. Write few sentences on the Article 17.
6. When was the Scheduled Castes Federation formed?
7. In which year Punjab Land Alienation Act was passed?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: CONTEMPORARY INDIA

UNIT 7: STATE'S REORGANIZATION

STRUCTURE

7.0. Learning Objectives

7.1. Introduction

7.2. Linguistic Reorganization of the States

7.2.1. Pre-Independence Period

7.2.2. Post Independence Period

7.2.3. Analysis

7.2.4. Check Your Progress I

7.3. Summary

7.4. Suggested Readings

7.5. Questions for Practice

7.5.1. Long Answer Questions

7.5.2. Short Answer Questions

7.0. LEARNING OBJECTIVES

Students, after reading this unit, you will be able to:

- Understand the reasons and processes related to the reorganization of States in India.
- Analyze the issues concerning the delimitation of the boundaries of a state.
- Know the way new states are created, and state boundaries are altered in India.

7.1. INTRODUCTION

Students, the constitution of India empowers the Union government to create new states out of existing states or to merge one state with the other. The process is called reorganization of the states. The basis of reorganization could be linguistic, religious, ethnic, administrative. India was reorganized on the basis of the States Reorganization Committee report in 1956. But it was not able to prevent the demand for new states from coming up. The linguistic basis of reorganization

was not sufficient, as new statehoods have been granted on other bases as well. As a result, there have been many new additions and manifold new demands for states in India. In this unit, the main focus will be given to analyze the basis of these new additions and the process of reorganization of states.

7.2. LINGUISTIC REORGANISATION OF THE STATES

7.2.1. PRE-INDEPENDENCE PERIOD

Before 1947, the boundaries of the provinces of India were drawn haphazardly. Most of the provinces were multilingual and multicultural because no attention was paid on linguistic and cultural cohesion. These scattered princely states added an element of heterogeneity. The argument for linguistic states as administrative units was very strong. Language is closely related to culture and to customs of the people. Education and growth of mass literacy can occur through the medium of the mother tongue. For the common people, democracy can become real only if the politics and administration are conducted in the language they understand. But the mother tongue cannot become the medium of education, administration or judicial activity unless a state is formed on the basis of predominant language.

The idea of linguistic reorganization of the provinces can be traced back to 1903 when Sir Herbert Risely, then Home Secretary in the Government of India, first raised the issue in conjunction with the proposed partition of Bengal. Congress's first evidence of support to the principle came in its opposition to the partition of Bengal in 1905. The official recognition, however, took place in the Congress session of 1917 where the principle was opposed by a group led by Annie Besant who felt that the issue could wait till the imminent 1919 reforms. It was only in 1920, that, under the leadership of Gandhi, Congress voiced the concerns of the linguistic reorganization of the Provincial Congress Committees to make the Congress regionally more democratic and plural. This new development immediately got reflected in the resolution made in the Nagpur session of 1920 with a scheme to reorganize 20 Provincial Congress Committees. Gradually, contestations over hierarchies of language, regions and culture and castes and classes began to be drawn into the national movement. With the movement for provincial autonomy becoming intense, the idea of the linguistic organization of provinces, which would make a province more homogenous and hence could effectively enhance its autonomy, began to gain ground. In 1927, a resolution was sent to the Simon Commission for the linguistic reorganization of provinces. The Motilal Nehru Report of 1928 also examined this demand in detail and recommended that factors such as administrative convenience and financial viability along with people's wishes and linguistic unity of the area concerned should be taken in account.

7.2.2. POST INDEPENDENCE PERIOD

After independence, a major aspect of national consolidation and integration was the reorganization of the states on the basis of language. Immediately after independence, the

national leadership had second thoughts on the subject. There were various reasons for this: The Partition of 1947 created serious dislocation of administration, politics and economy. There was a serious problem of law and order after the independence. Moreover, there was a war like situation with Pakistan and Kashmir problem. But the leaders felt that there was an urgent need to consolidate national unity. They also felt that any immediate step taken to redraw the internal boundaries would lead to dislocation of the administrative and the economic development. It might intensify the linguistic and regional rivalries and destroy the unity of the country. Nehru on 27 November 1947 said that the first thing was to secure a stable India. Nehru and other leaders felt that the task of redrawing of the map could wait for some years, as their main task was to create the linguistic states.

In 1948, the government appointed the Linguistic Provinces Commission, under Justice S.K. Dhar, to examine the case for the reorganization of the states on the linguistic basis. The Commission was against the step to be taken because it might threaten the national unity and effect the administration of the states. As a result, the Constituent Assembly decided not to incorporate the linguistic principle in the constitution. But in the South, the problem remained politically alive. In December 1948, Congress appointed a committee under Jawaharlal Nehru, Sardar Patel and Pattabhi Sitaramayya, President of Congress, to examine the issue afresh. This committee dismissed the idea of the reorganization on the linguistic basis for the time being. They paid heed to national unity, security and economic development as it was the need of the hour.

The Congress did not let down the public demand. So, the government decided that a state could be created where there was a determined demand for the linguistic state and the language groups were involved and agreeable to it. For instance, the demand for the separate Andhra state for the Telugu people. It also had full political support. Andhra state was created from the part of the Madras Presidency, as the government of Tamil Nadu agreed to it. But the demand was not conceded immediately because there was a dilemma between two states that who should take Madras city. The government of Andhra did not concede Madras neither on linguistic nor geographical grounds. So, it belonged to Tamil Nadu. On 19 October in 1952, Patti Sriramalu, a prominent freedom fighter, died after fifty-eight days of fast over the demand for a separate Andhra state. There were riots, demonstrations, strikes all over Andhra. The Congress immediately conceded the demand for a separate state of Andhra and in October 1953 the first separate linguistic state came into being. Tamil Nadu was also created as a Tamil-speaking state.

The creation of Andhra state intensified the demand from the other linguistic groups for the creation of the states on the linguistic basis. Nehru was against the redrawing of India's internal administrative boundaries. But he was a true democrat and could not sternly and consistently oppose the demands. S. Gopal stated that:

‘he felt that it would be undemocratic to smother this sentiment which, on general grounds, he did not find objectionable. Indeed, a linguistic mosaic might well provide a firmer base for national unity. What concerned him were the timing, the agitation and violence with

which linguistic provinces were being demanded and the harsh antagonism between various sections of the Indian people which underlay these demands'.¹

In August 1953, Nehru appointed the States Reorganization Commission (SRC), with Justice Fazl Ali, K.M. Panikkar and Hridaynath Kunzru as members, to examine the entire question of the reorganization of the states of the union. In two years of its work, the Commission faced meetings, demonstrations, agitations and hunger strikes. There were physical as well as verbal clashes between different linguistic groups. As the Commissioners reported in sorrow:

'It has been most distressing to us to witness....a kind of border warfare in certain areas in which old comrades-in-arms in the battle for freedom have pitted against one another in acrimonious controversy.....Deliberate attempts to whip up popular frenzy by an appeal to parochial and communal sentiments; threats of large-scale migration; assertions such as that if a certain language group is not allowed to have an administrative unit of its own, its moral, material and even physical extinction would follow as an inevitable consequence;.....all point to an acute lack of perspective and balance'.²

In October 1955, the SRC submitted its report. It accepted the reorganization of the states, and also recommended redrawing the state boundaries on the basis of the language. It also laid emphasis on administrative and economic factors. However, the Commission was against the splitting of Bombay and the Punjab. There were strong reactions to the report, but the recommendations of the SRC Commission were conceded with the modifications, and were implemented quickly.

In November 1956, the Parliament passed the States Reorganization Act. It divided the country in fourteen states and six centrally administered territories. Kerala was established by merging the Travancore Cochin with the Malabar district of the old Madras Presidency. The Telangana area of Hyderabad state was transferred to Andhra. The Kannada-speaking areas of Bombay, Madras, Hyderabad and Coorg were added to the Mysore state. It also merged Saurashtra and the Kutch state into that of the Bombay state to enlarge it and the Marathi-speaking areas of Hyderabad with it.

The strongest reactions against the SRC's report have been seen at different places. In January 1956, riots broke out in Maharashtra to strongly oppose the SRC Commission and the States Reorganization Act. Eighty people were killed in Bombay city in police firings. The students, farmers, workers, artists, businessmen with the support of the opposition parties organized the protest movement. As a result of agitation and violence, Maharashtra and Gujarat state were created by reorganizing Bombay state on the linguistic basis. But Maharashtrians strongly opposed this move too. Then Nehru in July decided to form the bilingual, greater Bombay. Both Maharashtra and Gujarat opposed the decision of Nehru. The two movements were led by the broad-based Samyukta Maharashtra Samiti and Maha Gujarat Janata Parishad in the two parts of the state. A large section of Congressmen in Maharashtra joined the demand for

¹ S. Gopal, *Jawaharlal Nehru-A Biography*, Vol.2, London: Oxford University Press, 1979, pp.259-60.

² Geoffrey Tyson, *Nehru-The Years of Power*, London: Pall Mall Press, 1966, p.149.

a unilingual Maharashtra with Bombay as its capital. C.D. Deshmukh, the Finance Minister in the Central Cabinet, resigned from his office on this question. The Gujaratis were not in favour to give up Bombay city to Maharashtra because they felt that they would be minority in a new state. There was a spread of violence and arson in Ahmedabad and other parts of Gujarat. In the police firings, sixteen persons were killed, and two hundred were injured.

The government stick to its decision and passed the States Reorganization Act in November 1956. But the matter could not rest there. In the elections of 1957, Bombay Congress won with a slender majority. There were agitations for over five years. Indira Gandhi, as the President of Congress, reopened the question and was supported by the President, S. Radhakrishnan. Finally, in May 1960, the government agreed in bifurcating Bombay state into Maharashtra and Gujarat. As a result, Bombay city was included in Maharashtra, and Ahmedabad was made the capital of Gujarat.

Punjab was an exception to the linguistic principle. The states of PEPSU were merged with Punjab in 1956. However, it remained a trilingual state, having three language speakers within its borders. The languages were: Punjabi, Hindi and Pahari. There was a strong demand of separate Punjabi Suba for the Punjabi-speaking areas population. As a result, communal disputes arose. Akali Dal and the Jan Sangh lead the Sikh Communalists and the Hindu Communalists, and used the linguistic issue to promote communal politics. The Hindu Communalists opposed the demand for the Punjabi Suba and denied the fact that Punjabi was their mother tongue. But the Sikh Communalists demanded the separate Sikh state and claimed that Punjabi is written in Gurmukhi language and is a Sikh language. The Communist Party and a section of Congress supported the demand, but it got mixed up with the religion. Nehru also felt that the demand for a Punjabi state was basically a communal demand. Nehru and his government were against to create a state on the religious or communal basis. The SRC also rejected the demand of separate Punjabi state on the basis that the separation would lead the communal or the language problem in the Punjab. Finally, Indira Gandhi, in 1966, agreed to divide the Punjab into two parts- Punjab and Haryana. The Pahari-speaking district of Kangra and the parts of Hoshiarpur district were merged with Himachal Pradesh. The new city of Chandigarh was made the Union Territory to serve the provincial capital of both the Punjab and Haryana. Thus, continuous strife of more than ten years, led to the reorganization of India, and it opened the way for the greater political participation of the people.

In 2000, three new states were created Chhattisgarh, out of the hill areas of Madhya Pradesh, Jharkhand, out of the hill areas of Bihar and Uttarakhand, out of the hill areas of Uttar Pradesh. There was a time the hill areas of Bihar and Madhya Pradesh were dominated by people who are now called Scheduled Tribes. Industrialization and migration have turned them into minorities. Uttaranchal is almost entirely non-tribal.

In North-East India, autonomy movements became powerful among people of several hills. In 1960, an Interim Government was set up for the Naga hills. In 1963, the state of Nagaland was created. In 1969 Meghalaya became an autonomous state within Assam. In 1972, Meghalaya became a full-fledged state. Two Union territories – Arunachal Pradesh and Mizoram

– were created out of the territories of Assam, while Manipur and Tripura were promoted to full statehood. All the new political entities had populations with large proportions of scheduled tribes. The scheduled tribes themselves are, however, many.

Sikkim joined India in 1974. In 1986, Arunachal Pradesh and Mizoram became full-fledged states. In 1987, Goa was administratively detached from Daman and Diu and made a state, while Daman and Diu remained a Union territory.

7.2.3. ANALYSIS

Students, it's clearly shown in the events discussed above that the loyalty to a language was quite consistent with, and was rather complimentary to, loyalty to the nation. The national leadership removed a major grievance which could have led to fissiparous tendencies by reorganizing the states on linguistic lines. States reorganization is, therefore, 'best regarded as clearing the ground for national integration. Also, even though during the agitation for states reorganization the language of warring camps was used, language has not subsequently defined the politics of the states.

The linguistic reorganization of the states has not in any manner adversely affected the federal structure of the Union or weakened or paralyzed the Centre, as many had feared. The central government wields as much authority as it did before. The states have also been cooperating with the Centre in planning and economic development. No one complains of discrimination in the raising or expending of resources on grounds of language. If anything, the national government has been strengthened by the creation of coherent state units. W.H. Morris-Jones rightly said, 'the newly fashioned units, it is true, have a self-conscious coherence, but they are willing, thus equipped, to do business with the centre, to work as parts of a whole that is India.

Thus, the reorganization of the states did not weaken the unity of India, but strengthened as a whole by disappointing 'the prophets of gloom' and removing the apprehensions of the friendly. To quote the political scientist, Rajni Kothari quotes, 'In spite of the leadership's earlier reservations and ominous forebodings by sympathetic observers, the reorganization resulted in rationalizing the political map of India without seriously weakening its unity. If anything, its result has been functional, in as much as it removed what had been a major source of discord, and created homogenous political units which could be administered through a medium that the vast majority of the population understood. Indeed, it can be said with the benefit of hindsight that language, rather than being a force for division, has proved a cementing and integrating influence'.

However, all the linguistic disputes were not resolved by the reorganization. Still there are conflicts over boundaries between different states, linguistic minorities and economic issues. Nevertheless, the reorganization has removed a major factor affecting cohesion of India.

7.2.4. CHECK YOUR PROGRESS I

1. Who was Sir Herbert Risely?

2. Write a few sentences on the Nagpur session of Congress in 1920.

3. What was the result of State Reorganization Act 1956?

7.4. SUMMARY

Students, in this unit the attention has been given to the linguistic reorganization of India. In 1948, the Linguistic Provinces Commission was appointed, which was headed by Justice S.K. Dar to enquire into the desirability of linguistic provinces. The Dar Commission advised against the step at the time, for it might threaten national unity. Then, Congress appointed a committee (JYP) in December 1948 to look into the linguistic question again. The committee advised against the creation of linguistic states. It resulted in popular movements for states reorganization all over the country. The first demand for a linguistic province was raised by the Telugu speaking people of Andhra. The JVP accepted that a strong case for the formation of Andhra out of the Madras Presidency existed, particularly as the leadership of Tamil Nadu was agreeable to it. The government conceded the demand for a separate state of Andhra, which finally came into existence on 1st October 1953. The success of the Andhra struggle encouraged other linguistic groups to agitate for their own state or for rectification of their boundaries on a linguistic basis. With a passage of time, the State Reorganization Act was passed by Parliament in November 1956. It provided for fourteen states and six centrally administered territories. The Telangana area of Hyderabad state was transferred to Andhra. Kerala was created by merging the Malabar district of the old Madras Presidency with Travancore-Cochin. Certain Kannada – speaking areas of the states of Bombay, Madras, Hyderabad and Coorg were added to the Mysore state. Bombay state was enlarged by merging the states of Kutch and Saurashtra and the Marathi-speaking areas of Hyderabad with it. The strongest reaction against the SRC's report and the States Reorganization Act came from Maharashtra, where widespread rioting broke out. The government finally bifurcate the state of Bombay in Maharashtra and Ahmedabad being made the capital of Gujrat. Punjab also divided on language basis Hindi and Punjabi. Chandigarh was made the newly built city and capital of Punjab and Haryana. Thus, after more than ten years of continuous strife and popular struggles, linguistic reorganization of India was largely completed.

7.5. SUGGESTED READINGS

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S. Gopal, *Jawaharlal Nehru-A Biography*, Vol.2, London: Oxford University Press, 1979.

7.6. QUESTIONS FOR PRACTICE

7.6.1. LONG QUESTION ANSWERS

1. Discuss the factors which led to the formation of linguistic states in India?
2. Summarise the process of reorganization of the States in India.

7.6.2. SHORT QUESTION ANSWERS

1. Write a few sentences on State Reorganization Act 1956.
2. What do you know about PEPSU?
3. Who were appointed as members of State Reorganization Commission?
4. Who was Justice S.K.Dhar?
5. Who was Patti Sriramalu?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: CONTEMPORARY INDIA

UNIT 8: SOCIAL MOVEMENTS: ANTI CASTE, FEMINIST, MINORITIES

STRUCTURE

8.0. Learning Objectives

8.1. Introduction

8.2. Social Movements

8.2.1. Anti Caste Movements

8.2.2. Check Your Progress I

8.2.3. Feminist Movements

8.2.4. Check Your Progress II

8.2.5. Movements Among Minorities

8.3. Summary

8.4. Suggested Readings

8.5. Questions for Practice

8.5.1. Long Answer Questions

8.5.2. Short Answer Questions

8.0. LEARNING OBJECTIVES

Students, after reading this unit you will be able to:

- Understand the concept of social movements and factors which led to them.
- Analyze various types of social movements and issues involved in the movements.
- Know the phases through which the anti-caste movements has passed.
- Identify the role of women and their organizations in the country during post-independence period.

8.1. INTRODUCTION

Students, this unit discuss the emerging social movements in the country during post-independence period. Social movements in recent years have attracted the attention of not only social anthropologists, but also of political scientists, historians and public administrators. Social movements caused change in multiple ways in the past as well as in the present. They occur due to certain societal conditions and aims at improving it by bringing transformation in the social structure. Broadly any organized and sustained collective action with shared ideology and objectives aiming to bring change in society. In Post Independent India, movements demanding social justice and equal distribution of power in the past, social and economic in equality, marginalization of women and weaker sections, issues related to community and religious identity, cultural and also social problems have existed. Some of the famous movements like Dalit movement, women movement and movement among minorities.

8.2. SOCIAL MOVEMENTS

The term ‘social movement’ was introduced by the German sociologist Lorenz von Stein in his book, *History of the French Social Movement from 1789 to the Present* (1850). Social movement is carrying out, resisting or undoing a social change. A social movement mainly aims to bring in reforms or changes in the social structure. It is born out of conditions of exploitation in the society. Graham Wallace, defines social movement as ‘it develops out a deliberate, organized and conscious effort on the part of members of society to construct a more satisfying culture for themselves’. Social movements refer to a collective action or behavior to achieve better conditions in society. It can be said that social movements defined as a voluntary association of people engaged in a concerned effort to change behavior and social relationships in a larger society. The social movements aim at bringing radical changes against the unjust, unlawful and in human actions in society.

The postmodern researches, social scientists and academia have developed their interest to study social movements. There are various types of social movements like Peasant movements, Tribal movements, Dalit movements, Backward caste movements, Women movements and many more. Students, this unit only discuss anti caste, feminist and minority social movements in the country. Let’s discuss them one by one:

8.2.1. ANTI CASTE MOVEMENTS

The anti-caste movements began as a protest movement to bring socio-political transformation in the country. Dalits have been ruthlessly exploited and inhumanly subjugated by the upper castes for centuries. There were number of movements launched to protect their rights.

a.B.R. AMBEDKAR AND BUDDHIST DALIT MOVEMENT

Bhimrao Ambedkar was a pioneer figure in the anti-caste movement. Throughout his life,

he struggled for the upliftment of the Dalits. On 15th August 1947, he became India's first Law minister. On 29 August 1947, Ambedkar was appointed as the Chairman of the Constitution Drafting Committee and appointed by the Assembly to write India's constitution. He provided constitutional guarantees and protection of civil liberties for individual citizens. He also provided freedom of religion, abolished untouchability and outlawed all forms of discrimination. Ambedkar fought for socio-economic rights of the women. He was successful in reserving the seats in the civil services, schools and colleges for the SCs and STs. Many law-makers in India tried to eradicate the socio-economic differences for depressed classes.

Around 1950, Ambedkar began devoting his interest into Buddhism and travelled to Ceylon (now in Sri Lanka). There he attended the meeting of the *World Fellowship of Buddhists*. He decided to convert to Buddhism. In 1954, he visited Burma twice. He went a second time to attend the third conference of *World Fellowship of Buddhists* in Rangoon. Ambedkar formed the *Bharatiya Bauddha Mahasabha* in 1955. On 14 October 1956, he organized a formal public ceremony for himself and his followers in Nagpur. Ambedkar, along with his wife, completed a conversion to Buddhism. He also converted his 500,000 supporters to Buddhism. Then he went to Kathmandu in Nepal to attend the fourth meeting of the World Buddhist Conference. Ambedkar believed that Buddhism possessed a moral doctrine and will help the Dalits to improve their social status and will gain identity and dignity. Ambedkar was convinced during the Mahar Conference at Bombay Presidency in 1936 that conversion could be beneficial for Dalits to gain dignity and identity. He realized that Hindu religion is based on caste system, and Dalits would always struggle for food and water, if they follow Hinduism. In 1956, Ambedkar embraced Buddhism in Nagpur. Under his leadership, about four lakh Dalits converted themselves into Buddhism. In 1981, to protest against the arrest of the activists from Bhim Army, a Dalit organization, 180 Dalits converted to Buddhism in Uttar Pradesh. Dr. Ambedkar was the chief architect of the Dalit movement. Without being influenced by the socialist approach of the Marxist theory, Ambedkar consolidated the economic development plan to describe the depressed classes in India. Ambedkar was concerned about the empowerment of the depressed classes in India. In State and Minorities, without closing private enterprise, Ambedkar laid down the strategy of the economic development of India and provide equal distribution of wealth. According to the census of 2001, currently there are 7.95 million Buddhists, out of whom 5.83 million are Buddhists in Maharashtra. In India, Buddhism became the fifth-largest religion with 6% of population of Maharashtra, but less than 1% of the overall India. The revival of Buddhism mainly remained concentrated in Maharashtra, the native of Ambedkar and Uttar Pradesh, the land of Acharya Medharthi and their associates. In 1968, Bhoj Dev Mudit converted to Buddhism and opened his own school. In Kanpur, Rajendranath Aherwar emerged as the important Dalit leader. In 1961, he joined the Republican Party of India and converted to Buddhism with his whole family and founded a branch of "Bharatiya Buddh Mahasabha" in Kanpur in 1967. In 1980, in Kanpur,

the Dalit Buddhist movement gained impetus with the arrival of Dipankar, a Chamar Bhikkhu. He made his first public appearance during the Buddhist mission in Kanpur and in 1981, and a large number of people were converted to Buddhism. Rahulan Ambawadekar, an RPI Dalit leader, organized the event. Inspired by the Maharashtra Dalit Panthers, Ambawadekar in 1981 founded the U.P. branch of Dalit Panthers.

b.DALIT PANTHERS

The Dalit Panthers was a social organization to fight against the caste discrimination. The organization was founded on 29 May 1972, by Namdeo Dhasal and J.V. Pawar in Maharashtra. The Dalit Panther movement was a neo-social movement and followed Ambedkar's policy to find theoretical framework for the movement. The Dalit Panthers were inspired from the Black Panther Party, a socialist movement that fought racial discrimination against African-Americans in mid 20th century during the Civil Rights Movement in the USA. In Bombay the Dalit Movement was initiated by Namdeo Dhasal, J.V. Pawar, and Arun Kamble. The Dalit movement laid emphasis on militancy and revolutionary attitudes. The members of the Dalit Movement were mostly young men and some Neo-Buddhists. They fused the ideologies of Karl Marx, Ambedkar and Jyotibha Phule and practiced radical politics. The Dalit Panthers used the term *Dalit* for the lower-caste communities. The use of arms and threats made the movement revolutionary. They struggled for all the oppressed people in the world. For bringing a revolutionary change, Marxism provided a scientific framework. Both Dalit and non-Dalit wanted fundamental change, but the former adhered to the Ambedkarian methods of socio-political change. The Dalit Panther lacked the anger and ideology to achieve the goal as Black Panthers Party. The Dalit Panthers reflected self defence, mass organizing techniques, propaganda techniques and radical orientation, the positive aspects of BPP. They also reflected dogmatism, neglect of economic foundation needed for the organization, lack of struggle, corruption among the leaders.

c. CONTRIBUTION OF KANSHI RAM

In 1984 Kanshi Ram founded Bahujan Samaj Party (BSP), a popular national political party on the birth anniversary of Dr. Ambedkar to represent Bahujans means "People in minority." It comprises Scheduled Castes, Scheduled Tribes and Other Backward Castes (OBC), and religious minorities. They were influenced by the philosophy of Dr. B.R. Ambedkar, Jyotibha Phule, Narayana Guru, Gautam Buddha, Periyar E.V. Ramasamy and Chhatrapati Shivaji Maharaj. BSP's primary motive was to uplift the Dalits by the ideology of "Social Transformation and Economic Emancipation" of the Bahujan Samaj. The champion of lower caste rights, Dr. Ambedkar became the ideological guru and the icon of the BSP cadres. The BSP's political strategy is to narrate stories, build memorials and organize celebrations for the Dalit heroes.

Kanshi Ram established the Backward and Minority Communities Employee

Federation (BAMCEF) in 1973. The motto of the organization is to “Educate-Organise and Agitate.” Kanshi Ram kept on making people aware of the realities and functions of the caste system and ideologies of B.R. Ambedkar in India. He organized a road show as “Ambedkar Mela” in 1980 to spread the views of Ambedkar through narrations and pictures. Then in 1981, Kanshi Ram founded Dalit Soshit Samaj Sangharsh Samiti.

d.MAYAWATI’S CONTRIBUTION TO DALIT MOVEMENT

Mayawati Prabhu Das served four separate terms as Chief Minister of Uttar Pradesh. She is the national President of the Bahujan Samaj Party (BSP), which focuses on the platform of social change for the Bahujans commonly known as Scheduled Castes, Other Backward Castes, and religious minorities. P.V. Narsimha Rao, former Prime Minister of India, called Mayawati’s government as “miracle of democracy.” During her tenure, Mayawati issued directives to all the Commissioners and the District Magistrates to undertake a special drive for the allotment of 3-acre land pieces or pattas to Dalits. It was also said to look into the illegal possessions of pattas and dispose them to the eligible poor by regular monitoring of pattas. Through the verification of different development and public welfare programmes, strict action against the mafias and musclemen must be taken. 5596 Scheduled Caste and Scheduled Tribe people were allotted 1054.879 hectares of agricultural land in 2010. 88 people were arrested and 74 FIRs were filed in a special drive, for illegal occupation of agricultural land.

Mayawati’s government has taken several decisions from March 2007 to May 2008, for the weaker section of the society. The decisions are: (1) Special Recruitment Drive (2) Reservation of SC/ST in Private Sector (3) Transparency in scholarship distribution (4) Mahamaya Housing Scheme (5) Kanshi Ram Shahri Garib Niwas Yojna (6) Building of Community Halls for Dalits (7) Janani Suraksha Yojna under which Rs. 1400/- is provided to the eligible pregnant women. Mayawati’s contribution to the Indian polity is the empowerment of the Dalits. She gave self-confidence to the Dalits that Kanshi Ram and Ambedkar could never give.

e.DALIT WOMEN’S MOVEMENT

Dr. Ambedkar’s wife, Ramabai as a President founded a women’s association in January 1928 in Bombay. On 20th July 1942, 25,000 women attended All India Depressed Classes Women Conference. Thus, because of their oppression, Dalit movement considered even the highest caste women as Dalits. In 1993, Ruth Manorma founded The National Federation of Dalit Women (NFDW), which encouraged Indian women’s movements to take the question of caste seriously and raise voice against the violence on Dalit women. Dalit women founded Dalit Mahila Sanghatana in Maharashtra in 1995. It represented the question of Dalit women at the International Women Conference in Beijing. The Dalit women represented themselves in 1993 in Durban Conference on Racism and International Women’s Conference in Beijing in 1995. These events were the turning points in the history

of the politics of the Dalit Women. The Chief supporters of the Dalit women were Ramabai Ambedkar, Mrs. Anjinibai Deshbhratar, Mrs. Gitabai Gaikwad, Mrs. Kirtibai Patil and Sulochanabai Dongre.

According to Dalit Feminists, Dalit Women face three-fold oppressions such as:

1. Oppression of Dalits by upper castes.
2. Upper caste land owners oppress the agricultural workers.
3. Patriarchal oppression faced by the women.

The present-day goals of Dalit Women's Movement are as follows:

1. To change caste equations at the working place.
2. Promotion of leadership of local women.
3. Protest against the violence against men and women.
4. Negotiation of terms with upper castes during elections.
5. Ensuring the benefits of governmental schemes for Dalits.

A Dalit woman has to face gender discrimination, economic and caste exploitation, and patriarchy oppression. She also suffers from the lack of the cultural capital. Ambedkar spoke not only for the rights of Dalits but also for the rights of Dalit women. He argued that Brahminism regulated sati system, widowhood and child marriage to control the transgression of boundaries that laid the fact that women are the gateways to the caste system and it can be maintained by the control on women's sexuality.

8.2.2. CHECK YOUR PROGRESS I

1. Define a social movement.

2. Mention two reasons for the rise of anti-caste movements in India.

3. Comment on Bhim army.

4. Who were Dalit panthers?

8.2.3. FEMINIST MOVEMENTS

Indian women's legal, political, educational and social status of women has undergone drastic changes since independence. This was expected since the beginning of the 19th century, the improvement of status of women had been a burning topic of the social reform movement, when Raja Ram Mohan Roy questioned of social orthodoxy. Political participation of the Indian women in the massive freedom struggle from 1920s and especially in the 1930s. The

participation of women in national movement, their capability of struggle and sacrifice than men, proved their desirability in the public sphere. If the women defy the laws, march in processions and go to jail without any support of male member, then they could take up jobs, have right to vote and might inherit parental property. In the 19th century, the image of women changed from a recipient of justice to an ardent supporter of nationalist men, in the 20th century and comrade by 1930s and 40s. From Gandhian to Socialist, from Communist to revolutionary terrorism, Indian women had participated in all. Be it a trade union movement or peasant struggle, Indian women were always active. Indian women founded the 'All India Women's Conference' in 1926.

After independence, the attention turned to secure the legal and constitutional rights for women. The Constitution raised the age of consent and marriage, gave a right to divorce, upheld monogamy, maintenance and inheritance and treat the dowry as women's property. The conservative societies opposed the rights provided by the constitution. Some senior Congress leaders, including President Rajendra Prasad, despite strong support from majority Congressmen, women activists and social reformers, postponed the bill. Sections of the Bill were passed as four acts: The Hindu Marriage Act, the Hindu Succession Act, the Hindu Minority and Guardianship Act, and the Adoption and Maintenance Act.

The legal rights extended to the women were not enough, but it was a big initiation. The government stiffly opposed and attempted to extend the legal rights in the other religious communities. About forty years of reformation of Hindu law, in 1985, the Supreme Court granted a pittance as maintenance to Shah Bano, a divorced Muslim woman. There was an extreme pressure from the Muslims on the government to introduce a bill to nullify the judgement of the Supreme Court. The Government of India took many steps to protect the interests of the women. Many legal rights have been exercised, but others remained on paper. The right to vote was taken very seriously. The women are the keen voters and acutely conscious of power of vote, especially the rural women. But on the other hand, legal rights are not claimed on the right to inherit parental property. The tradition of patrilocal residence (residence of husband's home), is responsible to forgo the rights of women in parental property, both in rural and urban areas. This might be reason that the women do not refuse to give up dowry as it is only the chance of getting their share in the parental property. The legal right of divorce is much more prevalent in the urban areas.

In the post-independence period, the women's movement has concerned itself with a large number of issues such as dowry deaths, rape, and alcohol related domestic violence. The women issues have been taken up by the women's organizations, mainstream political parties as well as grassroot movements. From the 1970s to 90s, various movements such as localized and bigger spatial reach have been launched. Therefore, it heightened the public awareness on these issues. Post-independence, with the political forces in the national movement, the women's movement also diversified. Most of the women leaders involved themselves with the government-initiated and other institutional activities for the welfare, rehabilitation and recovery of the women who were lost or abandoned during the partition and mass migration. They set up

the hostels, women's vocational centres in the cities. In 1954, the Communist women left All India Women's Conference and founded the National Federation of Indian Women. It became a party forum and not a broad united platform for women. Perhaps, there was not much evidence of women struggle in the 1950s and 60s. Resurgence of women's movements and emergence of new groups and organizations occurred in the late 1970s. Women played a crucial role in peasant, tribal, farmers, trade union and environment movements. In 1946-47 in the Tebhaga movement in Bengal, women formed Nari Bahini and ran shelters and maintained lines of communication. Mahila Atma Raksha Samitis (women's self defence committees) were formed at village level took up the issue of domestic violence. Communist women activists mobilized the rural women on the issues of finance and property. Another major Communist peasant struggle was in Telangana area of Hyderabad State from 1946-1950. Women played a significant role and paid attention to the women issues like wife beating. Women were discouraged to join the guerilla movement, but when they joined successfully they were not totally accepted. The Communist women complained about encouragement of marrying the men comrades and working on the women's front.

In the late 1960s and early 1970s the new political trends and movements emerged such as Chipko movement, Naxalite movement, the JP movement and the anti-price rise movement. Communist and Socialist women organised anti-price rise movement in 1973-75 in the urban areas of Maharashtra. Thousands of women joined rallies and those who were unable to join the rallies, beat thalis (metal plates), with lathas (rolling pins). The anti-price rise movement spread to Gujarat where it meshed into the Nav Nirman movement which was influenced by Jayaprakash Narayan's "Total Revolution." There was a liberating effect of mass participation of women. It enabled them to gain self-confidence that was needed for the complex issues of patriarchy and women's oppression. SEWA or Self-Employed Women's Association founded as a Women's wing of the TLA (Textile Labour Association), an old Gandhian organization. Its aim was to pick up the women from the unorganized sector and organize them into a union, which provide training, credit and technical help. SEWA spread to Indore, Delhi, Bhopal and Lucknow. Even today, SEWA is led by Ela Bhatt, a successful Indian woman. In 1972, a different movement emerged in the Shahada tribal area of Dhulia district in Maharashtra. Initially it was led by Gandhian Sarvodaya workers and later by Maoist activists. The prominent Bhil tribe women initiated a militant anti-liquor campaign. The women saw liquor the main cause of domestic violence or wife beating. They broke liquor pots in drinking dens and marched to punish the men who beat their wives in public. In the early 1960s, in the hilly areas of U.P. similar movement took place under the influence of Gandhians such as Vinobha Bhave, Gandhi's followers Sarla Bhen and Mira Ben. After independence, they set up ashrams in Kumaon. Sunderlal Bahuguna, the local Gandhian leader, became famous in the Chipko agitation. Women in large number demanded prohibition of sale of liquor. In the mid 1990s, the powerful anti-liquor protest by poor rural women took place in Andhra Pradesh. It led to a policy of prohibition and later restriction of liquor sales. Gandhi made liquor boycott an integral part of the nationalist movement and entrusted its implementation to the women.

From 1974, women again became active in the Chipko movement in Uttarakhand. The women hugged the trees in order to save the trees and prevent timber contractors from felling them. It was the first major movement to save the environment. It showed that women had special nurturing role towards nature. The environment issues were the women. Because of the disappearance of the forests, women had to walk miles to collect fuel wood, fodder and water.

The women in the Chhattisgarh Mines Shramik Sangh were very militant that was set up in 1977 in the tribal belt. They protested against the mechanization policy of the Bhilai Steel plant because it was detrimental for the women employment. The Mahila Mukti Morcha also developed as a new platform. In 1979, the Chhatra Yuva Sang harsh Vahini organization was formed, which was influenced by the ideas of Jayaprakash Narayan. The organization led the struggle of the agricultural laborers against the temple priests in Bodh Gaya in Bihar. The women played a major role and raised demand that land should be registered in the names of women also. In the later years, in some states the women were given the pattas or title deeds for land distributed by government and even tree pattas were given. The Bhopal Gas Peedit Mahila Udyog Sangathan made an effort to secure justice for the victims of the Bhopal gas leak tragedy in the Union Carbide factory in 1984. In the mid 80s, the Samagra Mahila Aghadi was the women's wing of Shetkari Sangathana. From 1980 it was spearheading the farmer's movement in Maharashtra. In November 1986, over one lakh women attended its session and took a stand against the cruelty of the politics against the women more than other sections of the society. They also decided to put up women in zila parishad and panchayat elections. The autonomous women groups emerged in the urban areas in the mid 70s. Many of the women were influenced by the Maoist and Naxalite movement. The issues of gender relations and the women's position in political organizations were prominent in the decline in the early 1970s. Some of these organizations are: the Progressive Women's Organization in Osmania University in Hyderabad in 1974, the Purogami Stree Sangathana in Pune and the Stree Mukti Sangathana in Bombay in 1975. International Women's Year was a name given to 1975 by UN. Since that day 8 March is celebrated as the International Women's Day. The women belonged to Maoist groups, the Socialist and republican parties, CPM, and Lal Nishan Party attended women's conference in Pune in October. After the emergency in 1977, in Delhi, a women's group turned out to be one of the most enduring institutions of the women's movement. Manushi is a journal, which has documented and analyzed the women's movement, told its history, presented women's literature under the leadership of Madhu Kishwar, one of the self-reflective and fearless voices in the women's movement. Mainly Socialist women formed the Mahila Dakshata Samiti and initiate the campaign against the dowry. Delhi based Stri Sangarsh also played a very active role in it. From 1979, the campaign launched street rallies and plays, against the dowry deaths. The Janwadi Mahila Samiti, All India Democratic Women's Association, set up in 1981, conducted door-to-door campaign on the issue. The Dowry Prohibition Act was passed in 1961 and sent to a Joint Select Committee of the Parliament. After strengthening amendments, the law against perpetrators of dowry related crimes were passed in 1984. Several women's organizations

introduced a bill in 1980 to make amendments in the existing laws. In 1983, the bill was passed with a main change that custodial rape was considered as more heinous crime than other forms of rapes. The burden of proof was shifted to the accused from the victim. For some time, the anti-dowry and anti-rape agitations campaigns were active and energetic, but the unity and enthusiasm for Shah Bano case in 1985-86 was not the same. The issue was all complicated by the communal atmosphere. It left the Hindu women activists helpless and confused to protect the rights of the Muslim women.

The agitation against the sati, wherein a young woman Roop Kanwar was burned to death in Deorala in Rajasthan. It created much havoc. Many Hindu communal groups portrayed it as an attack on Indian tradition and deployed women on to the streets to defend their right to sati. Arya Samajists like Swami Agnivesh stood against the sati system in rural areas of Rajasthan and Haryana and challenged the head priests of Benares and Puri to debate on the claim for a scriptural sanction for sati. In the 1980s, the mass campaigns were shifted to work like setting up women's centres for legal aid, counselling, research, documentation, publication. The women group like Saheli in Delhi, felt that it was not important to focus only on the problems of the women but also on their joys and encourage them to express themselves through music, dance and art. Other magazines raised issues related to women's health, campaign against feticide, rights of girl child, and water and housing for women in the slums. Many organizations working for women welfare focused on the issues into their work. Similarly, 'Anveshi' was set up in Hyderabad for theoretical studies of women's issues. In Delhi the Centre for Women's Development Studies promoted research and documentation and launched a famous journal "Journal for Gender Studies." In the 1990s, many more university-based centres came up with research and writings on Women's Studies and appeared in university curriculum.

The women's movement entered the institutionalization and consolidation phase because of the diffusion of ideas in wider society and sharp ideological content. The movement also lacked unity, strategies and methods, from sectarianism which was probably a contribution and reacting on the immediate crises rather than building a consensus on an agenda for action. Many foreign organizations donated but had little relevance to the movement in India. The gap between the educated urban and rural or poor women groups always remained, though it has become narrow to some extent.

The Indian Government launched National Perspective Plan for Women in 1988, for detailed plans for women's health, education and political participation. The Panchayati Raj Bill was introduced in 1989, passed in 1993, according to which one-third seats were reserved for the women in the panchayats. The government of India also introduced a scheme DWACRA, Development of Women and Children in Rural Areas. It sponsored Mahila Mandals or Sanghams in the rural areas. This scheme enabled the rural women to organize and express themselves and get support from local voluntary and political groups. The Mahila Kosh scheme was also started to improve the skills and standards of living. The working of these schemes depended upon the capacity of their utilization at the local level, politicization and awareness of women's issues. To help poor rural women, many groups used legitimate or protective cover of a

government. The women's role have increased in national politics. The women pradhan are given special training to perform the new roles. The one-third reserved seats for women received support from politicians, women's groups, some political parties.

8.2.4. CHECK YOUR PROGRESS II

1. Write down the full form of DWACRA.

2. Write few sentences on the Chipko movement.

3. Who was Sunderlal Bahuguna?

8.2.5. MOVEMENT AMONG MINORITIES

India has its share of minorities – generally defined in religious terms - though the Constitution does acknowledge the existence of linguistic minorities. Indeed, the Constitution of India has taken the identification of Indian minority from the report prepared by the Advisory Committee on minorities submitted to the Constituent Assembly in August 1947. As the report records, till this stage, the seven minorities communities as officially accepted were: Sikhs, Muslims, Christians, Parsees, Anglo-Indian, Plain tribesman in Assam and Scheduled caste. Later, amendments and modifications in it were suggested from time to time. The country has a total area of approximately 1.3 million square miles and a population of slightly more than one billion. According to the 2001 Indian census, Hindus constitute 80 percent of the population, Muslims 13 percent, Christians 2.3 percent, Sikhs 1.9 percent and others, including Buddhist, Jains, Parsis (Zoroastrians), Jews and Baha'is less than 2 percent. Hindus are in majority and spread throughout the country. Minority communities like Muslims are found in the states of Uttar Pradesh, Bihar, Maharashtra, West Bengal, Andhra Pradesh, Kerala, Jammu and Kashmir. Christian concentrations are found in the north-eastern states as well as in the southern states of Kerala, Tamil Nadu, Goa, Nagaland, Mizoram and Meghalaya. Sikhs are a majority in the state of Punjab. India has a diverse religious configuration, it is but natural that people of this land are bound to get influenced in their public or private activities by religious sentiments. In order to assert their religious identity in social and political life, all the communities have tried to influence the masses by raising emotive issues more often resulting in destructive tendencies, affecting the nation building process and causing embitterment in the social harmony.

a. MUSLIMS

Islam is one of the largest minority faiths in India. and is perceived by Sangh Parivar as actively engaging a pan-Islamic ideology in order to recover the past glory and constantly is the cause of

the Hindu sense of insecurity. Muslims have constantly raised the issue of Urdu as a part of their religio-cultural heritage. Urdu has also acquired a religious color. With the passage of time, Urdu is losing its glory. The communal color associated with this language. Urdu has become largely confined to Muslim minority educational institutions and religious seminaries called Madrasas. Though it has survived, yet the learners now belong to the lower strata of the Muslim community which is not only economically backward but socially fragmented too, which consequently renders it as one of the educationally backward and deprived communities in the country. Islamization of communal violence, separatism and terrorism issues too have come up as the special feature of religious communalism of Muslims in India, especially in the state of Jammu and Kashmir. The Government officially banned the Students Islamic Movement of India (SIMI) in September 2001 under the Unlawful Activities Prevention for 'communal tension' and actions 'prejudicial to India's security'. The Government claimed that the SIMI had links with terrorist groups such as the Lashkar-e-Tayyeba and the Hizbul Mujahideen. The police in three different states arrested eight members which included their president Khalid Naeem. Apart from this, Government banned the Muslim group Deendar Anjuman for spreading communal tension. State prosecutors claimed that members of the group Deendar Channabasaveshwara Siddique (DCS) and its parent organization, Deendar Anjuman, were responsible for the Karnataka and Andhra Pradesh church bombings in 2000.

b. CHRISTIANS

Christianity is India's religion after Hinduism and Islam. Christian population is concentrated in three major centres: South India, Konkan Coast and North East. In South India, the major Christian centers are Kerala, Tamilnadu and Andhra Pradesh. Majority of the Christians in Kerala constituting about 19 percent of the population of the state, trace their origins to the first phase, the first century missionary activity of Thomas, the disciple of Christ. After that many missionaries from different parts of the world preached Christian faith in the country. The States of Arunachal Pradesh, Rajasthan, Madhya Pradesh, Himachal Pradesh, Jarkhand, Orissa and Tamil Nadu have passed laws restricting or prohibiting conversion. In 1977, the Supreme Court of India ruled in *Rev. Stansilaus vs. Madhya Pradesh* that the right to propagate religion did not include the right to convert others to one's own religion. In other words, Article 25(1) granted the right to evangelize, but not to proselytize. In 2003, ruling on certain provisions of the Orissa Freedom of Religious Act (1967), the Supreme Court observed: "What Article 25(1) grants is not the right to convert another person to one's own religion, but to transmit or spread one's religions by an exposition of its tenets". But main question what is the freedom to practice and propagate with restrictions- how does one spread his religion if not through conversion?

Church in India have released document indicating that violence against Christian has been more since 1998 to the present than between 1950 to 1997. In states of Gujarat, Orissa, Punjab, Karnataka, Rajasthan, Uttar Pradesh, Tamil Nadu and Andhra violence against the Christian have increased. The conspiracy begins by fanning hatred, creating Mythology of Hate through disinformation and by repeating falsehood. The conspiracy is to brand the Christian

community aliens. By propounding a thesis “One people, One Nation and One Culture,” effort of this group is to denounce the pluralistic traditions of Indian culture, the richness of its diversity and the spiritual contribution of its varied faiths. Anyone who is different is branded as enemy and attacked coerced and assaulted.

Foreign Christian missionaries have been also targets of attacks. In a well-publicized case, Graham Staines, an Australian Missionary working among lepers, was burnt to death while he was sleeping with his two small sons in his station wagon in Orissa village in January 1999. Such violence on foreign missionary continue on other parts of India too. In its annual human rights report of 1999, the United States Department of State criticized India for “increasing societal violence against Christians.” The report listed over 90 incidents of anti-Christian violence ranging from damage of religious property to violence against Christian pilgrims. Between July 2000 to December 2007, there has more than 263 attacks on Christians in Orissa, Karnataka, Tamil Nadu, Madhya Pradesh, Jharkhand, Chhattisgarh, Uttar Pradesh. In some of the act’s violence include forcible conversion of converted Christians back to Hinduism, distribution of threatening literature and destruction of Christian cemeteries.

c. SIKHS

The Sikh religion dates back to the end of the fifteenth century and was founded by Guru Nanak. Sikhs are a religious minority in the north-western state of Punjab, where they form a majority. Before independence, the Shiromani Akali Dal and Shiromani Gurudwara Parbandhak Committee (SGPC) were two principal organizations which mobilized Sikhs on the religious lines during the 20th century. The Shiromani Akali Dal launched socio-religious movement in the 1920s to liberate the Gurudwaras from the control of Mahants and landed aristocracy. They were successful in their mission and British government gave the SGPC a statutory status. After independence, the Akali Dal continued to mix religion with politics. In order to maintain their Sikh identity and to make their minority community powerful, Master Tara Singh, the most prominent leader of the Akali Dal up to 1962, viewed it exclusively in terms of political interest of the community. He felt the then existing situation as a serious threat to the existence of Sikh community.

The Congress was defeated in the elections and the Akali Dal formed the government in coalition with the BJS and the Communist parties in 1967. During 1967-71, the Akali ministry fell thrice and there was constant instability due to the intra-factionalism in the Akali Dal. But the ruling leadership managed to maintain ascendancy of secular material consensus and considerations of power in the secular political domain of the state. Even in that process, it had to reconcile with Tara Singh faction. The Batala Resolution of 1968, and the Anandpur Sahib Resolution of 1973, which meant in substance the adoption of Master Tara Singh’s groups ‘Sikh Homeland’ as the goal of Akali Dal. The Akali Dal enjoyed effective power in the secular political domain of the state along with control over the SGPC from 1977-80. Akali Dal challenged the Congress in Punjab. In return, Congress took the help of Sant Jarnail Singh Bhinderanwale, Sikh religious leader in 1980 assembly elections. The Sikh religious leaders

asserted their autonomy and demanded their share in arena of political power. There was competition among the political parties Congress, Akali and religious and militant leaders to use religion on the one hand, and movement for Khalistan, a Sikh home land on the other. This movement received fillip from the involvement of the people settled in other countries and from the changing religious, cultural and economic situation. The large-scale violence began which included operation Blue Star and assassination of political leaders and activists, anti-Sikh riots in Delhi in 1984.

8.3.SUMMARY

Students, this unit discuss the emerging social movements in the country during post-independence period. Social movements in recent years have attracted the attention of not only social anthropologists, but also of political scientists, historians and public administrators. Social movements caused change in multiple ways in the past as well as in the present. They occur due to certain societal conditions and aims at improving it by bringing transformation in the social structure. Broadly any organized and sustained collective action with shared ideology and objectives aiming to bring change in society can be called as social movement. In colonial period, movements demanded reform in existing social practices, expressed assertions of indigenous culture over the western, community rights and identity and freedom from colonialism. In Post Independent India, movements demanding social justice and equal distribution of power in the past, social and economic in equality, marginalization of women and weaker sections, issues related to community and religious identity, cultural and also social problems have existed. Some of the famous movements like Dalit movement, women movement and movement among minorities.

8.4. SUGGESTED READINGS

Ghanshyam Shah, *Social Movements and the State*, New Delhi: Sage, 2002.

Maitrayee Chaudhuri, *The Indian Women's Movement: Reform and Revival*, New Delhi: Radiant, 1993.

8.5.QUESTIONS FOR PRACTICE

8.5.1 LONG ANSWER QUESTIONS

1. Do you think anti caste movements have contributed to social growth in any way?
2. What do you understand by the social movements? Discuss different types of social movements in India?

3. Write short notes on:
 - a. dalit panthers
 - b. minority movements
4. Describe in detail major feminist movements in post – independence period?
5. Write a detailed note on minority movements in India.

8.5.2. SHORT ANSWER QUESTIONS

1. Name any two anti-caste movements in India?
2. Mention any two basic features of social movements.
3. Trace the emergence of Dalit Panthers.
4. Comment on the dalit movement among the women.
5. Comment on Chipko movement.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: CONTEMPORARY INDIA

UNIT 9: ISSUES IN NORTHEAST, PUNJAB, KASHMIR

STRUCTURE

9.0. Learning Objectives

9.1. Introduction

9.2. North East

9.2.1. Nagaland

9.2.2. Mizoram

9.2.3. Check Your Progress I

9.3. Punjab

9.3.1. Check Your Progress II

9.4. Kashmir

9.4.1. Check Your Progress III

9.5. Summary

9.6. Suggested Readings

9.7. Questions for Practice

9.7.1. Long Answer Questions

9.7.2. Short Answer Questions

9.0 LEARNING OBJECTIVES

After reading this unit, you will be able to:

- Understand the issues in North-East, particularly Nagaland and Mizoram.
- Know about the condition in which terrorism made its appearance in Punjab.
- Analyse the situations in Kashmir after independence.

9.1. INTRODUCTION

Students, this unit will be analyzing the issues in North East, Punjab and Kashmir. The issues in the North East, particularly Nagaland and Mizoram tribal, will be highlighted. The unit will also be looking at the issues around which communal politics in Punjab revolved till 1966. After the creation of Punjabi Suba, terrorism made its appearance in Punjab in 1981 which led to Operation Blue Star. The last section will examine the issues emerged in Kashmir after the partition of the country. The state of Jammu and Kashmir granted a temporary status under Article 370 which led to powerful movement in the region. There emerged a number of issues under the leadership of Sheikh Abdullah.

9.2. NORTH EAST

The tribes of north-eastern India, living in the hill tracts of Assam, consists of a hundred groups, and speak a wide variety of languages. They shared a different culture and features of other tribes in other parts of the country. But, the situation of the north-eastern tribes was different in many respects. First, the majority of population in the inhabited areas. Secondly, because of the introduction of the British Policy in the 19th century, there is non-penetration of the non-tribal in these areas to any significant extent, even though the economic contacts between tribal and non-tribal areas have developed with passage of time. The British occupied the tribal areas and formed Assam province and gave separate administrative status. Their socio-political structure remained undisturbed. They followed a deliberate policy of excluding the outsiders from the plains. So, the tribal suffered little loss of land, as no outsider was allowed to acquire land in the tribal areas. During that time, the British government permitted the Christian missionaries to establish schools, hospitals and churches in the tribal areas of north-east and also introduce the modern ideas and change among the tribal youth. The missionaries agreed and collaborated with the British government and managed to keep the tribal areas aloof of nationalist movements. They encouraged them to be isolated from the rest of the population of Assam in India. Some missionaries and foreigners, immediately after the independence, promoted the sentiment of separate and independent states in north-east India among the tribal people. The virtual absence of the tribal in the North-East in any political or cultural contact of the rest of India, was a striking difference. The tribal areas of north-east never got influenced by the freedom struggle or the other movements in India. Generally, the Britishers and the Christian missionaries tried to make them an anti-Indian.

The Government of India, inspired by Jawaharlal Nehru, made a tribal policy of the which more relevant to the tribal people of North-East. In October 1952, Nehru said that all the North-East border area deserves the special attention. The contact with them will benefit all the Indians. They also add to the strength, variety and cultural richness of India. The tribal policy applied only to the tribal areas of Assam, Sixth Schedule of the Constitution. The Sixth Scheduled granted setting up of autonomous district councils for the tribal people. These

councils had some judicial and legislative powers in the areas under the jurisdiction of the legislature and the parliament of Assam. The Sixth Schedule aimed to enable tribal to live according to their own ways. Further, to promote the autonomy, the Government of India was willing for the amendments in the constitutional provisions related to the tribal people if it was found necessary to do so. But Nehru clarified, that the government would neither countenance secession from India or independence by any area or region nor would tolerate violence in the promotion of any demands.

The North-East Frontier Agency or NEFA was created in 1948, out of the borders of Assam. All the Nehru's and Verrier Elwin's policies were implemented in NEFA. Outside the jurisdiction, NEFA was established as a union territory of Assam, and it was placed under a special administration. From the beginning, a special cadre of officers manned the administration. Without disturbing the social and cultural pattern of the life of the people, the cadre were asked to implement specially designed developmental policies. In 1987, NEFA was named Arunachal Pradesh and was granted a status of separate state. In the administrative tribal areas of Assam, the problems arose because the hill tribes of Assam did not have cultural affinity with the Assamese and Bengali residents of the plains. The tribal felt that because of the policy of Assamization, they would lose their identities and assimilated, with some justification. The tribal were not satisfied with the attitude of the superiors. They were often dominated by the non-tribal those who were working as teachers, government officials, doctors, traders. The tribal also felt that the Assamese government was neglecting their interests, and it failed to understand them. The political leadership of Assam failed to redress the grievances of tribal in time and with deep concern.

In the mid-fifties, there was resentment against the Assam government. The tribal demanded for a separate hill state. Neither the demand was pressed with vigor, nor the Government of India encouraged it. The government felt that the autonomy in the tribal areas could be envisaged. In 1960, when the Assamese leaders demanded Assamese as their sole official language, the demand for the separate hill state also became serious. Various political parties of hilly areas merged with All Party Hill Leaders Conference (APHLC) and again demanded for the separate state within the Indian union. Under the Assam Official Act, the government agreed to make the Assamese the official language of the state. But the government refused to use the tribal language in the administration. As a result, major agitations occur in the state and there were hartals and demonstrations in the tribal districts. In the elections of 1962, the majority of the seats from the tribal areas were won by the advocates of the separate state. Moreover, they decided to boycott from the State Assembly.

The issue was followed by prolonged discussions and negotiations, and was examined by various committees and commissions. Within Assam, in 1969, through the constitutional amendment, Meghalaya was given a status of an autonomous state. But the law and order remained a function of the Assam government. Meghalaya shared a common High Court, Public Service Commission and Governor of Assam. After the reorganization of the North-East in 1972, Meghalaya became a separate state. Meghalaya comprised of the Garo,

Khasi and Jaintia tribes. The Union Territories of Manipur and Tripura also attained their statehood. The attainment of statehood in Meghalaya, Manipur, Tripura and Arunachal Pradesh was done smoothly. But in Nagaland and Mizoram, the secessionist and insurrectionary movements developed.

9.2.1. NAGALAND

The Naga hills were inhabited by the Nagas along the North-East frontier on the Assam-Burma border. In 1961, their number was 500,000, 0.1 percent of India's total population. It also consisted of many tribes speaking different languages. The Britishers made it an excluded area, and activities of the Christian missionary were permitted. However, it led to the growth of education on a small stratum. Soon after the independence, Indian government, following the integration policy, integrated the Naga areas with Assam. However, under the leadership of A.Z. Phizo, the rebellion broke out in the opposition of the integration. He demanded a complete freedom and a separate state from India. The Christian missionaries and the British officials encouraged them to do so. In 1955, the separatist Nagas launched a violent insurrection and declared the formation of an independent government. The Indian government responded with two-track policy. On the one hand, Nehru refused to accept the secessionist demand for the independence of Naga areas, and also not to tolerate any recourse to violence. In case of any violent secessionist movement, the government would follow the policy of suppression and non-negotiations. When in 1956, Nagas organized an armed struggle for independence, the government of India sent its army to Nagaland to restore peace and order in the state. On the other hand, Nehru was over the friendly approach. He realized that for conciliation and to win the Naga people, there was no need of total physical suppression. The rebels would understand that strong and quick military action would make them in a no-win situation. He favored to maintain their cultural autonomy, in the process of the Nagas integration. Nehru also wanted to make Naga an autonomous state. Phizo and his supporters did not give the idea of an independent state. But, Nehru refused to negotiate with them. Prolong negotiations were carried on with the non-secessionist and the non-violent Naga leaders. The Naga leaders realized that they could not get high degree of autonomy and more sympathetic leader than Nehru for the settlement. In the middle of 1957, the armed rebellion broke out. Dr. Imkongliba Ao led the moderate Naga leaders. The negotiated to create the Naga state within the Indian Union. Consequently, in 1963 through the immediate steps of the Indian government, Nagaland state came into existence. Further, the steps were taken to integrate the Indian nations. Since then, the politics in Nagaland followed the pattern of politics in the other states of the union. As the rebels lost much of the support, they rebelled with the formation of Nagaland as a state. Though the insurgency has been controlled, but Naga rebels trained in China, Pakistan and Burma continue with the sporadic guerrilla activity and terrorist attacks till date. Many innocent people have suffered due to the guerrilla attacks. The behavior of Nagas are sometimes brutal and improper. Nagas have also paid a heavy price with the loss of soldiers and officers in the guerrilla attacks.

9.2.2. MIZORAM

A few years later, in the autonomous Mizo district of the north-east, the secessionist demand for a separate state arose in 1947 with the backup of British officials. But, the demand failed to get much support of the Mizo youth. Instead, it focused on the issues of democratization of Mizo society, economic development and adequate representation of Mizos in the Assam legislature. However, the poor handling of the famine of 1959 and making Assamese the official language of the state as per the Act of 1961, made the Mizos unhappy and consequently, it led to the formation of the Mizo National Front (MNF) with Laldenga as President. MNF formed a special armed wing, while participating in electoral politics. East Pakistan and China offered arms, ammunition and military training to the army. MNF declared independence from India in March 1966. It launched military attacks on Government of India and also targeted civilians. The Government of India retaliated with immediate massive counter insurgency measures by the army. Though guerilla attacks continued, but the Government of India restored its control after crushing the insurrection. The extremist Mizo leaders escaped to East Pakistan. In 1973, the moderate Mizo leaders lessen their demand for the separate Mizoram state within Indian Union. It resulted in Mizo district gaining separation from Assam and the status of Union Territory. In the late seventies, the Mizo insurgency gained some strength again, but again effectively dealt with by Indian armed forces. The Government of India continued to follow the Nehru's tribal policy and decimating the ranks of the separatist insurgency. In consideration, the Indian government offered freedom of the rebel forces and agreed for negotiations and peace. In 1986, Laldenga and MNF agreed to surrender before the Indian government with their arms. They also agreed to abandon violent activities, and re-enter the constitutional political stream. The Government of India guaranteed statehood and full autonomy to Mizoram, in regard to culture, tradition, and land laws. As a result, in February 1987, a government with Laldenga as Chief Minister was formed in the new State of Mizoram.

9.2.3. CHECK YOUR PROGRESS I

1. Write few sentences on MNF.

2. Who was Laldenga?

3. Who was A.Z.Phizo?

4. When was the Nagaland state was created?

9.3. PUNJAB

During the 1980s, the separatist movement engulfed Punjab, which later transformed into a terror campaign. Some described it as a low intensity war and dangerous crises for India. The origin of the problem in Punjab was the communalism in the state since 1947, and after 1980, extremism, separatism and terrorism also erupted in Punjab. Before 1947, Hindu, Muslim and Sikh opposed each other and the latter joined forces against each other. After 1947, Muslim communalism left Punjab and Hindu and Sikh fought against each other. The Akalis adopted certain communal themes, which became the constitutive elements of Sikh communalism since the reorganization of the state in 1966. The Akalis denied the secular polity and claimed that politics and religion are essentially combined to the Sikhism and are inseparable. It also claimed to be a sole representative of the Sikh Panthi's religious, political and secular interests.

Akalis also put forth that Sikhs were discriminated, oppressed, humiliated and victimized and there all sorts of conspiracies were against them. Punjab was accompanied by anti-Hindu rhetoric. Hindus were discriminating the Sikhs, igniting communal tensions and threatening their 'Sikh identity.' Nehru and the Congress were made the targets of Akali's anger for conspiring against the Sikhs. Overall, the Akalis raised a voice that Sikh religion was in danger. Not only the extremist Akalis were more virulent, but the moderate Akalis were more aggressive in articulation of the communal tensions. Moreover, as time passed by, the influence of the extremists grew, and sometimes they also faced the criticism of the moderate Akalis. For instance: While addressing All India Akali Conference in 1953, Master Tara Singh, leader of Akali Dal and the Sikh Gurudwara Prabandhak Committee (SGPC) said that The Britishers have gone, but there was no liberty, only the masters changed from white to black. He also said that under the name of democracy and secularism, Sikh Panth, their religion and liberty was crushed.

The Punjabi Suba was disregarded by the government of India. In 1961, the commission, appointed by Jawaharlal Nehru, found the concrete allegation baseless, regarding discrimination of Sikhs in government services. In 1966, the political scientist Baldev Raj Nayar pointed out that though the population of Sikhs in India is just 2 percent, but in Indian army they constitute 20 percent. Their proportionate share in the administration of India have also doubled. In legislature, the cabinet, and the National Party organization the share of the Sikhs is higher than their proportion in the population of the state. During the same period, in order to appeal to communalism and harness religious sentiments in Punjab, the Akalis used a method of manipulation of institutions and symbols of Sikh religion. Akalis used SGPC to promote the politics of Akalis and organize the Akali movements, as SGPC controlled over 700 gurudwaras and the Golden Temple at Amritsar was particularly used for the purpose. With the regard to communal extremism and the control of the gurudwaras and the Golden Temple, there was intense rivalry and competition among the different Akali groups. As a result, there was escalation of the demands and moderate Akalis were consistently pursuing the extremist and emerging groups. During the years of Nehru, the Hindu communalism was also active in the

Punjab. They were not very serious towards their religion as the Sikhs but, continuously acted as a counter-point to the Sikhs.

a. SECULAR RESPONSE TO THE PUNJAB PROBLEM

Jawaharlal Nehru adopted three basic rules to deal with the militant agitations and their demands. They were: no negotiations and political transactions with the leaders of the movements, not accepting any secessionist demands, any recourse to violence based on their movement, religion or communalism. Nehru was much aware of the fascism of the extreme communalism. He also knew the Akalis variety under the leadership of Master Tara Singh. Keeping in mind the minorities, Nehru tried to conciliate the Akalis by accommodating some secular demands. The communal character of the Sikhs forced Nehru to sign two pacts with the Akali Dal in 1948 and 1956. Nehru's accommodating strategy failed to stop the spread of communalism in Punjab. The new leaders of Akali Dal resurrected more extreme ideology, polity and put forward the new demands and grievances. Hence, the accommodation of Akalis in Congress strengthened Hindu communal forces. Pratap Singh Kairon, Chief Minister of Punjab, got full support of Nehru to deal with both Hindu and Sikh communalism. However, both Nehru and Kairon did not put a check on the spread of the communalism through mass ideological campaign in the Punjab at time when it was easy to do so. In Punjab, CPI was quite strong and a strong force for secularism. Throughout the fifties, CPI politically and ideologically opposed the Hindu and Sikh communalisms. The CPI and the CPM formed alliances with the Akalis in 1964. Thus, it gave a certain legitimacy to Akali politics.

b. ROOTS OF POST-1947 COMMUNALISM

There were two linguistic issues that dominated politics of Punjab till 1966. Both Hindu and Sikh communalists communalized it. First, the Sikh community demanded Punjabi to be an official language of the state. The Hindus demanded Hindi as their mother tongue and Sikh demanded Punjabi in the Gurmukhi script. So, the government divided Punjab into two Punjabi and Hindi linguistic zones. The Hindu communalists opposed the decision of the government of making Hindi a compulsory language in schools along with Punjabi and making Punjabi an official language for district administration in the Punjabi linguistic zone. The more serious problem was of the script for Punjabi. For centuries, Punjabi was written in Gurmukhi, Devanagari (Hindi) and Urdu scripts. However, the Akalis demanded that Gurmukhi script should be used for Punjabi. But the Hindus insisted that for Punjabi, Devanagari should also be used along with the Gurmukhi script. Both Sikh and Hindu laid strong communal complexion on this issue.

The second issue was the demand of the Punjabi Suba proved to be more emotive and divisive. After the set-up of the State Reorganization Commission (SRC), in 1955, the Akali Dal, the CPI, many Congressmen and Punjabi intellectuals in the wake of the reorganization of the state on linguistic lines, demanded a Punjabi-speaking state, Punjab and a Hindi-speaking state, Haryana. The SRC refused to accept the demand on the basis that there was not much

difference between Hindi and Punjabi. Moreover, for making a change, a measure of agreement among the people of Punjab was minimum. In 1956, there was an agreement between Akalis and the Government of India which led to the integration of Punjab and PEPSU.

After the merger of Punjab with PEPSU, the Akali leaders commenced a powerful agitation for the creation of the Punjabi Suba under the leadership of Master Tara Singh. The Congress did not accept the demand and Akali Dal complained that it was a discrimination against Sikhs. Akalis argued that the Sikhs needed an independent, separate state where they could dominate religiously and politically. But, the Hindu communal organizations such as Jan Sangh, opposed the demand because they thought that it would impose Sikh domination and Sikh theocracy in Punjab. They did not accept Punjabi as mother tongue in Punjabi zone and asked Punjab to register itself as Hindi-speaking in the Census of 1961. Interestingly, the Harijan Sikhs also known as Mazhabi Sikhs, mostly the landless laborer's, also opposed the demand of the formation of the Punjabi Suba as they were afraid of the fact that the rich peasants such as Jat Sikhs, and their class opponents would dominate them and moreover they were the supporters of the Akali Dal.

Nehru refused the demand for the formation of the Punjabi Suba because he felt that it might put a threat to secularism in India. Nor the people were serious for the demand of a separate state. The Congress Sikh leaders Pratap Singh Kairon and Darbara Singh bitterly opposed the communal demand. Perhaps, Nehru should have accepted the demand as it was supported on the secular basis by the CPI, PSP and the numerous wise men. By 1960, the rest of India was reorganized on a linguistic basis.

However, the two later developments cleared Nehru's criteria in agreement with the formation of the Punjabi Suba. First, Sant Fateh Singh succeeded Master Tara Singh from the leadership of the SGPC and the Akali Dal. He also declared that the demand for the Punjabi Suba was entirely based on language. Secondly, the Hindu organizations in Haryana demanded for a separate Hindi-speaking state and the organizations in Kangra demanded for its merger with Himachal Pradesh. In 1966, Indira Gandhi, the Prime Minister announced to split Punjab in two states: Punjabi-speaking Punjab and Hindi-speaking Haryana and merger of Kangra with Himachal Pradesh.

Indira Gandhi appointed the Punjab Boundary Commissions and both the states accepted the terms. The Commissions awarded Chandigarh to Haryana, along with the surrounding areas. However, Akalis refused to accept the award. So, Indira Gandhi declared Chandigarh as a Union Territory and the capital of both Punjab and Haryana. Akalis were not satisfied with the formation of the new state and launched an agitation for the inclusion of Chandigarh with Punjab in November in 1966. After sometimes the leaders abided the decision of Indira Gandhi. Under the pressure of Akalis, in 1970, Indira Gandhi awarded Chandigarh to Punjab with two tehsils (subdivisions) Fazilka and Abohar. The Hindu majority was transferred to Haryana. But, the decision was not implemented because Akali Dal refused to accept the transfer of the two tehsils. The root problem was the communalism in Punjab. So, the Punjab

Suba demanded to solve the root problem and should be eradicated otherwise it might take the new forms.

c. AKALI POLITICS AND MILITANCY

The Punjabi Suba movement was a long-term political agitation launched by Sikhs demanding a Punjabi-speaking state. Akali Dal led the movement, and it resulted in the formation of Punjab state. All the demands of the Akalis were accepted and implemented. But, they did not know where to go politically. Akali leaders while committing political hara-kiri appealed all the Punjabis that there was only option to give up communal politics and become purely religious, social or secular party. Therefore, Akali communalism also moved towards separatism like Muslim league after 1937. The logic of minority communalism is separatism, and the logic of communalism is fascism.

Another problem that Akalis faced was to acquire power democratically and electorally. In the 1967 elections, for the newly configured Punjab state, Akali Dal failed to win the majority seats. The reason was that the population did not favour it, as the population of the Sikhs in Punjab was less than 60 percent. Secondly, the Schedule Caste Sikhs, such as agricultural labourers, class conflicts with rich and middle peasants were the social base of the Akalis. They constituted 25 to 30 percent of the Sikh population. But till 1980 they voted for Congress and the Communists. Third, most importantly, Sikhs did not vote on the basis of communalism. Majority of them voted for the Congress and the Communists. From 1952 to 1980 Akali hovered between 35 and 45 percent of Sikh votes. In 1967, with the coalition with Jan Sangh, a Hindu communal party, Akalis were able to form the government in Punjab. In 1977, due to the alliance with the Janta Party, whose major constituent was Jan Sangh in Punjab. Jan Sangh was the communal party which bitterly opposed the demand of formation of Punjab state. Before launching militant and communal movement, in the general assembly elections of 1980, Akali Dal won only 26.9 percent votes. This meant that most of the Sikhs rejected the ideology and politics of the Akalis and less than 50 percent of the Sikhs voted in the elections.

After losing the elections in 1980, and in order to win the support of Sikhs, the Akalis began to escalate the communalism in their politics. In 1981, Sant Longowal, head of the main Akali Dal, submitted a memorandum of forty-five religious, political, economic and social demands and grievances to the Punjab. It also included the issue of sharing Punjab's river water between Punjab, Haryana, Rajasthan and the quest for the transfer of Chandigarh to Punjab. Sant Longowal launched virulent campaign around them. Then in 1973, the demand of the implementation of the Anandpur Sahib Resolution (ASR) became the most prominent. The resolution was totally communal and separatist in all its versions. The main focal points of the Akalis were the Gurudwaras.

Since 1947, the Akalis communal ideology and politics was separatism and the demand for a sovereign theocratic state. But, after 1981, terrorists followed the communal ideology. The Akalis believed that after the failure of their continuous efforts for over thirty years, if mass violence and militant mass movement was not possible, then terrorism was the

only way out. Akali also viewed that any agreement with them would be a temporary and short-lived. After the fulfilment of their demands, they would launch a new agitation and new set of demands before the government. Punjab, being a Sikh state and Akali Dal a Sikh political party, was above all the political norms and structure of the country. Punjab was also above the democratic, interests of the other neighboring states, federal mechanism for the resolution of interstate disputes of the country.

d. TERRORISM IN PUNJAB

The insurgency in Punjab, that started in 1981, was campaigned by the Sikh orthodox, Sant Jarnail Singh Bhindranwale. In this movement he was supported by Giani Zail Singh, leader of the Punjab Congress. Giani used Bhindrawale to cut the roots of the Akalis in Punjab. On 24 April 1980, All India Sikh Students Federation (AISSF), led by Amrik Singh and the terrorist campaign led by Bhindrawale started with the clash and assassination of the head of the Nirankari sect, followed by killing of numerous Nirankari followers, dissident Akalis and Congress workers. The editor of a popular newspaper and the critic of Bhindrawale, Lala Jagat Narain, was murdered in September 1981. Giani Zail Singh shielded Bhindrawale and in 1980, he became the Home Minister at the Centre. In July 1982, in order to protect himself, Bhindrawale moved to the sanctuary of Guru Nanak Niwas, a building within the Golden Temple complex. He led the campaign from Golden Temple and became a central figure in the politics of Punjab. The terrorist killings were confined to Nirankaris and the government officials, till September 1983, who did not agree with Bhindrawale. However, since 1981, he was carrying a verbal campaign of hatred against Hindus through the circulated audio-cassettes.

From September 1983, Bhindrawale targeted Hindus on a large scale and murdered numerous Hindus. The administration of Punjab and the police were in a run-down condition, and the Government of India hesitated to take any action against terrorism. He also looted banks, jewellery shops and home guard armouries. He killed numerous Nirankaris and government officials, and also exploded bombs randomly. A Sikh Deputy Inspector general of police, A.S. Atwal was murdered in April 1983, when he was coming out of Golden Temple after offering his prayers. There was a rapid increase in the terrorist and communal activities among Hindus and Sikhs. Bhindrawale also demanded for a sovereign and separatist state for Sikhs. To escape his arrest in December 1983, Bhindrawale moved into the Golden Temple and made it his military headquarters. Most of his followers were criminals and smugglers. He smuggled arms and weapons on a large scale like hand grenades, sten-guns and pill boxes in and around the buildings of the Golden Temple. He also drilled his new recruits for bombing and looting. Many other gurdwaras were also used for bases for terrorist operations.

The Khalistanis, the extremists, led by Sant Jarnail Singh Bhindrawale, transformed terrorism into general insurgency and uprising of the arms. Their purpose was to fight for the political and ideological hegemony of the Punjabis. They wanted to prove that the Central Government was not capable to rule over Punjab, and their main objective was to separate Punjab from India. Their objective of the activities such as bullying press and judiciary, killing of

police officials, silencing the political and intellectual workers random killings and many more were to convince the people of Punjab to challenge the Indian Government as they were the rulers of the future. They made no distinctions between Hindus and Sikhs to achieve their goal. From 1981 to 3 June 1984, 55 percent of the Sikhs were killed.

e. TERRORISTS AND THE AKALIS

The attitude of Akalis towards the Khalistanis was ambivalent. They did not join or supported them out of fear. They did not back up politically, with statements and authority. Akalis did not openly stand against the terrorists, nor unequivocally condemned their activities and senseless killings or violent propagandas of Bhindrawale. Nevertheless, the moderate Akalis directly, indirectly defended the accused of terrorist acts. They even condemned any concrete actions of police and the government against terrorists and Bhindrawale. For instance: In 1981 Longowal said that entire Sikh community would Bhindrawale. The Akali leaders, condemning violence and individual killing on rare occasions, to tarnish the image of the Sikhs, put blame on the Congress and the government for accusing them of organizing violence and assassinations. Akalis did not take any action to vacate the gurudwaras and the Golden Temple from the activities of the terrorists. Instead, they tried to keep up with Bhindrawale to protect their leadership among the Sikhs. The Akalis compete with Bhindrawale in demands and aggressive political ideology. Though the Akalis and extremists had strategic and political differences, the Akalis could not oppose Bhindrawale because of their common political ideology.

f. INDIRA GANDHI AND TERRORISTS

Indira Gandhi did not confront the communal and separatist tensions in the politics of India. She refused to take a strong action against the terrorism in Punjab and fight against extreme communalism, ideologically and politically, from 1981 to 1984. She had endless negotiations with G.S. Tohra, Prakash Singh Badal and H.S. Longowal. Under the threats of the Akalis and the terrorists, Indira Gandhi failed to combat communalism, terrorism and secessionism in Punjab. In all this, she ignored the strong unanimous opinions of the people and political parties of Haryana and Rajasthan. Indira Gandhi's attitude outraged the people, secessionist and terrorists in Punjab. The people of Punjab were outraged at the failure of government to act at the time of the murder of Atwal in April 1983 in the Golden Temple. In 1984, the situation in Punjab deteriorated rapidly. From 3 June the fresh militant agitation was called upon by the leaders. Pakistan's involvement in the Punjab affairs was a dangerous feature. Pakistan started to prepare for a low intensity war against India and started to provide training, weapons, ideological indoctrination, safe areas for hiding and military guidance to the terrorist organizations. The extremist's group in abroad also encouraged the secessionist and helped them with money and weapons.

In 1984, the violent activities of the terrorists were intensified. The peace and unity of Punjab and the whole country was in danger. The Hindus panic ridden in Punjab left the state. Numerous gurudwaras were turned into arsenals. There was a situation of insurgency in Punjab

and moreover, the government was also losing its prestige and was discredited. The division of Hindus and Sikhs in Punjab was a more dangerous situation. Hindu communalism in India, especially in the North India, was spreading. In February, the anti-Sikh riots broke out in Haryana. By the end of May, the Government of India carried out a military operation, codenamed 'Operation Blue Star' with an objective of flushing out the militants out of the Golden Temple and other gurudwaras. The Operation was poorly executed, hastily conceived without adequate information, which resulted in high politics and emotions that its planners had anticipated.

The Indian military surrounded the Golden Temple on 3 June 1984 and entered the Temple on 5 June 1984. There were numerous militants with the modern arms than the government would assume. The two hours surgical operation turned into a full-scale battle, and in the end the tanks were deployed. The fierce battle that raged inside the Temple resulted in the significant loss of life and extensive destruction of the Akal Takht. Harmandir Sahib, the most sacred place of Sikhs, was riddled with the bullet marks. In the battle, Bhindrawale and his other followers were killed. The Operation Blue Star exhibited tremendous anger and anguish in the Sikhs all over the country. Later in 1988, once again the militants occupied the Golden Temple and to oust them from the Temple, Operation Black Thunder was executed to surrender to police in bloodless manner.

Despite its negative repercussions, Operation Blue Star had some positive side also. It dealt with terrorism and proved that Indian state could deal with secession and terrorism. It put an end to Bhindrawale and his followers. Furthermore, it enabled the secular parties such as CPI, Congress and CPM to calm the people and explain to them the real responsibility for the situation of Punjab under Bhinderawale and Akali communalists.

g. OPERATION BLUE STAR AND AFTER

The Operation Blue Star was criticized by many Sikh bodies. On 31 October 1984, Indira Gandhi was assassinated in vengeance by her two Sikh bodyguards. After the assassination of Indira Gandhi, there was horror, fear, anger, and communal outrage in India. As a consequence, anti-Sikh riots broke out in North India and Delhi. The Sikhs were targeted, killed, their property was destructed by armed crowds of Delhi. There was a complete failure of law and order to protect Sikhs and their property. More than 2,500 people, mostly Sikhs and slums, were killed in the anti-Sikh riots in Delhi. Numerous Sikhs were alienated from the government in November riots.

On 1 November 1984, Rajiv Gandhi succeeded Indira Gandhi as Prime Minister. After the general elections in December 1984, Rajiv Gandhi immediately moved towards Punjab. He released the major jailed leaders, including Akali Dal President H.S. Longowal in January 1985. Later, an independent judicial enquiry was ordered by Rajiv Gandhi for the November riots. Gradually, the situation in Punjab was also taking positive directions. With the dismissal of the terrorists, Akalis also lost their credibility in Punjab. To resolve all the problems of Punjab, Rajiv Gandhi initiated the negotiations with the Akalis, which gave Punjab a new lease of life.

The Akalis after their release from the jail were divided, confused and disoriented. On the one hand, Longowal and others, tried to consolidate their position by taking recourse to militant rhetoric. On the other hand, most of the Akali leaders knew that they could not carry or revive mass agitation and military politics. Therefore, in August 1985, Longowal and Rajiv Gandhi signed the Punjab Accord. The government promised to review the major demands of Akalis. The agreement was made that Chandigarh would be transferred to Punjab, transfer of Hindi-speaking territories to Haryana from Punjab, the Punjab water disputes would be adjudicated by an independent tribunal. In September 1985, the state assembly elections were to be held. The day when Longowal announced the participation of Akalis in the state assembly elections, he was gunned down by the terrorists on 20 August. However, the elections were held on time. This time, over 66 percent electorate voted, as compared to 64 percent in 1977 and 1984. For the first time, Akalis secured majority in the state assembly. Surjit Singh Barnala, head of Akali ministry, was factionist and immobilized from the beginning. He released many people accused of terrorist crimes, who gave terrorism a major fill up. The situation under Surjit Singh Barnala proved not only helpless but deteriorated. The major terms of the Rajiv Gandhi and Longowal Accord, became under dispute as it was prepared without analyzing its feasibility. The militants took advantage of the Barnala government and resumed the terrorist activities in the Punjab. As a result, the Central dismissed Barnala government in May 1987, and imposed President rule over the state.

The Akali government was incapable to confront or fight communalism and separatism. Therefore, it was the strategic fault of Rajiv Gandhi's government to trust Barnala and his supporters. He thought that they would separate religion from politics in Punjab, and they would be front runners to end communalism in Punjab. Rajiv Gandhi also regarded Punjab Accord a solution to terrorist problem in Punjab. He did not see it as opening gambit, opportunity for implementing it, struggle for political ideology against communalism. The moderate communalists had to be protected first so that they could not pursue the communalism. The Punjab Accord destroyed the myth of invincibility of the terrorism. Akalis boycotted the general elections of 1992, when terrorism was still ravaging in Punjab. But Akalis again took part in the 1997 general elections, when terrorism came to an end.

h. RESOLVING TERRORISM

Though President rule was imposed in Punjab in 1985, but the terrorism grew, went through different phases of waning and resurgence. Moreover, Pakistan also supported, trained and funded the terrorists in Punjab. The terrorist groups in Punjab took violent measures. They also began to acquire political hegemony over the people from 1987. K.P.S. Gill, in his *Punjab-the Knights of Falsehood*, has discussed the growth of terrorism and despoliations after 1985. The Khalistanis put ban on the consumption of meat, liquor, tobacco, restricted to wear sarees, and made efforts to determine the dress of the school children. The restrictions were also imposed on the marriage rites and practices. The Khalistani hoisted Khalistani flags on public buildings, collected parallel taxes, show prove themselves the rulers of the future. Periodic statements,

negotiations, between Central Government and the terrorist organizations had the same impact on them.

In 1987, the President's Rule was imposed in Punjab for a short period to control the deteriorating situation of the state. But it should have been a long-term strategy based on the understandings that, first since 1982, there were no soft options in Punjab when communalism entered Punjab and when it was neither conceded nor defeated. Secondly, moderate communalists could not depend upon to fight with extreme communalists or terrorism. Lastly, the policy of firmness and political ideology would bear the results only if they got sufficient time and non-interference of others to appease terrorists or communalists. The Rajiv Gandhi government after 1986, tried to suppress the terrorism in Punjab, but it lacked the determination and misguided the weak advisors, and negotiated with one or the other secessionist groups. Therefore, the government lost its advantage and led to state violence and terrorism at high level in the state. During 1990 and 1991, the governments of V.P. Singh and Chandra Shekhar vigorously followed the policy of 'solving' Punjab problem through negotiations and appeasement of terrorists and extreme communalism. Though, the number of terrorists increased in Punjab. In May 1988, Punjab police and paramilitary forces launched Operation Black Thunder and succeeded to neutralize terrorists in the Golden Temple.

From mid 1991 onwards, Narasimha Rao's government at the centre, adopted strict policy against the terrorism. After the elections of February 1992 by the Congress, Beant Singh came into power in Punjab. From 1988 to 1992, numerous policemen lost their lives in the operations. Many leaders of Communist Party: the CPI and CPM and Congressmen played an active role to fight terrorism and sacrificed lives and property. Finally, in 1993, Punjab became independent of terrorism.

i. AN ASSESSMENT

There were several redeeming features in the situation of Punjab between the depredations of the terrorists for over ten years. There was division between Hindu and Sikhs in the urban areas, and incidents of clashes between the two, but there was no major communal riot in Punjab throughout the terrorism in the state. However, the people of Punjab remained secular. The Hindus did not support Shiv Sena and other Hindu communal organizations to fight against terrorism in Punjab. Similarly, the Sikhs also resisted the terrorism for many years. The people of Punjab refused to follow the values and ideology of the terrorists and the extreme communalists because of their strong faith in secularism. The Ghadr Party, Bhagat Singh and his comrades, Kirti Kisan groups, the Communists and the Socialists, the militant peasant movement and the Congress and the national movement had a great influence on the people of Punjab.

The Sikhs did not believe that the separatists and the terrorists were fighting for Sikh religion and their interests. Sikhs believed that the terrorists were abusing and defiling the teachings of the Sikh gurus and the gurudwaras. About 11,700 people killed by the terrorists during 1981-1993 in Punjab. Among them, 61 percent were the Sikhs. The country could learn lessons from the experience of Punjab. First, confrontation of communalism politically and

ideologically; enforcement of separation of religion from the politics. The major problem in Punjab was the communalism, not terrorism. The Akali communal ideology led to the extremism and terrorism in Punjab to meet their political ends. Instead of appeasing, placating and assuaging the communalism, it has to be opposed and defeated. Appeasing the communal forces can lead to the temporary respite. Thus, the communalism has to be countered in time among people, otherwise it gets strengthened and gets extreme. Secondly, communal violence including terrorism has to be firmly and decisively handled. It should be timely suppressed with the use of law and order machinery of the state. To suppress the communal violence, the support and supplement of the state and security forces is needed, as few leaders and opposition cannot defeat the violence on its own. Lastly, the moderate communalists, despite having real political differences, cannot fight the extremism or communal terrorism because both of them share a common communal ideology.

9.3.1. CHECK YOUR PROGRESS II

1. Why President Rule was imposed in Punjab in 1987?

2. Who was H.S. Longowal?

3. When was Indira Gandhi assassinated?

9.4. KASHMIR

The Indo-Pak always had problematic relations over Kashmir. Constantly, it has been posing an internal problem for India, with the integral forces and secession from it being in continuous struggle. Over the years, Kashmir has become a symbol as well as a test of secularism in India. In October 1947, immediately after the accession of Kashmir, India offered a plebiscite for the Kashmiris under the international auspicious to take a final decision on it. But there was a condition that before a plebiscite, the Pakistani troops must vacate Kashmir. In proper conditions in Kashmir, the Government of India agreed to abide by the results of the plebiscite till the end of 1953. Due to Pakistan not withdrawing its army from Pakistan occupied Kashmir (POK), the plebiscite could not be held. Thus, the Indo-Pak relations got enmeshed in the Cold War. When Pakistan entered into a defence agreement with the U.S.A. during 1953-54, it encouraged Pakistan to take non-conciliatory and aggressive measures against India based on the policy of hatred and animosity. The Indian Government announced that Indo-Pak relations had changed completely and Kashmir's accession to India was final. Since then, Kashmir has been an

irrevocable part of India. Nehru and his successors accepted the ceasefire line or Line of Control (LoC).

a. SPECIAL STATUS OF JAMMU AND KASHMIR

In October 1947, the Instrument of Accession was signed. Under which, Article 370, of the Indian Constitution gave special autonomous status to Jammu and Kashmir within the Indian Union. It has its own Constitution, separate flag and to elect its own Sadr-e-Riyasat, a head of the state. Foreign affairs, defence and communications would be ceded to the Indian Union. The Chief Minister of the state would be designated as a Prime Minister. The fundamental rights, Supreme Court, the Election Commission and Auditor-General would not have any jurisdiction in Jammu and Kashmir. However, Article 370 only deals with relation of the state with the Centre, but not its accession to the Union. In 1956, the Constituent Assembly of Jammu and Kashmir ratified the state's accession to India. The extension was made in the jurisdiction of the Supreme Court, the Auditor-General and the Election Commission, and the fundamental rights in the state. The jurisdiction of union institutions such as the Supreme Court, the Auditor-General and the Election Commission and the constitutional provinces regarding fundamental rights had extended to the state. In addition to this, the Presidential orders were issued over the state government, and parliamentary authority also extended. The services of the state with the central and all-India services were also integrated. Sadr-e-Riyasat was changed to Governor and the state Prime Minister was called as Chief Minister. After erosion of the state's autonomy and its special status, the Kashmiris resented India's rule over Jammu and Kashmir. The Article 370, gave birth to the powerful movement in Jammu and Kashmir over the accession of the state to India, a greater share of government services for Jammu and even for suppression of Jammu from Kashmir. Soon, the movement divided the state on the religious basis. It acquired the communal colours. Kashmir being Muslim majority and Jammu being Hindu majority. In Jammu, the agitation was led by Jammu Praja Parishad which later merged with the Jan Sangh, and raised the agitation to all-India level. The death of the leader of Jan Sangh, President Shyama Prasad Mukherjee, was an unfortunate event. On 23 June 1951, he died in a Srinagar jail due to heart attack. He violated the orders of the government and went to the state. The Pakistani elements took benefits of the communal agitation and weakened the India's case on Kashmir. It also made Sheikh Abdullah to doubt Indian secularism.

b. THE POLITICS OF ABDULLAH

Sheikh Abdullah was a man of courage and integrity, having a mass appeal, but he was also autocratic, arbiter and wayward. The internal problems of India in regard to Kashmir began with Sheikh Abdullah. Because of the communal pressure in Jammu and demanding its merger with India and Kashmir demanding its merger with Pakistan, Abdullah veered for separation. He talked about Kashmir's accession to India and Kashmir being an autonomous state. He also exaggerated the communal strength and weak Secularism in India. Abdullah also appealed to communal sentiments among Kashmiri Muslims. Nehru pleaded for the refrainment, but of no

use. In mid-July 1953, Abdullah publicly demanded for independent Kashmir. His cabinet opposed his political ideas and asked Sadr-e-Riyasat to dismiss him for the anti-national activities. Sheikh Abdullah was dismissed and Bakshi Ghulam Mohammad was appointed as a Prime Minister. Abdullah was immediately arrested by the new government. Nehru was taken aback, but could not interfere in the state government. Abdullah remained a martyr and a hero for the Kashmiris. On 8 January 1958, under the pressure of Nehru, Abdullah was released. But again three months later he was rearrested for allegedly promoting the communal sentiments. Again in 1964, Nehru got Abdullah released. However, Abdullah continued to claim that accession of Kashmir to India was not final and would continue to fight for the free state and the right of self-determination. Abdullah was also against the merger of Kashmir with Pakistan. He was opposed by the pro-Pakistani political groups led by Moulavi Farooq and the Awami Action Committee. In May 1965, Abdullah was again put under house arrest and was deprived of his liberty and in 1968, the restrictions were removed. During the rule in Jammu and Kashmir, Bakshi Ghulam Mohammad faced numerous challenges such as corruption, misuse of patronage and government machinery. G.M. Sadiq and Mir Qasim were his successors. They were the men of integrity, but not effective administrators or skilful politicians. Though the pro-Pakistan forces remained weak, the state government could never acquire wide popularity under these leaders. In 1971, the break-up of Pakistan and the Bangladesh war, greatly affected Kashmir. The pro-Pakistani Awami Action Committee and the secessionist Plebiscite Front also suffered a severe political jolt. Abdullah after thinking thoroughly adopted a more conciliatory approach towards the central government. In turn, Indira Gandhi, allied with him, lifted all restrictions and had an open talk with him. He agreed to give the demand of the plebiscite or self-determination and to limit the autonomous demand within the Indian union. Finally, in February 1975, he again assumed the position of the Chief Minister of Jammu and Kashmir. In July 1977, he became the leader of the National Conference and won an overwhelming majority in the midterm elections. After his death in 1982, his son Farooq Abdullah succeeded him.

c. FAROOQ ABDULLAH INSURGENCY AND TERRORISM

Since 1982, Jammu and Kashmir has been ruled mostly either by Farooq Abdullah or being under President's rule. In June 1983 elections, Farooq won a comfortable majority; but soon the resentment developed between him and the Central government. In July 1984, G.M. Shah, Farooq's brother-in-law, split the National Conference in coupe with him. On the orders of the Central Government, Jagmohan, the Governor, dismissed Farooq and appointed G.M. Shah as the Chief Minister of Jammu and Kashmir. G.M. Shah was a corrupt and inept leader. Because he failed to control the attacks on Kashmiri Pandits, in March 1986, he was dismissed from his positions and the President rule was imposed in the Valley. In early 1987, Rajiv Gandhi made a political alliance with Farooq Abdullah for the assembly elections. But after winning the elections, Farooq Abdullah failed to manage the state politically and administratively. Thus, the secession movement arose in the Valley. The pro-Pakistan groups such as Hizbul Mujahadeen and other groups took to violent agitations in an armed insurgency. These groups were led by

Jammu and Kashmir Liberation Front (JKLF). Initially, Pakistan provided training and financing to the pro-Pakistani groups. They kidnapped, murdered, tortured the political opponents, attacked the police stations, government and other public buildings. They forced Kashmiri Pandits to leave the Valley and moved to refugee camps in Jammu and Delhi. V.P. Singh at the Centre dismissed Farooq's government and declared President's rule in Kashmir. In 1996, after winning the elections, Farooq Abdullah made a political comeback. The pro-Pakistan groups who stood for Kashmir's independence, such as JKLF, Mujahadeen, All Party Hurriyat (Liberation) lost its steam in recent years. The main reason was its terrorists depredations against people of Kashmir. But, the terrorist activities still continue and affects the normal lives of the people of Kashmir.

Since early 50s till date, Kashmir has gone through many major ills which led to the alienation of Jammu and Kashmir's people from the Valley's rulers and India. The general absence of good and sound administration with allegations of corruption and nepotism and also electoral frauds in the initial years lead to a loss of faith in the legitimacy of the constitutional measures. The failure of democracy, authoritarian of political system and administration and violence of human rights have contributed in increasing anger of the people against the state. The army plays a large role in Kashmir according to Pakistani military threat and subversion. But it highly costs in terms of functioning of a civil libertarian polity. Kashmir has been suffering from intermediating instability since independence. This instability has led to repeated central intervention and political manipulation, dismissal and replacement of corrupt and incompetent government officials and ministers and also the imposition of the President rule in the state. Consequently, the people of Kashmir regard the rulers as puppets and governors as agents of the Central government. Though, India cannot regain the control on Pak-occupied Kashmir (POK), the accession of Jammu and Kashmir to India is irreversible. It is necessary to take strict action against the terrorism and insurgency in the state so that the civil liberties and human rights can be protected. The Indo-Pak relations will always affect Jammu and Kashmir, but there is clean and sound democratic government, free excess to police and paramilitary forces in Kashmir. For better working of the state and the federal constitutional structure of India, the issue of local autonomy has to be resolved. The people could participate in the democratic process of the state. Then it would be easy to resolve the problem of Kashmir if the two parameters are followed. No democratic country will permit secession in any of its parts and will work for the betterment of its citizens.

9.4.1. CHECK YOUR PROGRESS III

1. When was the instrument of accession signed?

2. Which article of the Indian Constitution granted the temporary status to the state of Jammu and Kashmir?

3. Who was Farooq Abdullah?

4. What do you know about JKLF?

9.5. SUMMARY

Students, in this unit, we have discussed about the issues in North East, Punjab and Kashmir. The issues in the North East particularly Nagaland and Mizoram tribal have been highlighted. The unit looked at the issues around which communal politics in Punjab revolved till 1966. After the creation of Punjabi Suba, terrorism made its appearance in Punjab in 1981 which led to Operation Blue Star. The last section examined the issues emerged in Kashmir after the partition of the country. The state of Jammu and Kashmir granted a temporary status under Article 370 which led to powerful movement in the region. There emerged a number of issues under the leadership of Sheikh Abdullah.

9.6. SUGGESTED READINGS

Bipan Chandra, *India After Independence 1947-2000*, India: Penguin Books, 2000.

Geoffrey Tyson, *Nehru-The Years of Power*, London: Pall Mall Press, 1966.

9.7. QUESTIONS FOR PRACTICE

9.7.1. LONG ANSWER QUESTIONS

1. Discuss in detail the tribal issues in North east of India?
2. Write a detailed note on the issues in Nagaland and Mizoram.
3. What do you know about terrorism in Punjab during post-independence period.
4. Write a detailed note on the Punjab crisis during post 1947?
5. Examine the issue of Kashmir with special reference to Sheikh Abdullah?

9.7.2. SHORT ANSWER QUESTIONS

1. Write few sentences on Article 370?
2. Who was Bakshi Ghulam Mohammed?
3. Who was G.M. Sadiq?
4. Write a few sentences on India's internal problems in regard to Kashmir.
5. Who put under house arrest in 1965?
6. Write a few sentences on NEFA.
7. What is the full form of APHLC.
8. Write a few sentences on Operation Blue Star.
9. Who was Master Tara Singh?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: CONTEMPORARY INDIA

UNIT 10: INDIA IN THE 21ST CENTURY

STRUCTURE

10.0 Learning Objectives

10.1 Introduction

10.2 India in the 21st Century

10.2.1 Economic Issues

10.2.2 Check Your Progress I

10.2.3 Political Issues

10.2.4 Check Your Progress II

10.2.5 Social Issues

10.3 Summary

10.4 Suggested Readings

10.5 Questions for Practice

10.5.1 Long Answer Questions

10.5.2 Short Answer Questions

10.1 LEARNING OBJECTIVES

After reading this unit, you will be able to:

- Understand the emerging challenges and issues of development in the 21st century.
- Know about the major economic issues of the country.
- Analyze the technological challenges in the country.
- Know about the major social issues of the country.

10.2 INTRODUCTION

Students, India is poised to become the fastest growing economy in the world in 2015 yet it continues to face key challenges. This unit lists some of the key issues that India faces in different fields economic, political and social. Poverty, unemployment, inequality etc. were the issues that need to be addressed in the 21st century. The path towards development to be followed to solve these issues and to promote the welfare of the people. This unit will discuss the economic concerns like poverty, globalization, sustainable development and technological challenges. The political issues like decentralization, governance and many more will also be highlighted. The social issues like education, population and family welfare will be examined.

10.2.1 ECONOMIC ISSUES

There are number of economic issues which everyone needs to understand which are poverty, globalization, sustainable development.

a.POVERTY

Poverty is the condition or state in which people lack the basic resources and essentials required for the survival. A family is said to be poor when it cannot meet the requirements such as education, food, shelter, cereals, medicines, fuels, clothes. Poverty has many severe effects on education. Poverty restricts the people to get education. Poverty is considered as the main cause of child labour, which deprives children from attaining education. In low-income families, children are more prone to malnutrition, sickness and other health problems. In India, more than 250 million—25 crore people were poor. In urban areas, number of poor is less than the rural areas. In urban areas, about 50 million—5 crore people are unable to meet their basic needs. 60% of people in early 1970s were poor in India. In 2011-12, it came down by 25%. There was a stable decline in the year 2004-5. The levels of the rural area are always higher compared to the urban levels.

Poverty in Indian States, 2011-12

POVERTY LEVELS (in %)	STATES
Less than 10	Delhi, Himachal Pradesh, Sikkim, Puducherry, Andaman and Nicobar Islands, Daman and Diu, Lakshadweep, Goa, Kerala, Punjab, Andhra Pradesh
10-20	Jammu and Kashmir, Haryana, Uttarakhand, Tamil Nadu, Meghalaya, Tripura, Rajasthan, Gujarat, Maharashtra,

	Nagaland, West Bengal
20-30	Mizoram, Karnataka, Uttar Pradesh
30-40	Madhya Pradesh, Assam, Odisha, Bihar, Arunachal Pradesh, Manipur, Jharkhand, Chhattisgarh, Dadra and Nagar Haveli

The poverty line is based on the minimum calorie requirement of 2400 and 2100 kcal per capita in rural and urban areas. The consumer intake in 2011-12, on an average (food and non-food), of Rs. 816 per capita per month is associated with the intake of 2400 calories per day in rural areas and in urban areas it was Rs. 1000 per capita per month, equivalent to 2100 calorie intake per day. The Government of India recognize the monthly per capita expenditure (MPCE) as poverty line. It was Rs. 50 and Rs. 57 in 1973-74 in rural and urban areas respectively. About 26% of the people in rural areas and 14% of people in urban areas in India are not able to buy the basic necessities worth Rs. 816-1000 per month per person. The government uses the numbers of poverty line to understand the purchasing and deprivation capacity of its citizens.

b. GLOBALIZATION

Globalization as removal of trade barriers, close integration with other countries and people of the world brought together by reduction of transportation and communication costs. The goods and the services are produced and consumed in different countries in the globalized world. Globalization is not necessarily associated with production, consumption and distribution. People willingly or unwillingly adopt socio-cultural practices and consume goods and services. They can also adopt the lifestyle of their choice which are not related to their native or culture. Globalization is a never-ending process. The scholars also see it differently. Globalization resulted in bringing technologies, railways, telecommunications, and factory-based production technologies. After 1947, India did not develop economically as it followed protectionist policies to come out of the colonial impact. The economic policies encouraged ICT in India post 1991. This led to India's foreign investments. Various foreign investors invested in India's economic activities. This is known as Foreign Investment. These investments are of two types: Foreign Direct Investment and Foreign Institutional Investment. When an investor establishes an enterprise in India by bringing his own capital, and produce goods and services, it is called foreign direct investment, and if the investor puts the capital in bonds and securities and invest in stock market it is called foreign institutional investment. Nearly Rs. 80,000 crore of FDI came to India during 1991-2000. Nowadays, Indian companies are changing their technologies, leaving their business and selling themselves to the MNCs. The Public Sector Undertakings (PSUs) are also facing the same situations. The Indian government every year sell the shares of PSU of Rs.

15-25,000 crores. This is called disinvestment. Every year the government set the target and therefore, leads to privatization.

The metropolitans are more benefited from globalization rather than the other parts of the country. The urban people get more technical facilities than the rural people such as mobile phones, electrical gadgets, televisions, tablets, computers and cars at low prices with the latest technologies in developing countries. Banks and other institutions work digitally. MNCs locate the factories where there is availability of cheap production. The MNCs earn profits in hundreds and thousands of crores. The labour working in the developing countries are the victims of the profit war of the MNCs. The private sector creates high skill jobs such as managerial jobs, computer programming. In the public sector, the loss of job is high. The globalization has created the environmental damage and the government has taken some alternative measures to economic development. This is called sustainable development.

c. SUSTAINABLE DEVELOPMENT

According to The World Commission on Environment and Development, sustainable development means to use the present resources judiciously without compromising the need of the present and future generations. In the magazine Down to Earth, sustainable development is defined as the society which learns faster from its mistakes in the use of natural resources and rectifies its behavior with the knowledge it has gained. In Down to Earth magazine, sustainable development demands two aspects: first, the maximum extent of the natural resources is possible with the local communities dependent upon those resources, if there is political order. Second, within the communities there should be decision-making as participatory, open and democratic. There should also a governance system in the sustainable development which gives freedom to the community, punishments for harming other community or nation, control and management of the natural resources to determining its way for economic and social development.

Pollution means presence of harmful substances into the environment which has adverse effects on human beings. For the use of the natural resources and regulating the forests, industries now require the clearance from the government officials. Nowadays, new industries set up effluent treatment plants and factories are relocated to non-residential areas to reduce the pollution. Sustainable development is required for the economic growth of the nation. The prolong increase in the value of GDP signifies the development of the country. During the last two decades India reported 7-8%, the high levels of economic growth. The employment requirement does not increase with the economic growth in India. In 1970s the concept of sustainable development originated to balance economic growth and better utilization of the natural resources.

The United Nations Organization initiated the United Nations Environment Programme (UNEP) where the concept of sustainable development started to gain attention. Initially, this idea was to conserve the environment. According to UNEP there are three dimensions of sustainable development.

a. Sustainable Environment refers to the conservation of the natural resources and the ecosystem. It aims to bring the value of the environment and the importance and assurance of preservation and renewal of the natural resources. Its aim is also to improve the standard of living, afforestation to reduce the pollution and protect the environment.

b. Economic Sustenance is an economic system which use the natural resources in such a way that it helps to generate income, provide employment to the people of India, so that they can also improve their standard of living.

c. Social Sustainability is the development which guarantees the security, health, education to the rich and poor, Scheduled Tribe and Scheduled Caste, religious groups and gender. This helps in efficient interaction and development of the country.

Sustainable development is not only concerned with the government or international organizations. Every individual has a major role to play. It is hierarchical and every individual's contribution leads to development of the country. The Prime Minister of India, in January 2015, launched a National Programme for LED-based Home and Street Lighting. The LED bulbs consume less electricity, are less hazardous and have a long life. In India, about 25 crore people use 2-4 bulbs in each home. The use of the LED bulbs may save electricity, which is a scarce resource in India. Indian Government in the past introduced laws such as Water (Prevention and Control of Pollution) Act, 1974, Air (Prevention and Control of Pollution) Act, 1981 and the Environment (Protection) Act, 1986. These laws led to the establishment of Pollution Control Boards (PCBs) in all the states. The PCBs asked the industries to follow and promote the sustainable development practices. For the promotion of the sustainable development, several steps were taken in the daily lives: (i) less use of conventional sources of energy (ii) instead of kerosene and firewood, use of Gobar gas and LPG in rural areas (iii) use of CNG Compressed natural gas and PNG Piped Natural Gas (iv) use of non-conventional sources of energy (v) adopting organic farming by using bio-composting and bio-pest control measures. Some of require government support also. Today, sustainable development includes both social and economic dimensions to achieve its goals and to achieve its goals every individual has to put an effort, whether big or small engaged in production of goods and services and the consumer of the goods.

4. TEACHING LEARNING STRATEGY

The students can be taught the three economic issues by giving them daily life examples.

i. Inter-connectedness: The students should be taught the three economic issues separately and their interconnectedness. For example, poverty and its magnitude can be taught separately. The students should know the cause of poverty. They should also know the concept of sustainable development practices and how it can improve the lifestyle of the poor.

ii. Perspective building: Students should learn how to build perspective. They should show empathy towards the poor sections of the society. To learn sustainable development, they can ride bicycles or walk rather than using bikes or cars. The teachers should teach the students how they can raise the voice for the poor conditions of the poor, unnecessary use of the conventional sources of energy and avoid any type of wastage. Students should also know the impacts of being poor.

iii. Understanding of basic concepts and institutions: The students should be taught the (a) concepts of poverty line, foreign investment, MNCs (b) enable them to understand the functioning and working of the organizations in all three areas that are National Ones such as National Sample Survey Organization, NITI Aayog, Pollution Control Boards and International Organizations such as World Bank and World Trade Organization. Students should critically study the functions of MNREGA, and other laws used by the government to address poverty and promote sustainable development.

iv. Scientific Analysis: Students should be enabled to investigate the data given, interpret the statistics and find accurate explanations based on reading and analyzing. They should also learn to critically analyze the practices of the sustainable development, government's initiatives and non-government organizations. Teachers can teach the students the difference between the scientific sustainable development and the superstitions using science and reasoning.

v. Use of multimedia materials: The students can be taught the two issues of poverty and sustainable development using multimedia materials like movies, videos and documentaries. It can be seen on internet or by downloading it. The students can be helped by providing the links for the same.

vi. Discussion and debate: There can be a debate on the topics such as globalization led to income inequality and unemployment, no possibility of sustainable development in India, no initiative of government to solve the problem of poverty, do India need foreign investment for the economic development? Technology led to unemployment in India and many other proactive topics can be given to the students for encouraging the debates.

Government has taken necessary steps for the improvement of the conditions of the poor. First step is the capacity to purchase the essential goods and services. Under MNREGA (Mahatma Gandhi National Rural Employment Guarantee Act, for 100 days in a year rural people are given the employment. Teachers and students can interact with the workers and government officials where the MNREGA activities take place. Through household surveys also, students can collect the details. The example of two students belonging to different families can be taken. One from the reasonable expenditure family and other one from the family who is trying hard to meet its need.

5. TECHNOLOGICAL CHALLENGES (ICT DEVELOPMENTS)

Information Technology (IT) is the General-Purpose Technology of the new era that enhance efficiency, competency and economic growth and helps to achieve the millennium development objectives by the developing countries. IT has contributed in the development, and has two different interrelated levels: first, the growth of IT industries which refers to the contribution in output, employment, exporting, earning in the production of IT goods and services. The second is the use or diffusion of IT. It means that the IT that is developed through enhanced productivity, competitiveness, growth and human welfare is the technology that can be used in the economy and society. The enhancement of diffusion in IT does not neglect the production of IT. Both need each other and work simultaneously. Every developing country of the world have developed the IT industries adopted new technology as a shortcut. But these initiatives are not distributed evenly. The production capabilities of IT are more focused in the developed countries. The Government on the recommendations of the Sondhi Committee and Menon Committee (Government of India, Department of Electronics, 1981) gradually in the 1980s moved towards a market-oriented policy regime through a series of policy changes. The policy changes provided both internal and external liberty through diluting the industrial licence, relaxing the provisions of MRTPA and FERA, greater access to technology and foreign capital and liberty of imports.

The main features of the new industrial policy of July 1991 was removing the restrictions on industrial licencing and greater outward orientation. This marked the beginning of the third phase of IT sector. There was liberalization on Foreign Direct Investment (FDI) and technology import. Further, in 2005, import duties on all the ITA goods have been phased out. The policy was the link between trade and investment and was much powerful in the field of electronics rather than the other industries. If the production and the investment in IT takes place in any country, then there should be the input of trade regime and output of the economy is ensured. Over the years, the electronic industry evolved because of the evolution of the computer hardware industry. The first phase marked the foreign domination, followed by the public sector controlling the commanding heights. The private firms started to dominate in the third phase. In the final phase of globalization foreign firms again took the control over the IT industry.

Today, in the electronic industry of India there are over 3500 firms. It consists of 11 central public sector units with 31 manufacturing establishments, in the state public sector there are 46 units, and about 500 units in private sector. In small-scale sector there are 2900 units. Today's total output of public sector is 16%, as high as 35% of the total output in 1981. There was 10% increase in the total output of the small-scale industries, which was 38 % in 2002. In 1997 there was a separate ministry for IT and electronics, reorganizing and merging the DoE/DIT autonomous bodies, promotion of hardware, fiscal incentives. Up to 2002, during the first phase the output growth of total electronics output was higher (28.6%) as compared to the second phase (13.8%). With the policy reforms in 1997, there was a decline in the output growth (11.2%). During 1985-90 the export growth was 32.8%, higher than the output growth. But with the period of time, the export growth rate declined than the production growth. During 1985-90

the country exported large number of electronic hardware and reached the level of over 400 million dollars and afterwards it declined in the 1990s. There was a rise in the export rate during 2005-06.

The export service performance of the software and IT is remarkable and is doubling in almost every alternative year. In the 1990s, the annual compound growth rate has been more than 50% and 1997-98 it was 38%. Today the software and service exports is 20% of merchandise exports, higher than that of textile and textile products. But the exports of software and hardware have increased. However, software is exported more than that of the hardware. In 2007-08 the value terms of the IT and ITES industry estimated by NASSCOM reached US \$64 billion. It resulted in the increase of GDP of IT sector from 1.2 % in 1997-98 to 5.4% in 2006-07. 12% of the GDP exceeded from the gross revenue IT services. However, these estimates do not involve a gross underestimate as it did not include mass communication, telecommunication, T.V, and other electronic products of the IT sector. National Association of Software and Service Companies (NASSCOM) states that in 1999-00 the software industry employed 284,000 people as compared to 160,000 professionals in 1996-97. In 2006-07 it reached the level of 1.63 million and 35% enhancement of the compound growth rate annually. Since the last ten years, 0.1 millions of employment is given in the IT sector every year. The performance of the software and service sector is highly impressive.

10.2.2 CHECK YOUR PROGRESS I

1. List five larger states which reported high levels of poverty.

2. Define Globalization.

3. Write two benefits of Globalization.

10.2.3 POLITICAL ISSUES

a. GOVERNANCE

Governance is a term which allows raising the capabilities of individuals and providing the opportunities for the realization of their potentialities and enlargement of the available choices. The processes to cover the political, socio-economic aspects of human lives be it individual, household, the village, region or the nation. The state, civil and the society is covered for sustaining the human development. The state is responsible to create the political, conducive, legal and economic environment to build the capabilities of an individual and encourage the private sector. The opportunities are created by the market to the people. The concept of governance is used at international level and national level. The governance at the international

organizations such as World Bank and the United Nations is used to provide and describe the ways the societies manage themselves.

A good governance should cover the following dimensions:

- A central feature of the good governance in the democratic country is fairly electing the government at various levels and to protect the constitutional rights.
- There should be transparency and accountability of the government. It should take account to eliminate corruption.
- The government must be effectively and efficiently deliver socio-economic public services. To design the programmes, constant attention and monitoring is required.
- Firm establishment of rule of law. The relations between government and individuals, enable them to demand their rights.
- There should be fair and inclusive environment for the smooth working of the entire system. The minorities such as STs and SCs also get equal opportunities and ensure the legitimacy of the state.

The government have taken the number of steps to improve the quality of the governance. In 2005, RTI came into force. The Union and local agencies, local governments and societies receive public funds empowers the citizens. All India Service Rules provides a fixed tenure for particular posts notified by the state and central government. The introduction of new value added tax regime simplifies the tax systems and brought the major reforms in the structure of tax. For the transparent and fair elections electoral funding reforms were introduced. It also created tax incentives to donors and disclosure of antecedents of candidates. An E-Governance Plan for 27 major areas was adopted to assist, deliver the services and digitalization of the information.

Some of the major challenges faced by the governance are:

- Provide education and health care services especially in the rural areas, girls, minorities, SCs, STs, OBCs, and BPL families. It also provides employment under the Rural Employment Guarantee Programme. Provision of clean water, sanitation, housing and electricity.
- Effective administrative and judiciary system and providing security and policing system to Naxalite and communally sensitive areas.
- It also provides new employment opportunities on private sector and create friendly environment and promote efficient business.
- Tackle the problem of corruption, which is the major hindrance in the quality of governance.

b. DECENTRALISATION

The two factors which encourage the centralization are to maintain the maximum control over the economy and economic development of the country. It is an argument against the decentralization. Second, some politicians find centralization handy and exploit the resources very easily. The decentralized government serves a part and disperse the political power. The government set the rules that govern the economic sector and only government has the authority, capacity and power to legitimate one's wealth, property, freedom and even life of an individual. The decentralized government has two manifestations. First is capacity to exercise power within the government and second, it serves to create more civic space. Decentralized government also create opportunities for the origin of opposition political groups and also create resources for the opposition political parties. It also provides an individual an option for seeking positive response from government. Decentralized government provides diversity in response to the demand of public. Different countries have different ethnic, regional and tribal groupings. Decentralized resources enhance the economic development.

The government develop various programmes to eradicate poverty rapidly and the local government provide the various services. There are some schemes such as State Sector Schemes (SSS), led by the state government, Central Sector Scheme (CSS) led by the central government. The following are the drawbacks of the CSS :-

1. The scheme is often rigid and there is no flexibility that provide development needs at the local level.
2. There is no consistency in the design of delivery mechanisms. The independent structures create multiplicity of the structures at the local level, and there is no coordination and interaction between them.
3. At the local, state and national levels, the professional support, implementation and monitoring of the schemes is quite weak.
4. The schemes are often monitored on the basis of expenditure.

c. THE ROLE OF CASTE IN POLITICS

Casteism has been dominating Indian politics for the last few years. In spite of many laws against casteism, India has experienced a great number of bad effects of casteism. Politicians use caste feelings to get maximum votes in the general elections. There are many caste-based political parties. The policy of reservation of seats for scheduled castes in legislatures and services also has increased the importance of caste factor in politics. Though in the 16th Lok Sabha elections parties based on caste has suffered heavy loss. But a political party being in favor of Hindus got thumping majority in the Lok Sabha.

d. ROLE OF RELIGION IN POLITICS

Religion is also a dominating factor in the Indian politics. There are many political parties which use the religious feelings of the people in elections. Religion based parties cannot lose their political shine with a single stroke. Religion is deeply inscribed in the minds of Indian people and the parties based on these factors shall lose their hold in politics very gradually, if the Indian people work seriously towards that direction.

e.CRIMINALIZATION OF POLITICS

Criminalization of the Indian politics is the only major responsible for bad condition of law and order in the country. Such persons are holding offices in political parties against whom there are several cases of criminal scams and rape etc pending in courts. The election commission suggested that person against whom there are criminal cases should not be permitted to contest elections. In spite of this no legal actions could be taken in this regard, because political parties are not unanimous on depriving criminals.

f.ALLIANCE POLITICS

Elections in 1989 led to the new trend in Indian politics and era of coalition government started with the elections of 1989, a long phase of coalition politics began in India. Since then, there have been many governments at the centre, all of which have been coalition governments.

g.POLITICAL FALLOUTS

1980 onwards the caste-based politics dominated Indian politics. In 1989 and 1991, this was the first time in independent India that a political party (BSP) supported by *Dalit* workers had achieved a landmark political success. In many parts of India, Dalit politics and OBC politics have developed independently and often in competition with each other.

h.EMERGENCE OF A NEW CONSENSUS

Analysis shows that since 1989 election, the votes polled by the two parties, congress and BJP were not more than 50 percent. The political competition during these days is divided between the coalition led by BJP and the coalition led by congress.

10.2.4 CHECK YOUR PROGRESS II

1. What do you mean by governance?

2. What features do good governance have?

3.What are the benefits of decentralization?

10.2.3 SOCIAL ISSUES

a. EDUCATION

India shows a rise from 18.3 percent in 1951 to 64.8 percent in 2001 in the educational sector. But it continues to lag behind several other developing countries in the country. The National Policy on Education (1986) provides a broad policy framework for eradication of illiteracy and in order to fulfill the goal of universal elementary education, the constitution (86th Amendment) Act, 2002, has been passed by Parliament. A comprehensive program called Sarva Shiksha Abhiyan (SSA), launched in November 2000, aims to improve the performance of the school system through a community owned approach and to impart quality elementary education to all children in the age group of 6-14 by 2010. The National Program for Education of Girls at Elementary Level (NPEGEL) has been launched in 2003-04 for providing additional components for education of girl's elementary level under SSA. The number of primary schools increased from 6.39 lakh in 2000-01 to 6.64 lakh in 2001-02. The National Literacy Mission was launched on May 5, 1988, as a Technology Mission to impart functional literacy to non-literates in the country in the age group of 15-35 years in a time-bound manner. The National Education Policy, 1986, as modified in 1992, also has recognized the National Literacy Mission as one of the three instruments to eradicate illiteracy from the country, the other two being universalization of Elementary Education and Non-formal Education. Still it is an issue for the country in the 21st century to education everyone.

b. POPULATION AND FAMILY WELFARE

India is going through the phase of 'high birth rate-low death rate. The population of India, according to the population census of India, 2001 was 1,027 million, with 531 million males and 496 million females. The crude birth rate declined from 33.9 per thousand persons in 1981 to 25 per thousand persons in 2002, the crude death rate also declined from 12.5 per thousand persons in 1981 to 8.1 per thousand in 2002. Providing good health condition (National Health Policy, 2002), safe drinking water and low-cost sanitation, are some of the aims of the policies and programmes of the Government. Another issue, which is central to the welfare of the family, is development of women and children. Though women constitute about 48 percent of the total population of the country, they suffer many disadvantages as compared to men. Various schemes have been introduced under the "National Policy for Empowerment of Women", 2001 to ensure the right place to women in society. The Integrated Child Development Services (ICDS) scheme was first launched in 33 selected blocks in 1975 to promote the overall development of the young children (0-6 years). At the same time, a number of schemes have been introduced to improve

the lot of socially disadvantaged groups- the Scheduled Castes (SCs), the Backward Classes (OBCs) and the Minorities. A lot need to done on this issue too.

10.3 SUMMARY

Students, as compared to the state of economic stagnation in the decades before independence India has come a long way ahead in terms of economic, social and human progress and a lot need to be done. India decided to go in the path of globalization with the adoption of New Economic Policy in 1991. A number of reforms in various economic and social sectors were conducted which lead to human and social development. India has to achieve a lot more in relation to economic, political and social progress of her people.

10.4 SUGGESTED READINGS

Bipin Chandra and et.al., *India After Independence 1947-2000*, New Delhi: Penguin Books, 1999.

Jagdish Bhagwati, *India in Transition: Freeing the Economy*, Delhi: Oxford University Press, 1992.

V.K. Puri and S.K. Misra, *Indian Economy*, Mumbai: Himalaya Publishing House, 1983. (37th Edition 2019)

Peu Ghosh, *Indian Government and Politics*, Raj Press, New Delhi, 2018.

Nirja Gopal Jayal, *Politics in India*, 'New Delhi' OUP 2010.

10.5 QUESTIONS FOR PRACTICE

10.5.1 LONG ANSWER QUESTIONS

1. Discuss in detail the emerging economic issues in the 21st century?
2. Examine the emerging social issues in the country during the 21st century?
3. Write a detailed note on the technological challenges in the country during 21st century.
4. Discuss in detail the emerging political issues in the country?

10.5.2 SHORT ANSWER QUESTIONS

1. Mention two impacts of globalization.
2. Define Sustainable Development?
3. Throw light on the IT?
4. What do you know about Governance?
5. Write few sentences on Decentralization?



ਜਗਤ ਗੁਰੂ ਨਾਨਕ ਦੇਵ
ਪੰਜਾਬ ਸਟੇਟ ਓਪਨ ਯੂਨੀਵਰਸਿਟੀ
ਪਟਿਆਲਾ

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PUNJAB STATE OPEN UNIVERSITY, PATIALA

(Established by Act No. 19 of 2019 of the Legislature of State of Punjab)

BACHELOR OF ARTS (LIBERAL ARTS)

**CORE COURSE (CC): POLITICAL SCIENCE
(BLAB32404T) INDIAN POLITICAL SYSTEM – II
SEMESTER IV**

Head Quarter: C/28, The Lower Mall, Patiala-147001

WEBSITE: www.psou.ac.in

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**JAGAT GURU NANAK DEV PUNJAB STATE OPEN UNIVERSITY,
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PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

In keeping with the nature of an Open University, this University provides a flexible education system to suit every need. The time given to complete a programme is double the duration of a regular mode programme. Well-designed study material has been prepared in consultation with experts in their respective fields.

The University offers programmes which have been designed to provide relevant, skill-based and employability-enhancing education. The study material provided in this booklet is self-instructional, with self-assessment exercises, and recommendations for further readings. The syllabus has been divided in sections, and provided as units for simplification.

The University has a network of 10 Learner Support Centres/Study Centres, to enable students to make use of reading facilities, and for curriculum-based counseling and practicals. We, at the University, welcome you to be a part of this institution of knowledge.

Prof. Anita Gill
Dean Academic Affairs



**BACHELOR OF ARTS (LIBERAL ARTS)
CORE COURSE (CC): POLITICAL SCIENCE
SEMESTER – IV
(BLAB32404T) INDIAN POLITICAL SYSTEM II**

MAX. MARKS: 100

INTERNAL: 30

PASS: 35%

EXTERNAL: 70

Objective:

Credits: 6

This course aims to introduce the students to the basic concepts and themes of the discipline of political science. It will provide an overview about political science and theory and State and its sovereignty.

INSTRUCTIONS FOR THE CANDIDATES:

Candidates are required to attempt any two questions each from the sections A, and B of the question paper, and any ten short answer questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

SECTION – A

1. Governor: Appointment, Powers, Position and its Changing Role.
2. State Legislature: Composition, Powers and its Changing Role.
3. Chief Minister and State Council of Ministers: Appointment, Powers, Position and Changing Role
4. State Judiciary: Composition, Powers and Functions of the High Court.
5. The Election Commission: Composition, Powers, Evaluation and Electoral Reforms in India.

SECTION – B

1. Party System in India: Its Features; Organization and Ideology of Indian National Congress, BJP, BSP, SAD, DMK and TMC.
2. Panchayati Raj Institutions: Composition, Powers, Functions with special reference to 73rd Amendment
3. Role of Religion and Caste in Indian Politics.
4. Role of Gender and Regionalism in Indian Politics.
5. Emerging Trends in Indian Politics.

Recommended Readings:

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CORE COURSE (CC): POLITICAL SCIENCE
COURSE (BLAB31204T): INDIAN POLITICAL SYSTEM II

COURSE COORDINATOR- DR. SUKHPAL KAUR
SEMESTER - IV

SECTION A

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Unit 4	State Judiciary: Composition, Powers and Functions of the High Court.
Unit 5	The Election Commission: Composition, Powers, Evaluation and Electoral Reforms in India.

SECTION B

Unit 6	Party System in India: Its Features; Organization and Ideology of Indian National Congress, BJP, BSP, SAD, DMK and TMC.
Unit 7	Panchayati Raj Institutions: Composition, Powers, Functions with special reference to 73rd Amendment
Unit 8	Role of Religion and Caste in Indian Politics.
Unit 9	Role of Gender and Regionalism in Indian Politics.
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BACHELOR ARTS (LIBERAL ARTS)

SEMESTER –IV

COURSE: - INDIAN POLITICAL SYSTEM -II

UNIT 1 GOVERNOR: APPOINTMENT, POWERS, POSITION AND ITS CHANGING ROLE

STRUCTURE

1.0: Learning Objectives

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1.3. Appointment of the Governor

1.3.1. Qualifications

1.3.2. Conditions of the Governor's Office

1.3.3. Official residence, emoluments and allowances

1.3.4. Oath

1.3.5. Tenure and Removal

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1.4.5.2. Check Your Progress I

1.5. Position of the Governor and its changing role

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1.6. Summary

1.7. Questions for Practice

1.7.1. Long Answer Questions

1.7.2. Short Answer Questions

1.8. Suggested Readings

1.0. LEARNING OBJECTIVES

After the completion of this unit, you will be able to:

- Learn about the appointment and removal process of the Governor
- Understand the powers of the Governor
- Learn about the constantly evolving position of the Governor

1.1. KEY WORDS: Governor, power, Constitution, Executive

1.2. INTRODUCTION

The Government in a state functions in quite a similar way to that of the Central Government. The executive head is also the constitutional head, which acts on aid and advice of Council of Ministers. As this Council of Ministers is headed by the Chief Minister on the state level, similarly, the constitutional head of the state government is the Governor. Article 153 of the Constitution of India has created the office of the Governor, where each state shall have one. The proviso to Article 153 states that one person can be the governor of two or more states. Such person shall exercise the executive power either directly or through an office subordinate to him, according to Article 154.

1.3. APPOINTMENT OF A GOVERNOR

According to Article 155, the President of India appoints the Governor of a state. He is elected by neither a direct nor an indirect vote, but by a special electoral college as is done in case of election of the President. Therefore, he is a nominee of the Central Government.

In the case of *Hargovind v. Raghukul*¹, it has been held that the office of the Governor of a State is not an employment under the Government of India and it does not come within the prohibition of clause (d) of Article 319 and therefore, a member of the State Public Service Commission can be appointed as the Governor. The office of Governor is an independent office and is not under the control or subordinate to the Government of India.

1.3.1 QUALIFICATIONS: As per Article 157 of the Indian Constitution, a person to be eligible to be appointed as a Governor must be (a) a citizen of India, and (b) must have completed the age of 35 years.

1.3.2. CONDITIONS OF THE GOVERNOR'S OFFICE:

The Governor cannot be a member of either house of the Parliament or of a house of Legislature of any state. If a member of either house of the Parliament or of a house of Legislature is appointed as the Governor, such person shall be deemed to have

¹AIR 1979 SC 1109

vacated his seat in the concerned house on the date on which he enters upon his office as Governor, according to Article 158(1). Article 158(2) states that the Governor cannot hold any other office of profit.

1.3.3. OFFICIAL RESIDENCE, EMOLUMENTS AND ALLOWANCES:

The Governor is entitled to rent-free use to his official residence. He shall also be entitled to such emoluments, allowances and privileges as may be determined by Parliament by law and until provision in that regard is made, such emoluments and privileges are specified in the second schedule, according to Article 158(3). As per the Governors (Emoluments, Allowances and Privileges) Act, 1982 which was amended by the Finance Act, 2018, the emolument to be paid to every governor shall be fixed at Rs. 3,50,000 per month w.e.f. 1st January, 2016. Where the same person is appointed as the Governor of two or more states, the emoluments and allowances payable to the Governor shall be allocated among the states in such proportion as the President may by order determine and the same is stated in Article 158 (3- A). According to Article 158(4), the emoluments and allowances of the Governor cannot be reduced during his term of the office.

1.3.4. OATH:

The Governor, before entering upon his office, is required to take an oath affirmation in the presence of the Chief Justice of the High Court or if he is not present, in the presence of the senior most Judge of the High Court, according to Article 159.

1.3.5. TENURE AND REMOVAL:

Article 156 of the Constitution says that the Governor shall hold office during the pleasure of the President. Subject to this rule, the tenure of the office of the governor is fixed for five years from the date on which he enters upon his office. He may be removed from his office at any time by the President. The Governor may, however, resign from his office by writing to the President. The five-year term provided for the Governor under Art. 156(3) is subject to exercise of pleasure by the President of India under Article 156(1).

1.4. POWERS OF THE GOVERNOR

1.4.1. LEGISLATIVE POWERS: -

The Governor can summon both the houses and either house of the legislature of the State to meet at such time and place as he thinks fit. However, six months must not lapse between the last sitting in one session and the first in the next session. According to Article 174 (1) & (2), he may prorogue both houses and either house or dissolve the Legislative Assembly. He also has the right to address the State Legislature. He has the right to reserve certain bills for the assent of the President, as

per Art. 200. Article 171 states that he can nominate up to 1/6th of the members of the Legislative Council.

1.4.2. EXECUTIVE POWERS:

The Governor may exercise the executive power vested in him directly or through officers subordinate to him, as per Article 154 of the Constitution of India. All executive actions of the Government of a state shall be expressed to be taken in the name of the Governor. Orders and instruments, made and executed in the name of the governor, shall be authenticated in the manner specified in the rules made by the Governor. Such authenticated order or instrument cannot be questioned on the basis that it was not made or executed by the Governor. These provisions have been stipulated in Article 166(1) & (2). Under Article 166(3), the Governor is authorised to create rules for convenient transaction of the business of the Government of the State and for its allocation among Ministers.

In *Ram Jawaya Kapur v. State of Punjab*², it was held by the Supreme Court that the President and the Governors are only constitutional heads and the real executive powers are vested in the Council of Ministers. In *Shamsher Singh v. State of Punjab*³, the Apex Court held that the President and the Governors are only constitutional heads and they exercise their powers and functions with the aid and advice of the Council of Ministers and not personally save in cases where the Governor is required by the Constitution to exercise his functions in his discretion. This point was reiterated in *State of Gujarat v. Mr. Justice R.A. Mehta*⁴ as well.

1.4.3. FINANCIAL POWERS: -

According to Article 207(1), a Money Bill cannot be introduced in the Legislative Assembly of the State without the recommendation of the Governor. Art. 203(3) states that no demand of grants can be made except on the recommendation of the Governor. As per Article 202, the Governor is required to cause the annual financial statement (or 'Budget') to be laid before the house(s).

1.4.4. PARDONING POWER-

According to Article 161, the Governor shall have the power to grant pardons, reprieves, respites or remissions of punishment or to suspend, remit or commute the sentence of any person convicted of any offence against any law relating to matter to which the executive power of the state extends, which is defined in Art. 162.

However, there are some differences in the Pardoning powers granted to the President and to the Governors. The President can not only pardon the convicts whom the

²AIR 1955 SC 549.

³AIR 1974 SC 2193.

⁴AIR 2013 SC 693

Governor can, but he can pardon two more classes of convicts: (a) where the sentence is a death sentence and (b) where the sentences have been inflicted by a Court Martial. The Governor does not have the power to pardon the above mentioned types of convicts, like the President does.

In *K.M. Nanavati v. State of Bombay*⁵, the petitioner was convicted of murder and was sentenced to for life by the Bombay High Court. The petitioner at that point of time was in naval custody, and soon after the judgment by the High Court, the petitioner made an application for leave to appeal to Supreme Court. On the same day the Governor issued an Order under Article 161 suspending the sentence subject to this that the accused shall remain in the Naval Jail till the disposal of his appeal by the Supreme Court. The warrant issued for the arrest of the accused was returned unserved. The question involved was: Should the accused surrender to his sentence as required by the rules of the Supreme Court under Order XXI, Rule 5 or should remain in naval custody pursuant to the order made by the Governor under Art. 161. The Court held that the power to suspend a sentence by the Governor under Art.161 was subject to the rules of the Supreme Court with respect to cases which were pending before it in appeal. The power of the Governor to suspend the sentence of a convict was bad in so much as it came in conflict with the rule of the Supreme Court which required the petitioner to surrender himself to his sentence.

It is open to the Governor to grant a full pardon at any time even during the pendency of the case in the Supreme Court in exercise of what is ordinarily called mercy jurisdiction. But the Governor cannot exercise his power of suspension of sentence for the period when the Supreme Court is seized of the case. The order of the Governor could only operate until the matter became *sub judice* in the Supreme Court and it did become so on filing of the petition for special leave to appeal. After the filing of such a petition and till the judicial process is over the power of the Governor cannot be exercised.

1.4.5. ORDINANCE MAKING POWER: -

Article 213 of the Constitution enables the Governor of a state to promulgate an ordinance if either House of state (or the legislative assembly, if a state only has one house) is not in session and “circumstances exist, which render it necessary for him to take immediate action”. Every ordinance has to be laid before the legislative assembly, and ceases to exist six weeks from the end of the next sitting of the assembly. Ordinance-making power is not a new feature added to the Indian Constitution. Articles 42 and 43 of the Government of India Act, 1935, gave the same power to the Governor General. Members of the Constituent Assembly, having experience of abuse of such power, were understandably wary of including the same in the Constitution. Both Hriday Nath Kunzru and Professor K.T. Shah called for restricting the executive’s power to promulgate ordinances through greater oversight by legislatures. They were, however, overruled by Dr B.R. Ambedkar, who stated that

⁵AIR 1961 SC 112

ordinance-making powers were necessary since existing law might be deficient to deal with a situation “which may suddenly and immediately arise”. According to him, the only solution was to “...confer upon the President the power to promulgate a law which will enable the executive to deal with that particular situation because it cannot resort to the ordinary process of law...” when the legislature was not in session.

It is clear that the framers of the Constitution envisaged ordinance-making powers only for unforeseen, sudden situations and where the executive required additional legal sanction to address the situation. The executive, however, decided to completely disregard this requirement of necessity for immediate action. According to data furnished in the Statistical Handbook of the Ministry of Parliamentary Affairs, more than 41 ordinances were promulgated during the term of the first Lok Sabha itself. Indeed, in the pre-Indira Gandhi period, that is, before 1966, more than 75 ordinances were passed by the Central government. The necessity of taking immediate action by promulgating ordinances has remained debatable at best through the years.

1.4.5.1. JUDICIAL REVIEW OF ORDINANCE MAKING POWERS

Courts have uniformly held, in varying formulations, that the power of the President and the Governors to issue ordinances is in the nature of an emergency power. In *A.K. Roy v. Union of India*⁶ and *R.C. Cooper v. Union of India*⁷ (*Bank nationalisation case*), the Supreme Court said that ordinance-making power was a legislative power given to the President and was not similar to the exercise of his executive powers. As such, ordinances are also “law” under Article 13. Using the same reasoning, the Supreme Court reached damaging conclusions in *Venkata Reddy v. State of Andhra Pradesh*⁸ and *K. Nagaraj and Ors. V. State of Andhra Pradesh*⁹. In *Venkata Reddy*, the constitutional validity of the Andhra Pradesh Abolition of Posts of Part-time Village Officers Ordinance, 1984, was challenged. One of the grounds of challenge was that the ordinance was void on account of the lack of application of mind by the Governor. The court asked itself the question whether “the validity of an ordinance can be tested on grounds similar to those on which an executive or judicial action is tested”. In answering the question it cited its earlier judgment in *K. Nagaraj* and held that since promulgating an ordinance was a legislative action, the grounds on which it could be challenged were the same as those on which laws made by Parliament could be challenged. The “motives of the legislature in passing a statute is beyond the scrutiny of courts”.

That the motives of the legislature are not gone into when the validity of a law is considered is a settled principle in law. It is a settled principle because it is difficult to ascribe a single, clear motive for the enactment of a law to the entire legislative body. Members of the same legislature may support (or oppose) the enactment of a

⁶AIR 1982 SC 710.

⁷AIR 1970 SC 564.

⁸1985 AIR 724.

⁹(1985) 1 SCC 524.

law for different reasons. Therefore, courts refrain from scrutinising the motives of legislatures.

Ordinances are, however, framed by the executive, which is a single, unified entity. The President or the Governor (in the States) is the head of the executive who acts on the advice of the Council of Ministers when promulgating ordinances. Under our constitutional scheme the Council of Ministers shares collective responsibility. In addition, ordinances are only to be promulgated when it is “necessary to take immediate action”. There is then no great difficulty in ascertaining the motives of the President or the Governor when an ordinance is promulgated to meet an immediate situation.

The Supreme Court has slowly been compelled to move in this direction as well. *D.C. Wadhwa v. State of Bihar*¹⁰ relates to the State of Bihar promulgating and re-promulgating ordinances on a “massive scale”. Between 1967 and 1981, as many as 256 ordinances were promulgated and re-promulgated, and some of them continued in existence this way for up to 14 years. In pronouncing its judgment the Supreme Court departed from the above-mentioned precedent and went into the relevant governmental information preceding the promulgation and re-promulgation of these ordinances.

The power of review over ordinances was implicitly taken one step further in 1998 in the case of *Krishna Kumar Singh v. State of Bihar*¹¹, where the court struck down a number of ordinances, stating that no basis for the exercise of ordinance-making power had been shown. It stated explicitly: “There is also no explanation offered for promulgating one ordinance after another.”

Though the sheer profligacy in ordinance-making compelled the Supreme Court to start performing some sort of judicial review, there is as of now no clarity on the nature and extent of judicial review over ordinance-making.

1.4.5.2. CHECK YOUR PROGRESS I

1. Are Governors allowed to promulgate ordinances? If yes, which provision of the Constitution empowers them to do so?

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.....

2. What are the qualifications required to be a Governor?

.....
.....

1.5. POSITION OF THE GOVERNOR AND ITS CHANGING ROLE

As per Article 155 and Article 156 of the Constitution, a Governor of a state is an appointee of the President, and he or she holds office “during the pleasure of the President”. If a Governor continues to enjoy the “pleasure of the President”, he or she

¹⁰ AIR 1987 SC 579.

¹¹ 2017 (2) SCJ 136.

can be in office for a term of five years. Because the President is bound to act on the aid and advice of the Council of Ministers under Article 74 of the Constitution, in effect it is the central government that appoints and removes the Governors. “Pleasure of the President” merely refers to this will and wish of the central government.

In 2010, a constitutional bench of the Supreme Court interpreted these provisions and laid down some binding principles (*B.P. Singhal v. Union of India*¹²). In this case, the newly elected central government had removed the Governors of Uttar Pradesh, Gujarat, Haryana and Goa in July, 2004 after the 14th Lok Sabha election. When these removals were challenged, the Supreme Court held:

- The President, in effect the central government, has the power to remove a Governor at any time without giving him or her any reason, and without granting an opportunity to be heard.
- However, this power cannot be exercised in an arbitrary, capricious or unreasonable manner. The power of removing Governors should only be exercised in rare and exceptional circumstances for valid and compelling reasons.
- The mere reason that a Governor is at variance with the policies and ideologies of the central government, or that the central government has lost confidence in him or her, is not sufficient to remove a Governor. Thus, a change in central government cannot be a ground for removal of Governors, or to appoint more favourable persons to this post.
- A decision to remove a Governor can be challenged in a court of law. In such cases, first the petitioner will have to make a prima facie case of arbitrariness or bad faith on part of the central government. If a prima facie case is established, the court can require the central government to produce the materials on the basis of which the decision was made in order to verify the presence of compelling reasons.

In summary, this means that the central government enjoys the power to remove Governors of the different states, as long as it does not act arbitrarily, without reason, or in bad faith.

RECOMMENDATIONS OF VARIOUS COMMISSIONS:

- **The Sarkaria Commission (1988)** recommended that Governors must not be removed before completion of their five year tenure, except in rare and compelling circumstances. This was meant to provide Governors with a measure of security of tenure, so that they could carry out their duties without fear or favour. If such rare and compelling circumstances did exist, the Commission said that the procedure of removal must allow the Governors an opportunity to explain their conduct, and the central government must give fair consideration to such explanation. It was further recommended that Governors should be informed of the grounds of their removal.

¹²(2010) 6 SCC 331.

- **The Venkatachaliah Commission (2002)** similarly recommended that ordinarily Governors should be allowed to complete their five year term. If they have to be removed before completion of their term, the central government should do so only after consultation with the Chief Minister.
- **The Punchhi Commission (2010)** suggested that the phrase “during the pleasure of the President” should be deleted from the Constitution, because a Governor should not be removed at the will of the central government; instead he or she should be removed only by a resolution of the state legislature.

1.5.1. CHECK YOUR PROGRESS II

1. What were the recommendations of the Sarkaria Commission?

.....

2. Can a Governor serve his/her/their full term without the pleasure of the President?

.....

1.6. SUMMARY

In conclusion, the Governor’s role in the state machinery has been continuously evolving. His powers, responsibilities and privileges continue to be redefined with the change in times. There is still a lot of work required to be done to improve the standards of the position, but the amendments already made indicate that checks and balances are being kept, so that the Governor’s power does not step outside the bounds created by the Constitution of India.

1.7. QUESTIONS FOR PRACTICE

1.7.1. LONG ANSWER QUESTIONS

1. Elaborate on the process for appointing and removing a Governor. Also explain his emoluments, tenure and qualifications.
2. What powers does a Governor have? Explain in detail.
3. How is the case of *K.M. Nanavati v. State of Bombay* relevant even today? Explain in brief.

1.7.2. SHORT ANSWER QUESTIONS

1. Elucidate the financial powers of the Governor.

2. Can Governor act on his own behest or is it unconstitutional to do so?
3. What is the procedure for removal of a Governor?
4. Is Pardoning power of the Governor subject to judicial review?

1.8. SUGGESTED READINGS

- J.N. Pandey, *Constitutional Law of India*, Central Law Agency, Allahabad, 2018.
- Constituent Assembly debates.
- M.P. Jain, *Indian Constitutional Law*, LexisNexis, 2018.

BACHELOR ARTS (LIBERAL ARTS)

SEMESTER –IV

COURSE: - INDIAN POLITICAL SYSTEM -II

UNIT 2: STATE LEGISLATURE: COMPOSITION, POWERS AND ITS CHANGING ROLE

STRUCTURE

2.0. Learning Objectives:

2.1. Key Words

2.2. Introduction

2.3. Legislative Assembly (Vidhan Sabha)

2.3.1 Membership of the State Legislature

2.3.2 Composition

2.3.3. Presiding Officer (The Speaker)

2.4. Legislative Council (Vidhan Parishad)

2.4.1. Composition

2.4.2. Chairman of the Legislative Council (Presiding Officer)

2.4.3. Check Your Progress I

2.5 Sessions of the State Legislature

2.6. Powers and Functions of the State Legislature

2.7. Position or Changing Role of State Legislature

2.8. Comparison of the two Houses of the State Legislature

2.8.1 Check Your Progress II

2.9. Summary

2.10. Questions for Practice

2.10.1. Long Answer Questions

2.10.2. Short Answer Questions

2.11. Suggested Readings

2.0 LEARNING OBJECTIVES:

After the completion of this unit, you will be able to:

- Understand the composition of the State Legislature in India.
- Critically evaluate the Powers and Functions of State Legislature.

- Examine the mutual relations between Legislative Assembly and Legislative Council.
- Explain the position and changing role of state legislature.

2.1. KEY WORDS

Legislative assembly, Legislative Council, Legislative Procedure, Composition, Powers, Position

2.2 INTRODUCTION

The Constitution of India provides for a legislature in each State and entrusts it with the responsibility to make laws for the state. However, the composition of a state Legislature can be different in different states. It can be either bicameral or unicameral. Presently, only six states (Andhra Pradesh, Bihar, Telangana, Karnataka Maharashtra and UP) have bicameral legislatures. Twenty-two States and Two Union Territories (Delhi and Puducherry) have uni -cameral Legislatures.

It is provided in Article-168(2), “Where there are two Houses of the Legislature of State, one shall be known as the legislative council (Vidhan Parishad) and other as Legislative Assembly (Vidhan Sabha) and where there is only one House of the State Legislature, it shall be known as the State Legislative Assembly.”

2.3 LEGISLATIVE ASSEMBLY (VIDHAN SABHA)

There is a Legislative Assembly (Vidhan Sabha) in every State. It represents the people of State. The members of Vidhan Sabha are directly elected by people on the basis of universal adult franchise. They are directly elected by all adult citizens registered as voters in the State. All men and women who are 18 years of age and above are eligible to be included in the voters’ List. They vote to elect the members of State Assembly. Members are elected from territorial constituencies. Every State is divided into as many (single member) constituencies as the number of members to be elected. As in case of Lok Sabha, certain number of seats is reserved for Scheduled Castes and in some States for Scheduled Tribes also. This depends on population of these weaker sections in the State.

2.3.1 MEMBERSHIP OF THE STATE LEGISLATURE

Qualification

In order to become a Member of Vidhan Sabha a person must:

Be a citizen of India;

Have attained the age of 25 years;

His/her name must be in voters’ list;

Must not hold any office of profit i.e.;

Should not be a government servant.

2.3.2 COMPOSITION

The number of Vidhan Sabha members cannot be more than 500 and not less than 60. However, very small States have been allowed to have lesser number of members. Thus, Goa has only 40 members in its Assembly. Uttar Pradesh (is a big state even after creation of Uttaranchal from this state in 2002) has 403 seats in the Assembly. The Governor of the State has the power to nominate one member of Anglo-Indian community if this community is not adequately represented in the House. As in case of the Lok Sabha, some seats are reserved for the members of Scheduled Castes and Schedule Tribes. The tenure of Vidhan Sabha is five years, but the Governor can dissolve it before the completion of its term on the advice of Chief Minister. It may be dissolved by the President in case of constitutional emergency proclaimed under Article 356 of the Constitution. In case of proclamation of national emergency (under Article 352) the Parliament can extend the term of the Legislative Assemblies for a period not exceeding one year at a time.

2.3.3. PRESIDING OFFICER (THE SPEAKER)

The members of Vidhan Sabha elect their presiding officer. The Presiding officer is known as the Speaker. The Speaker presides over the meetings of the House and conducts its proceedings. He maintains order in the House, allows the member to ask questions and speak on the issues of public. He puts bills and other measures to vote and announces the result of voting. The Speaker does not ordinarily vote at the time of voting. However, he may exercise casting vote in case of a tie. The Deputy Speaker presides over the meeting during the absence of the Speaker. He is also elected by the Assembly from amongst its members. A tie means that equal numbers of members have voted in favour and against a bill or resolution. To break the tie, casting vote is exercised by the presiding officer of the Legislative Assembly.

2.4. LEGISLATIVE COUNCIL (VIDHAN PARISHAD)

Vidhan Parishad is the upper House of the State Legislature. It is not in existence in every State. Very few States have bicameral Legislature that means having two Houses. At present six states viz. Uttar Pradesh, Bihar, Karnataka, Maharashtra, Telangana and Andhra Pradesh have Vidhan Parishad while, remaining 22 States have one House, i.e. Vidhan Sabha. Legislative Councils are legacy of the British period. The Parliament can create Vidhan Parishad in a State where it does not exist, if the Legislative Assembly of the State passes a resolution to this effect by a majority of the total membership of the Assembly and by a majority of not less than two thirds of the members of the Assembly present and voting, and sends the resolution to the Parliament. Similarly, if a State has a Council and the Assembly wants it to be abolished, it may adopt a resolution by similar majority and send it to Parliament. In this situation Parliament resolves to abolish the concerned Legislative Council. Accordingly, Councils of Punjab, Tamil Nadu and West Bengal were abolished.

According to the Constitution, the total number of members in the Vidhan Parishad of a State should not exceed one-third of the total number of members of Vidhan Sabha but this number should not be less than 40.

QUALIFICATIONS

In order to be a member of the Legislative Council the person concerned should –

Be a citizen of India:

- Have attained the age of 30 years;
- Be a registered voter in the State;
- Not hold any office of profit.

2.4.1. COMPOSITION

The Vidhan Parishad is partly elected and partly nominated. Most of the members are indirectly elected in accordance with the principle of proportional representation by means of single transferable vote system. Different categories of members represent different interests.

The composition of the Legislative Council is as follows:

- i. One-third members of the Council are elected by the members of the Vidhan Sabha.
- ii. One-third of the members of the Vidhan Parishad are elected by the electorates consisting of members of Municipalities, District Boards and other local bodies in the State;
- iii. One-twelfth members are elected by the electorate consisting of graduates in the State with a standing of three years;
- iv. One-twelfth members are elected by the electorate consisting of teachers of educational institutions within the State not lower in standard than a secondary school who have teaching experience of at least three years;
- v. The remaining, i.e. about one-sixth members are nominated by the Governor from amongst the persons having special knowledge in the sphere of literature, science, arts, co-operative movement and social service.

The Vidhan Parishad, like Rajya Sabha is a permanent House. It is never dissolved. The tenure of its members is six years. One-third of its members retire after every two years. The retiring members are eligible for re-election. In case of vacancy arising out of resignation or death by-election is held for the remaining period of such members' tenure.

2.4.2. CHAIRMAN OF THE LEGISLATIVE COUNCIL (PRESIDING OFFICER)

The presiding officer of the Vidhan Parishad (Legislative Council) is known as the Chairman, who is elected by its members. The business of Vidhan Parishad is conducted by the Chairman. He presides over the meetings and maintains discipline and order in the House. In addition to his vote as a member, he can exercise his casting vote in case of a tie. In his absence, Deputy Chairman presides over the House. He is also elected by the members of the Parishad from amongst themselves.

2.4.3. CHECK YOUR PROGRESS I

1. Who is eligible to be a member of Legislative Assembly?

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2. How many Indian States have Bi- Cameral Legislature?

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2.5. SESSIONS OF THE STATE LEGISLATURE

The State Legislature meets at least twice a year and the interval between two sessions cannot be more than six months. The Governor summons and prorogues the sessions of State Legislature. He addresses the Vidhan Sabha or both Houses (if there is bi-cameral Legislature) at the commencement of the first session after each general election and at the commencement of the first session of the year. This address reflects the policy statement of the government which is to be discussed in the Legislature, and the privileges and immunities of the members of the State Legislature are similar to that of members of Parliament.

2.6. POWERS AND FUNCTIONS OF THE STATE LEGISLATURE

1. LEGISLATIVE POWERS

The primary function of the State Legislature, like the Union Parliament, is law-making. The State Legislature is empowered to make laws on State List and Concurrent List. The Parliament and the Legislative Assemblies have the right to make the laws on the subjects mentioned in the Concurrent List. But in case of contradiction between the Union and State law on the subject the law made by the Parliament shall prevail. Bills are of two types-Ordinary bills and Money bills. Ordinary bills can be introduced in either of the Houses (if the State Legislature is bicameral), but Money bill is first introduced in the Vidhan Sabha. After the bill is passed by both Houses, it is sent to the Governor for his assent. The Governor can

send back the bill for reconsideration. When this bill is passed again by the Legislature, the Governor has to give his assent. You have read when the Parliament is not in session and if there is a necessity of certain law, the President issues Ordinance. Similarly, the Governor can issue an Ordinance on the State subjects when legislature is not in session. The Ordinances have the force of law. The Ordinances issued are laid before the State Legislature when it reassembles. It ceases to be in operation after the expiry of six weeks, unless rejected by the Legislature earlier. The Legislature passes a regular bill, to become a law, to replace the ordinance. This is usually done within six weeks after reassembly of Legislature.

2. FINANCIAL POWERS

The State Legislature keeps control over the finances of the State. A money bill is introduced first only in the Vidhan Sabha. The money bill includes authorisation of the expenditure to be incurred by the government, imposition or abolition of taxes, borrowing, etc. The bill is introduced by a Minister on the recommendations of the Governor. The money bill cannot be introduced by a private member. The Speaker of the Vidhan Sabha certifies that a particular bill is a money bill. After a money bill is passed by the Vidhan Sabha, it is sent to the Vidhan Parishad. It has to return this bill within 14 days with, or without, its recommendations. The Vidhan Sabha may either accept or reject its recommendations. The bill is deemed to have been passed by both Houses. After this stage, the bill is sent to the Governor for his assent. The Governor cannot withhold his assent, as money bills are introduced with his prior approval.

3. CONTROL OVER THE EXECUTIVE

Like the Union Legislature, the State Legislature keeps control over the executive. The Council of Ministers is responsible to Vidhan Sabha collectively and remains in the office so long as it enjoys the confidence of the Vidhan Sabha. The Council is removed if the Vidhan Sabha adopts a vote of no-confidence, or when it rejects a government bill. In addition to the no-confidence motion, the Legislature keeps checks on the government by asking questions and supplementary questions, moving adjournment motions and calling attention notices.

4. ELECTORAL POWERS

The elected members of the Vidhan Sabha are members of the Electoral College for the election of the President of India. Thus, they have said in the election of the President of the Republic. The members of the Vidhan Sabha also elect members of the Rajya Sabha from their respective States. One-third members of the Vidhan Parishad (if it is in existence in the State) are also elected by the members of the Vidhan Sabha. In all these elections, members of the Vidhan Sabha (Assembly) cast their votes in accordance with single transferable vote system.

5. CONSTITUTIONAL POWERS

An Amendment requires special majority of each House of the Parliament and ratification by not less than half of the States relating to Federal subjects. The resolution for the ratification is passed by State Legislatures with simple majority. However, a constitutional amendment cannot be initiated in the State Legislature.

6. OTHER POWERS

The state legislature considers the reports of the State Public Service Commission, State Auditor General, and others. It also acts as a forum for ventilation of the grievances of the people. The State Legislative Assembly has the right of adopting a resolution for the creation or abolition of the State Legislative Council.

2.7. COMPARISON OF THE TWO HOUSES OF THE STATE LEGISLATURE

Legislative Assembly (Vidhan Sabha) like the Lok Sabha occupies a dominant position. Legislative Council (Vidhan Parishad) enjoys much less powers as compared to the powers of Vidhan Sabha even in relation to ordinary bills. The Rajya Sabha at the Centre enjoys equal powers in consideration of bills other than money bills; but Vidhan Parishad enjoys much lesser powers as compared to the Rajya Sabha.

The relative position of the Vidhan Sabha and Vidhan Parishad is as under:

• IN RELATION TO ORDINARY BILLS

In case of the Parliament, if there is disagreement between the two Houses over an ordinary bill, the President summons a joint sitting of both the Houses and if the bill is passed there by the majority of votes, the bill is taken as passed by both Houses of the Parliament. But this provision of the joint sitting does not exist in the States. Although an ordinary bill can originate in either House of the State Legislature, yet both Houses have unequal powers. If a bill is passed in the Vidhan Sabha, it is transmitted to the Vidhan Parishad for consideration. When it is passed by Vidhan Parishad without any amendment, the bill is sent to the Governor for his assent. In case, the bill is (a) rejected by the Parishad or (b) more than three months elapsed without the bill being passed by the Parishad, or (c) bill is passed with amendment to which the Vidhan Sabha does not agree, the Vidhan Sabha may pass the bill again in the same or in the subsequent session. After that the bill is again sent to the Vidhan Parishad. If the Vidhan Parishad does not return the bill within a period of one month, the bill is deemed to have been passed by both Houses of the State Legislature and is sent to Governor for his assent. Thus, the Vidhan Parishad can delay the bill for a maximum period of four months. On the other hand, if the bill is first passed by the Vidhan Parishad and rejected by the Vidhan Sabha, the bill is rejected and cannot become a law.

- **IN RELATION TO MONEY BILLS**

Like in the Lok Sabha, money bill is introduced first in Vidhan Sabha. It cannot be initiated in the Vidhan Parishad. The Speaker of the Vidhan Sabha certifies whether a particular bill is a money bill. After the bill is passed in the Vidhan Sabha, it is sent to the Vidhan Parishad. The Vidhan Parishad gets 14 days time to consider the bill. If the Parishad passes the bill, it is sent to the Governor for his assent. If the bill is not returned by the Vidhan Parishad within 14 days, it is deemed to have been passed by the Vidhan Parishad. If it suggests certain changes in the bill and sends to Vidhan Sabha, the Vidhan Sabha may accept or reject the changes suggested by the Parishad. The bill is then sent to the Governor for his assent who is bound to give his assent.

- **CONTROL OVER THE EXECUTIVE**

The Council of Ministers of the State is responsible to the Vidhan Sabha only and remains in the office so long as it enjoys the confidence of the Assembly (Vidhan Sabha). Although members in the Vidhan Parishad can ask questions, introduce adjournment motions, calling attention notices, etc. yet the Vidhan Parishad cannot remove the government.

- **ELECTORAL FUNCTIONS**

Only the elected members of the Vidhan Sabha are entitled to participate in the election of the President of India. The members of the Vidhan Sabha do so in their capacity as the members of the Electoral College. But the members of the Vidhan Parishad are not entitled to vote in the election of the President. Members of the Rajya Sabha from each State are elected only by the members of Assembly and not of the Council.

The above discussion makes it clear that the Vidhan Parishad is powerless and non-influential House. Keeping in view its weak, powerless and insignificant position and role of Legislative Council, the critics have described the council as ‘secondary chamber’, ‘costly ornamental luxury’, ‘white elephant’, etc. Thus, many States prefer to have unicameral Legislature. But the Vidhan Parishad is not superfluous. It serves as a check on hasty Legislation made by Vidhan Sabha by highlighting the short bills comings or defects of the bill. It lessens the burden of the Vidhan Sabha, as some bills are initiated in the Vidhan Parishad

2.8. POSITION OR CHANGING ROLE OF STATE LEGISLATURE

The State Legislature occupies the same position in a state as is the position of the Parliament in the Union. There is, however, a difference of degree in their relative powers. Indian Unitarian Federalism makes the Union Parliament more powerful than each state legislature. Further, there are several specific limitations on the powers of a state legislature.

(1) Prior consent of the President of India for introduction of some Bills: There are certain bills which can be introduced in a state legislature only with the prior consent of the President of India.

(2) Reservation of bills by the Governor for President's Assent: There are certain bills, which after having been passed by the state legislature, can be reserved by the Governor for the consent of the President. Such bills become laws only after the President has given his assent. **(3) Limitation that can be imposed by the Rajya Sabha:** The Union Parliament gets the power to pass laws on the State List, (for one year) if the Rajya Sabha adopts a resolution (supported by 2/3rd majority of the members present and voting) and declares a state subject mentioned in the resolution as a subject of national importance.

(4) Limitations during national Emergency: When a national emergency (Under Art. 352) is in operation, the Parliament is empowered to pass a law on any subject of the State List. The law so passed operates during the period of emergency and for six months after the end of the emergency.

(5) Limitations during a Constitutional Emergency: During the operation of constitutional emergency in a state under Art 356, the Union Parliament gets the authority of making laws for that state. The State Legislature stands either dissolved or suspended.

(6) Discretionary Powers of the Governor: Discretionary powers of the Governor of a state also constitute a limitation on the State Legislature. Whenever he acts in his discretion, he is beyond the jurisdiction of the State Legislature. Acting in his discretion, the Governor can even dissolve the State Legislative Assembly.

(7) Precedence of Union Laws on the Concurrent Subject: The State Legislature and the Union Parliament, both have the concurrent power to make laws on the subjects of the Concurrent List. If both the Union Parliament and a State Legislature pass a law on the same subject of the Concurrent List and there is inconsistency between the two, the law passed by the Union Parliament gets precedence over the corresponding state law.

Thus, each state legislature in India exercises law-making powers over the subjects given to it by the Constitution. However, even in respect of these, it exercises law-making powers under the above constitutional limitations. Nevertheless, in general the State Legislatures act as important and powerful legislatures in all the 28 States and 2 Union Territories of India.

2.8.1. CHECK YOUR PROGRESS II

1. How many times state legislature meets in a year?

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2. Can Governor reserve a bill for President Assent?

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2.9 SUMMARY

The state legislature occupies a pre-eminent and central position in the Political system of a state. The constitution provides for a bi-cameral legislature in the state and two houses of the state legislature are- Legislative assembly and Legislative Council. The Legislative assembly is undoubtedly more powerful than the Legislative Council. Its members are directly elected by the people of the state and they represent the interests of the people. It has more powers than those of Legislative Council in legislative, executive and financial field.

2.10 QUESTIONS FOR PRACTICE

2.10.1 LONG ANSWER QUESTIONS

1. Discuss the composition of Legislative Assembly and Legislative Council.
2. Explain the powers and functions of State legislature.
3. Discuss the relations between Legislative Council and legislative Assembly. Which of the two is more powerful?
4. Describe the changing role and limitations on the powers of state legislature.

2.10.2 SHORT ANSWER QUESTION

1. Write down the composition of the state legislature.
2. How the state legislative assembly is constituted?
3. Write Down necessary qualifications to become the member of Legislative Assembly.
4. Who is Chairman of the Legislative Assembly?
5. What is the composition of Legislative Council?
6. Write down any four legislative functions of State Legislature.

7. Write down the names of the states having two houses of the state Legislature.
8. For how much time the Legislative council can delay an Ordinary bill?

2.11 SUGGESTED READINGS

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BACHELOR ARTS (LIBERAL ARTS)

SEMESTER –IV

COURSE: - INDIAN POLITICAL SYSTEM -II

UNIT 3 CHIEF MINISTER AND STATE COUNCIL OF MINISTERS: APPOINTMENT, POWERS, POSITION AND CHANGING ROLE

STRUCTURE

- 3.0. Learning Objectives
- 3.1. Key Words
- 3.2. Introduction
- 3.3. The Chief Minister
 - 3.3.1. Eligibility
 - 3.3.2. Oath
 - 3.3.3. Term
 - 3.3.4. Powers and functions of chief minister
 - 3.3.5. Check Your Progress I
- 3.4. Council of Ministers
 - 3.4.1 Term
 - 3.4.2. Oath and Salary of Ministers
 - 3.4.3. Powers of Council of Ministers
- 3.5. Position of the Chief Minister
- 3.6. Changing Role of chief Minister
 - 3.6.1 Check Your Progress II
- 3.7. Summary
- 3.8. Questions for Practice
 - 3.8.1. Long Answer Questions
 - 3.8.2. Short Answer Questions
- 3.9. Suggested Readings

3.0. LEARNING OBJECTIVES:

After the completion of this unit, you will be able to:

- Understand the constitutional provisions regarding the functioning of office of chief minister.
- Explain the powers and functions of chief minister.
- Explain the role of council of ministers in state administration.
- Explain the changing role and position of chief minister in recent political system

3.1. KEY WORDS: Chief Minister, Council of Ministers, legislature, Governor

3.2. INTRODUCTION

The constitution of India, as it establishes a parliamentary form of government both in the union and states, makes provision for a council of ministers at both levels with a prime minister or a chief minister at its head irrespectively. There is a president as a nominal executive and the real executive being the prime minister, similarly, at the state level, there is the governor in legislature as a nominal executive and the real executive is the chief minister and his council of ministers. The leader of the party who commands absolute majority in the legislature assembly or the Vidhan Sabha is appointed by the governor as the chief minister. When no party secures the required majority, the governor uses his discretion in appointing the chief minister.

3.3. THE CHIEF MINISTER:

Article 164 merely reads that the chief minister shall be appointed by the governor and other ministers shall be appointed by the governor on the advice of chief minister and the ministers shall hold office during the pleasure of the Governor. The council of ministers shall be collectively responsible in the legislative assembly of the state. Before a minister enters upon his office, the Governor shall administer to him the oaths of office and of secrecy according to the forms set out for the purpose in the third schedule. Administer who for any period of six consecutive months is not a member of the legislature of the state shall at the expiration of that period cease to be a minister. The salaries and allowances of ministers shall be such as the legislature of state may vary from time to time by law determine and until the legislature of state so determines, shall be specified in the second schedule.

In the appointment of the chief minister unbridled powers have been given to the governor by the constitution itself. The constitution does not specify as to who should be appointed the chief minister, but usually the governor appoints the leader of the majority party in the legislative assembly to this office. In reality, the governor has no choice except to invite the leader of the party or a combination of parties that has

clear majority in the legislative assembly, to form the government. When a political party or combination of political parties secures a stable majority in the assembly, the role of the governor in appointing the chief minister is only formal and non-controversial. However, if no single political party enjoys a clear cut majority, his role assumes much importance. The governor can exercise same discretion in the matter of appointing the chief minister. Under such circumstances the governor is not bound to appoint the leader of single largest party in the legislative assembly. In such a situation he may invite the leader of the largest single party in legislature to form the government, irrespective of the fact whether such a party commands a stable majority on the floor of the house. He may appoint a person about whose capacity he is satisfied that he commands a stable majority in the legislature. No single formula prevails with the governor and the governor took different stand in different states under similar circumstances. In case the governor finds out that no party secures a majority and there are also no chances of post electoral coalitions, then the governor may recommend for the imposition of half state emergency, but this action is controversial. This happened when the U.P governor, in 1970, advised the president to invoke article 356 when he dismissed the Charan Singh ministry on the plea that the congress had withdrawn their support from BKD led ministry. Then he invited T.N Singh to form another coalition ministry soon after. Even a full-fledged emergency can be imposed if the governor is sure that no stable government is possible.

3.3.1 ELIGIBILITY

The constitution of India sets the Qualifications one must meet to be eligible to the office of chief minister. To become a chief minister a person must be:

1. A citizen of India
2. Should be a member of the legislature. If a person is elected chief minister who is not a member of the legislature then he must become a member within six months.
3. Should be of or above 25 years of age.

3.3.2. OATH

The chief minister is appointed by the governor and thus the swearing in is done before the governor of the state. Before the chief minister enters his office, the governor administers to him the oath of office and secrecy. In his oath of office, the chief minister swears:

1. To bear true faith and allegiance to the constitution of India
2. To uphold the sovereignty and integrity of India.
3. To faithfully and conscientiously discharge the duties of his office, and
4. To do right to all manner of people in accordance with the constitution and the law, without fear or favour, affection or ill- will.

In his oath of secrecy the chief minister swears that he will not directly or indirectly communicate or reveal to any person any matter that is brought under his

consideration or becomes known to him as a state minister except as may be required for the due discharge of his duties as such minister.

3.3.3. TERM

The term of the chief minister is not fixed and he holds office during the pleasure of the governor. However, this does not mean that the governor can dismiss him at any time. He cannot be dismissed by the governor as long as he enjoys the majority support in legislature assembly. If he loses the confidence of the assembly, he must resign or the governor can dismiss him.

The salary and allowances of the chief minister are determined by state legislature. In addition to the salary and allowances, which are payable to a member of the state legislature, he gets a sumptuary allowance, free accommodation, travelling allowance, medical facilities etc.

3.3.4. POWERS AND FUNCTIONS OF CHIEF MINISTER

The powers and functions of the chief minister are similar to those of the prime minister at the Centre. The only difference lies in the jurisdiction over which they exercise their powers. The chief minister who is also the leader of the ruling party chooses the member of his council and allots portfolio to them, presides over all meetings and is the prime spokesman of the government. The chief minister holds a pivotal position in the state administration. He enjoys numerous, extensive powers and vast responsibilities which may be conveniently studied under the following heads:

1. In Relation to the Council of Ministers:-

It is the chief minister who heads the council of ministers in the state. As head of the council of ministers, he presides over the meeting of the cabinet. As a presiding officer, he greatly influences its deliberations and decisions. He controls the agenda of the cabinet meetings. It is he who seems to it that decisions are taken unanimously, because there the principle of collective responsibility is involved in it which means that mistake on the part of one minister can lead to the fall of the whole cabinet. The collective responsibility presupposes the existence of one leading member in the cabinet who can enforce the collective responsibility.

2. In Relation to the Governor:-

He is the connecting link between his council of ministers and the Governor. According to the Article 167, he is to communicate to the Governor the decisions of the ministers. He also provides the Governor with such information of the state affairs and proposal of legislation as the Governor may call for. If the governor so requires, the chief minister may place before the cabinet any matter where a decision has been taken by a minister without consulting his colleagues in the cabinet. It may be noted

that the chief minister alone has the prerogative of having direct communication with governor.

3. The chief minister is the leader of the house:-

The chief minister is the leader of the majority party in the state legislative assembly. He has also great influence over the business in the state legislature. All principal announcements of policy are made by him. He intervenes in debates of general importance. He can appease an angry house by promising immediate relief or concessions when needed. He is in a position to get any legislation passed which is within the competence of the state legislature. He is authorized to advise the governor to dissolve the legislative assembly. The Governor being a constitutional ruler generally acts upon the advice of the chief minister. He is more than a *primus inter pares*.

4. Coordinates the working of various departments:-

The chief minister is the sole channel of communication between his ministers and the legislature. It is the chief minister who pilots all the bills and also directs as to what should be the position of ministers in the assembly regarding any of their policy. He also coordinates the working of his ministers in case of deadlocks and conflicts his decisions are final.

5. Removal of Ministers:-

No doubt, constitutionally the ministers hold office during the pleasure of the governor. This however does not mean that the Governor can dismiss his ministers at his will. The Government is in fact dependent on the chief minister. The members of the council of ministers hold office as long as they enjoy the confidence of the chief minister. In case the member of council of ministers loses the confidence of the Chief Minister he has to resign. In case the member refuses to submit his resignation, the chief minister can advise the governor to dismiss such a minister.

6. Relations with legislature:-

The chief minister is also an important channel of communication between the council of ministers and the state legislature. He plays an important role in the deliberations and discussions of the house and defends his government's policies on the floor of the house. The major onslaughts of the opposition in legislature are also faced by him. In relation to the state legislature the chief minister has considerable influence over the laws that are to be passed by the legislature.

7. Power of Appointment:-

As the head of the state government, the chief minister of a state enjoys extensive powers of patronage. Though technically all such powers of patronage belongs to the state governor, yet in reality these are exercised by the governor on the advice of the chief minister. He has a hand in appointment of the chairman and members of the state public service commission, advocate –general of the state, Vice-Chancellor of a university in state and in the appointment of other such dignitaries who after being appointed may work according to the wishes of the chief minister. This all the important appointments in the state are made by the governor on the recommendation of the chief minister.

8. Other Powers And Functions:

In addition, the chief Minister also performs various Functions as given below:

1. He is the Chairperson of State Planning Board.
2. He acts as a Vice- Chairman of the concerned zonal council by rotation, holding office for a period of one year at a time.
3. He is a member of the Inter-State Council and the Governing Council of NITI Aayog, both headed by the Prime Minister.
4. He is the Chief spokesman of the State Government.
5. He is the crisis manager – in – chief at the political level during emergencies.
6. He is the Political head of the services.

Thus, he plays a very significant role in the state administration. However, the discretionary powers enjoyed by the governor reduce to some extent the power, authority, influence, prestige and role of the chief minister.

3.3.5. CHECK YOUR PROGRESS

1. Who appoints the chief minister?

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2. Who administers the oath of secrecy to chief minister?

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3.4. COUNCIL OF MINISTERS

As the constitution of India provides for a parliamentary system of government in the states on the union pattern, the council of ministers headed by the chief minister is the real executive authority in the politics administrative system of a state. The council of ministers in the states is constituted and function in the same way as the council of ministers at the Centre. According to Article 163 of the constitution provides that there shall be a council of ministers with chief minister as the head to aid and advice the

Governor in the exercise of his functions except in the cases where Governor acts in his own discretions. The Governor appoints the chief minister and other ministers on the advice of the chief minister. The minister holds office during the pleasure of the Governor. The number of ministers is not fixed. It is for the chief minister to determine the size of his council of ministers and the number of minister he wants in his cabinet. The council of ministers is collectively responsible to legislative assembly of the state. There are different categories of ministers like cabinet ministers who are in charge of important portfolios like finance, commerce, health, home and other departments, ministers of state who are attached to the departments under the cabinet ministers and do not participate in the cabinet meetings and Deputy ministers who assist the ministers in the discharge of their functions.

3.4.1 Term:

The usual tenure for the council of ministers is also five years but their existence largely depends on the pleasure of the governor. However, it is largely on the pleasure of the chief minister, because if the chief minister is dissatisfied with a certain minister he can advise the governor to dismiss such a minister if that particular person refuses to resign. The chief minister reshuffles his ministers and add new person of ministers. Further, council of ministers is collectively responsible for the legislative assembly.

3.4.2. OATH AND SALARY OF MINISTERS:

Before a minister enters upon his office, the governor administers to him the oath of office and secrecy. According to Article 195 the salaries and allowances of the state legislature including that of the speaker and deputy speaker and chairman and deputy chairman are fixed by the legislature of the state by law. The salaries and allowances are charged from the consolidated fund of the state and differ from state to state.

3.4.3. POWERS OF COUNCIL OF MINISTERS:

The council of ministers is the most powerful body in the state administration. The Governor is the nominal executive and the real executive in practice is the chief minister and his cabinet and obviously the other ministers too. The powers and functions of council of ministers are quite wide ranging from formulation of state policies to running the administration, these are discussed as follows:

1. The first and foremost duty of the council of ministers is related to the legislative process of the state. Article 164 clearly states that council of ministers is collectively responsible to the legislative assembly of the state. This means all the ministers joint responsibility for all their acts of omission and commission. They work as a team and swim or sink together,
2. Administration of affairs of the state is done by the cabinet ministers holding different departments helped by ministers of state and Deputy Ministers. Each

minister is individually responsible for his errors of omission and commission which might create problems for the survival of the government.

3. The council of minister actually is headed by the chief minister and he recommends the names of his ministers to the governor for this appointment. The chief minister with his council of ministers is an advisory body to the governor in the appointment of Vice- chancellors of different universities, Advocate- General, Chairman and members of the state public service commission, Chairman of various corporations and various boards.
4. It deals with all major financial matters. The annual financial statement i.e., budget is prepared by the ministry concerned and passed by the state legislature. Money bills are also drafted by the council of ministers and piloted by the ministers in the legislature.
5. Under the article 163, the council of ministers and the chief minister is there to aid and advice the governor in the exercise of his functions, except in so far as he is by or under this constitution required to exercise his functions or any of them in discretion.

3.5. POSITION OF THE CHIEF MINISTER:

A look at the power of the chief minister shows that he has been vested with very extensive powers in the administration of the state. But in actual practice the chief minister of a state depends upon the following factors:

1. Firstly, the position of the chief minister depends primarily upon his personality. If he is a person of integrity and has a dominating personality then he can be command great influence over state administration. It is rightly maintained that office is what the holder chooses to make it.
2. Secondly, the position of the chief minister is partly determined by his relationship with the party in power in the Centre. If a chief minister has much influence in the Centre he can make the position of the state more influential in New Delhi, thereby enhancing his authority and power in the state. As democracy is meant government by parties, the chief minister of a state should have to please his central party organization. If the central organization of the party does not encourage him, his position in the state would be pre carious.
3. Thirdly, the position of the chief minister considerably depends upon the support of the members of his party. If there are a number of dissidents in the party, they make his position 'a bed of thorns'. As long as he enjoys the confidence of the state legislature he is powerful. Once that confidence is withdrawn, no longer he continues to be the chief minister.

Thus the position of chief minister is pre-eminent in the state government system. In, practice, his position will be imposing only when his party commands a clear majority in the state legislature. When it is a coalition government, it becomes difficult to safeguard the principle of collective responsibility also. Much of time and energy of the chief minister will, in that case, be wasted on keeping his team united and sufficiently disciplined.

3.6. CHANGING ROLE OF CHIEF MINISTER:

The emergence of the role and position of the chief minister had been explained in the context of a number of factors such as: Procedure of appointment, relation with the governor, relationship with political party in the state and at the Centre, relations with colleagues, programs and policies being pursued and the like.

1. The procedure of appointment is clearly mentioned in the constitution, that is, the leader of the majority party in legislative assembly will be appointed as the chief minister in practice, and however, this procedure had not been strictly followed. There had been examples when the chief ministers had been nominated by the center or the party high command instructed the legislators to elect a particular person for the post of chief minister. For example in Punjab, Partap Singh Kairon had the support of Jawaharlal Nehru and Manohar Lal Khattar is the one of the favorite of Prime Minister Narendra Modi.
2. Another grave issue that has been noticed is the involvement of the central government, not only in the appointment of the chief minister but also extended to the formation, reshuffle and dismissal of the ministers and allocation of portfolios. Generally, the chief minister has to prepare the list of the council of minister consultation with the high command. He has to accommodate such persons who are not of his liking and these people become a headache for him thus ultimately chief minister's style of working is determined on the basis of his interaction with these ministers. They become dissidents and often create hurdles in the smooth functioning of the state administration. Sometime their differences are exposed publically. But for the survival, the chief minister has to please the high command and yield before their pressure. Presently Captain Amrinder Singh's Government faced this problem and due to some issues he have to resign and High Command appoints the new Chief Minister and reshuffles the cabinet and new President of Punjab Congress.
3. The Governor of the state appoints the members of the council of minister on the advice of the chief minister. In this regard, regional and local pressures also affect the chief minister's choice. Besides, same representation in the council of ministers has to be provided to women, members of scheduled castes, Minorities, and Backward classes. Above all, the wishes of the high command of the ruling party whose approval in the formation of state ministry has become an accepted practice. Therefore, the chief minister is not totally free to choose his team purely on considerations of the political and administrative ability of his colleagues in state legislature.
4. The politics of coalition had heralded a number of notable changes in the institutional functioning of the office of chief minister. The nature of the role of governor, the position of the chief minister, the mode of functioning of chief minister and the outlook and working style of the bureaucracy, during

the period of coalition era did not by and large appeared to be the same as it was in the one party dominant rule.

3.6.1 CHECK YOUR PROGRESS II

1. Write Composition of Council of Ministers.

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2. Article 163 of Indian Constitution Deals with?

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3.7. SUMMARY:

In the end we can say that constitutionally the position of the chief minister is merely of an advisor to the Governor in his executive functions. But the position that grows out the constitutional precedents and conventions is altogether different so much so the chief minister has become the real executive functionary today. Actually all policies and decisions of the state government are implemented by the chief minister. The Governor is merely figure head acting on the advice of the chief minister. The advice is more or less binding on him. Thus the executive power inherent in governor's hand is just transferred in the hands of the chief minister who, in turn becomes the custodian of absolute power, leaving nothing with the governor. In practice, the Governor becomes an advisor that too just spectatorial adviser. He is head of his council, policy maker and leader of the party all combined together and thus he is all in all executive, administrative and legislative matter.

3.8. QUESTIONS FOR PRACTICE

3.8.1. LONG ANSWER QUESTIONS:

1. Discuss the appointment, powers and function of the chief minister.
2. Discuss the changing role of the chief minister.
3. Discuss the composition, powers and functions of the council of ministers.
4. Examine the relationship between chief minister and council of ministers.

3.8.2. SHORT ANSWER QUESTIONS:

1. State briefly the procedure of appointment of the chief minister of a state.
2. Examine briefly the constitutional provisions regarding the powers of chief minister.
3. Write on the council of ministers.
4. What is meant by collective responsibility?

3.9. SUGGESTED READINGS:

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BACHELOR ARTS (LIBERAL ARTS)

SEMESTER –IV

COURSE: - INDIAN POLITICAL SYSTEM -II

UNIT 4 STATE JUDICIARY: COMPOSITION, POWERS AND FUNCTIONS OF THE HIGH COURT

STRUCTURE

4.0. Learning Objectives

4.1 Key Words

4.2. Introduction

4.3. Composition of the High Court

4.3.1. Appointment of Judges

4.3.2. Qualifications

4.3.3. Tenure, Resignation and Removal of Judges

5.3.4. Transfer of Judges

4.3.5. Check Your Progress I

4.4 Powers and Functions of High Court

4.4.1. Court of Record

4.4.2. Power of Judicial Review

4.4.3. Constitutional Question

4.4.4. Power of Superintendence

4.4.5. Jurisdiction

4.4.6. Check Your Progress II

4.5. Summary

4.6. Questions for Practice

4.6. 1 Long Answer Questions

4.6. 2 Short Answer Questions

4.7. Suggested Readings

4.0. LEARNING OBJECTIVES:

After the completion of this unit, you will be able to:

- Know about the intricacies involved in every step from composition of High Courts to Powers of High Courts.
- Realise that how every provision of the Constitution is drafted.
- Know the minute details of the Articles and the interpretations of the judiciary.
- Understand the Composition, Powers and Functions of High Court.

4.1. KEY WORDS: High Courts, Constitution, Judiciary, Law, Jurisdiction,

4.2 INTRODUCTION

A notable feature of the constitution is that it accords a dignified and crucial position to the judiciary.¹³ In every country, judiciary plays the most significant role of interpreting and applying law in cases of controversies. The primary duty of the judiciary is to uphold the supreme law of land, i.e. The Indian Constitution. By safeguarding the constitution we mean, courts function without any fear or favour, without being biased by political ideology or economic theory.¹⁴ It has to dispense justice not only between the citizens of the country but also between states, states and individuals, states and centre and individuals and centre. The judiciary has been given very wide powers as it acts as a guardian by keeping legislature, executive, quasi judicial bodies in bounds. The judiciary scrutinizes and assesses that every authority needs to conform to Constitutional principles and the valid laws made there under.

A well ordered and well regulated judiciary exists in India, with Supreme Court at the top of hierarchy, followed by High Courts and then the subordinate courts. Where the Supreme Court occupies the top position in judicial administration of the country, the High Courts occupy the top position in judicial administration of the state. Both the courts have power to protect the Fundamental Rights (the most sacrosanct part of the Constitution) from any undue encroachment by any government organization.

The jurisdiction of Supreme Court is very broad. It has original jurisdiction and hears appeals from any court or tribunal in the country and can issue writs for enforcing the Fundamental Rights.¹⁵ The high Courts play a very significant role in administration of justice. This enormity of task can be adjudged from the varied jurisdiction assigned to these Courts. The institution of high court originated in India in 1862 when High courts were set up at Calcutta, Madras and Bombay.¹⁶ In 1866, a

¹³ Jain, M. P. (1962) Indian constitutional law, Bombay: N.M. Tripathi

¹⁴ M. Lakshmikanth, Indian Polity 5th ed, McGraw Hills Education

¹⁵ Supra, note 1

¹⁶ AIR 1982 SC 149.

fourth high court was established at Allahabad. With course of time, each province in the British India had its own separate High Court. The constitution provides for a high court for each state but the Seventh Amendment Act of 1956 authorized the parliament that it can establish a common High Court for two or more states or union territories. The Guhati High Court is a common High Court for four (originally seven) North eastern states namely, Mizoram, Assam, Nagaland and Arunachal Pradesh , The States of Punjab and Haryana also have a common High court which is also the High Court for Union Territory of Chandigarh.

Articles 214 to 231 in Part VI of the Constitution, deals with the organization, independence, jurisdiction and powers and procedures of High Courts.

4.3. COMPOSITION OF HIGH COURTS

Every High Court consists of a Chief Justice and other judges appointed by the President of the country. The constitution does not specify any limit for the number of judges in High court and leaves it to the discretion of the president. The inadequacy of judicial strength leading to overburdening of judges and increasing pending cases is the embarrassing situation faced by each and every High Court. Thus the SC overruled its prior ruling in *SP Gupta v. UOI*¹⁷ (also called *First Judges Case*) that the question of the strength of Judges in a High Court was not justiciable i.e. It is not for the Court to fix the number of judges itself but president is under the obligation to review the strength of each high court.

In Supreme Court *Advocates on-Record Association v. Union of India*¹⁸ it held that Chief Justice of India and Chief Justice of concerned High Court must undertake periodical review and send the recommendations to the President. If the president fails to act on such recommendation then the courts may order him to do so. The Court has emphasized that it is necessary to make a periodical review of the Judge strength of every High Court with reference to the felt need for disposal of cases, taking into consideration the backlog of cases and the expected future filing. Accordingly, the Court has ruled that fixation of Judge Strength in a High Court is a justiciable matter.

4.3.1. APPOINTMENT OF JUDGES

According to Article 217(1) of the Constitution, every High Court judge is appointed by the President of India in consultation with Chief Justice of India, Chief Justice of concerned state and Governor of the state. Since the executive is involved in the appointment process, it has always been thought provoking as to how we should ensure no favoritism i.e. judges are selected on non political considerations. The controversy was referred to various Commissions and finally came for determination before the court in Judges' case.¹⁹

¹⁷ AIR 1982 SC 149

¹⁸ AIR 1994 SC 268

¹⁹: AIR 1982 SC 149

S. P. Gupta v Union of India²⁰ is also known as First Judges case, the question before the SC was among the various functionaries participating in the appointment process, who should have the primacy? The majority²¹ gave literal meaning to the word 'consultative' and held that the opinions of the Chief Justice of India and the Chief Justice of the High Court were merely consultative and that "the power of appointment resides solely and exclusively in the Central Government" and that the Central Government could override the opinions given by the constitutional functionaries. Thus, there was no primacy of the Chief justice. According to them, any other interpretation will be distortion of constitutional scheme and wholly impermissible.

This decision came under heavy criticism and amendments were proposed to the constitution to curb this primacy of executive. Finally the case was referred to larger bench in Supreme Court Advocates-on-Record Association v Union of India²² ('The Second Judges' Case) overruled The First Judges' Case and evolved a collegiums system for the purpose of judicial appointments. The Court has sought to interpret the constitutional provisions concerning the High Courts so as to strengthen the "foundational features and the basic structure of the Constitution." Thus, it needs to give wider interpretation to the term 'consultation'. Accordingly the court ruled that the opinion of the Chief Justice of India's opinion should be given the most weightage because he is best qualified to assess the appointee's worth; the selection should be made as a result of a participatory consultative process in which the Executive has the power to act as a check on the Chief Justice of India's exercise of power in order to achieve the constitutional purpose. Thus, reducing the executive element in the appointment process to the minimum

In Re: Presidential Reference²³ or the Third Judges Case, the Supreme Court elaborated and articulated the process in which it was said that the CJI should consult with a plurality of two senior-most Supreme Court judges to form his opinion on judicial appointments and transfers. The two judges case clarified that advice of Chief Justice of India would be supreme but this case laid down that it is not solely the opinion of Chief Justice of India but opinion of plurality of Judges.

On October 16, 2015 the Constitution Bench of Supreme Court in Supreme Court Advocates-on-Record-Association v Union of India, in a majority of 4:1 declared the NJAC Act and the Constitutional Amendment unconstitutional as violating judicial independence. This is because wisdom of appointment of judges cannot be shared with the political-executive. "In India, the organic development of

²⁰ AIR 1982 SC 149.

²¹ BHAGWATI, FAZAL ALI, DESAI AND VENKATARAMIAH, JJ The Bench consisted of five Judges

²² AIR 1994 SC 268

²³ AIR 1999 SC 1.

civil society has not as yet sufficiently evolved. The expectation from the judiciary to safeguard the rights of the citizens of this country can only be ensured by keeping it absolutely insulated and independent, from the other organs of governance.”²⁴

4.3.2. QUALIFICATIONS

A person to be appointed as High Court judge should be a citizen of India and should have held judicial office in territory of India for period of ten years or he should be advocate of high court for at least ten years. Thus, there is no minimum age for appointment as High Court Judge and unlike in case of SC judge, there is no provision for appointment of a distinguished jurist (a person who is neither a judge nor an advocate but highly qualified law professor) as a High Court judge.

The term judicial office means office within the judicial service of state as defined under Article 236(b) of the Constitution, A person who exercises only judicial functions and renders decisions in a judicial capacity and is free from executive control.

4.3.3 TENURE, RESIGNATION AND REMOVAL OF JUDGES.

The age of retirement of High court judge (whether permanent, acting or additional) is 62 years.

The high court judge can also resign the office at any point of time by writing his resignation to the President. In *Union of India v. Gopal Chandra Misra*²⁵ the SC held that an intimation to resign on future date by a HC judge can be withdrawn by him before it becomes effective.

A High Court judge can also be removed by the president for proved misbehaviour or incapacity by the both houses of Parliament (initiation of impeachment motion). He cannot hold the office after he attains the age of 62 years.²⁶

A person who has held office as a permanent Judge of a High Court is debarred from acting and pleading in any Court or before any authority in India except the Supreme Court and other High Courts.

4.3.4. TRANSFER OF JUDGES

Transfer of judges has always been a contentious issue. This question has raised a lot of controversies since the era of independence. During the emergency in 1975, 16 High Court Judges were transferred from one high court to another and it was alleged

²⁴ IN THE SUPREME COURT OF INDIA, CIVIL ORIGINAL JURISDICTION, WRIT PETITION (CIVIL) NO. 13 OF 2015, <http://supremecourtindia.nic.in/FileServer/2015-10-16_1444997560.pdf>

²⁵ AIR 1978 SC 694

²⁶ Chandra Prakash Agarwal v. Chaturbhuj Das Parikh AIR 1970 SC 1061

that the government did so as a punitive measure to punish the judges who dared to give judgments against them.

The president may after consultation with the Chief Justice of India transfer a judge from one high court to any other High Court. In *Union of India v. Sankalchand Himatlal Sheth*²⁷ it was held that independence of judiciary is the vital ingredient of our legal system and the threat of transfer at the whims and caprices of the executive constitutes a major inroad in that independence i.e. When judge is under a constant fear of being transferred, he will never be able to do full and complete justice. Thus it was held that a judge can be transferred only in interest of public. Any transfer not in Public Interest, can be challenged in courts as ultra vires. The minority view in this judgment opined that no transfer could be made without consent of the judge concerned. But the majority held that no such consent was required.

The judgment was followed in case of *SP Gupta v. UOI*²⁸ which reiterated that consultation with CJI is necessary and transfer should be made in public interest. It cannot be used as threat or punishment to judges. Several more clarifications were made by the SC in *Second judges*²⁹ case and *Third judges*³⁰ case. It was laid down that CJI shall form his opinion in consultation with Chief Justice of that High Court and Chief Justice of High Court where judge is to be transferred. The proposition has been reiterated that there is no requirement of prior consent of the Judge before his transfer. A transfer is subject to judicial review but only the transferred judge has *locus standi* to question his transfer and no one else.³¹

4.3.5. CHECK YOUR PROGRESS I

1. How can a High Court Judge be removed?

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2. Does transfer of judges involve political interests? What role has judiciary played in curbing this menace?

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²⁷ AIR 1977 SC 2382

²⁸ AIR 1982 SC 149

²⁹ AIR 1994 SC 268

³⁰ AIR 1999 SC 1.

³¹ *Dalpatray Bhandari v. Union of India* (1995) Supp (1) SCC 682.

3. Do you think declaring NJAC unconstitutional was a good step to ensure the independence of Judiciary?

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4. The question of strength of Judges in a High Court should be made justiciable, how far do you agree with the statement?

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4.4. POWERS AND FUNCTIONS OF HIGH COURTS

4.4.1. COURT OF RECORD

A High Court is a Court of record and has all the powers of such a Court including the powers to punish for its contempt. Contempt has been defined in Contempt of Courts Act 1971. Under this the contempt may be criminal or civil. Willful disobedience to any judgment, order, writ, or other legal process is known as civil contempt. The publication of any matter or the performance of any conduct that a) scandalizes or lowers the authority of the court, b) prejudices or obstructs the due course of judicial proceedings, or c) interferes or obstructs the administration of justice in any other way constitutes criminal contempt.³²

The high court as a court of Record has a duty to itself to keep all its records correctly and in accordance with law and such records have evidentiary value and cannot be questioned when produced in subordinate courts.

The Supreme Court refused to transfer contempt proceedings brought against the petitioner in the Pepsu High Court to another High Court in *Sukhdev v. Teja Singh*³³. Because the Constitution gives the High Court the authority to deal with its own contempt, and therefore, transferring contempt proceedings from the Pepsu to another High Court would deprive the High Court of its jurisdiction. The Supreme Court further declared in *Sukhdev's case*³⁴ that a High Court can deal with a contempt case summarily and use its own procedure that is consistent with fair play and natural justice, rather than following the procedure outlined in the CRPC or the Contempt of Courts Act 1971.

As a court of record a High Court has the power to review and correct its own judgments, orders or decisions even though there is no explicit provision in the constitution which states that High Court has power to review its own decision. But the Supreme Court has ruled that high courts being a Superior Court have the inherent power to review their judgment. In order to prevent miscarriage of justice and to

³² S.2 Contempt of Courts Act, 1971

³³ AIR 1954 SC 186 : 1954 SCR 454

³⁴ Ibid

correct grave and palpable errors committed by the court, The High Court has not only the power but the duty to review its decision.

4.4.2. POWER OF JUDICIAL REVIEW

Judicial activism depends upon the power of the review courts in a country. India is a democratic country which keeps the right of the people supreme. Hence, to save the act of Legislature and Executive which infringes the Fundamental Rights is subject to the Judicial Scrutiny. For the same purpose, Article 13 provides that all the post and pre constitutional law must adhere to the basic scheme of the constitution which includes the rights of the persons. Judicial review is a tool in hands of judiciary to keep legislature in its bounds. The legislature can make no law which is ultra vires the basic constitutional principles and rule of law.

Therefore, Judicial Review is inherently implied in our Constitution. Supreme Court has held in *L Chandra Kumar v. Union of India*³⁵ that Judicial Review is the basic structure of Indian Constitution. Thus, there is no doubt regarding the legitimacy of Judicial Review in Indian Constitution.

The Supreme Court and High Courts of India have been given the authority to review any legislative, executive, or administrative decision taken by the government. No special court or tribunal can have the same powers as that of the High Courts and the Supreme Court. The Supreme Court has ruled that such tribunals cannot take the place of the High Court and Supreme Court's judicial review powers.³⁶ Therefore, it is the constitutional mandate which empowers the Supreme Court and High Courts to protect the rule of law in India. Article 13 and 226 of the Constitution explicitly provides for power of judicial review of High Court.

4.4.3. CONSTITUTIONAL QUESTION

Article 228 provides that if the High Court is satisfied that a case pending in a subordinate Court involves a substantial question of law regarding the interpretation of the Constitution, which it is necessary to determine to dispose of the case, the High Court shall withdraw the case to itself. It may then dispose of the whole case itself, or may determine only the constitutional law point and return the case to the subordinate Court for disposal in conformity with the High Court's judgment on the constitutional point. The High Court will take action under Art. 228 only if the case cannot be disposed of without determining the constitutional question involved. This provision enables the High Court to determine the constitutional question at the earliest opportunity. The language of Article 228 is such that once the conditions mentioned therein are satisfied; the High Court has no option but to withdraw the case to itself for disposal.

³⁵ (1995) SCC 1 400

³⁶ *ibid.*

4.4.4. POWER OF SUPERINTENDENCE

High Court has the power of Superintendence over the courts and tribunals in the state within its jurisdiction. The power of Superintendence conferred by Article 227 is in addition to the power conferred under Article 226. It is in some ways wider than the power and jurisdiction under Article 226.³⁷ The aim of supervisory jurisdiction is to keep the subordinate courts and tribunals within the limits of their authority and ensuring that they obey law.³⁸ The grounds of interference could be want or excess of jurisdiction,³⁹ failure to exercise jurisdiction,⁴⁰ violation of principles of natural justice⁴¹ or an error Apparent on the face of record.⁴²

Whenever the high court exercises this power it does not act as an appellate Court but it has a supervisory jurisdiction. The power of superintendence under article 227 is of administrative as well as judicial nature⁴³. It may also be exercised suo motu but it cannot be exercised to influence the subordinate Judiciary to pass any order or judgment in a particular manner.⁴⁴ The supervisory jurisdiction cannot be exercised in the case if any other remedy is available to the aggrieved party even though the pursuing of that remedy involves inconvenience or delay.⁴⁵ This power can be exercised in those cases in which no appeal or revision lie to the High Court.

4.4.5. JURISDICTION

A high court has a very wide jurisdiction, namely, original, appellate, supervisory and writ jurisdiction. Original jurisdiction means the power of high court to hear disputes in the first instance, not by way of appeal. It extends to some matters like: Matters of admiralty, conflict between state and the citizen, enforcement of fundamental rights of citizens, questions involving interpretation of constitution, revenue matters etc. A high court also exercises appellate jurisdiction. By this we mean it hears appeals against the judgments of subordinate courts. It hears appeals in both civil and criminal matters.

A very significant aspect of the Indian Constitution is the jurisdiction it confers on the High Courts to issue writs. Article 226 of the Constitution empowers HC to issue certain writs which are Habeas Corpus, Mandamus, Certiorari, Prohibition and Quo Warranto.

Article 226 operates “notwithstanding anything in article 32.” Thus, Article 32 and Article 226 exist in their own right. Article 226 has a wider scope than Article 32. The Supreme Court can only issue writs for the enforcement of Fundamental

³⁷ Jai Singh v. MCD (2010) 9 SCC 385

³⁸ State of Gujrat v. Vakhatsinghji Vajesinghji Vaghela AIR 1968 SC 1481

³⁹ Gulab Singh v. Collector of Farukhabad AIR 1953 All 585

⁴⁰ Waryam Singh v. Amarnath AIR 1954 SC 215

⁴¹ Narayan Deju Ruthrani v. Labour Appellate Tribunal AIR 1975 Bom 142

⁴² Surya Dev Rai v. Ram Chander Rai (2003) 6 SCC 675

⁴³ Ram Roop v. Bishwa Nath, AIR 1947 Lah 313

⁴⁴ Jasbir Singh v. State of Punjab (2006) 8 SCC 294

⁴⁵ Nagendra Nath Bora v. Commr. of Hills Division AIR 1958 SC 398

Rights under Art. 32; however, a High Court can issue writs for the enforcement of any legal right under Article 226, including Fundamental Rights.

In *L. Chandra Kumar*⁴⁶ case, the court held that writ jurisdiction is the basic structure of the Constitution and hence cannot be ousted by way of constitutional amendment. The Supreme Court has time and again reiterated that the High Court's power under Article 226 is supervisory in nature and not appellate in nature. The main purpose of this power is to enable the High Court to keep the various authorities within the bounds of their powers, but not to sit as an appellate body over these authorities.

A petitioner should have 'legal standing' to file a writ petition.⁴⁷ As the Supreme Court has observed, "The requirement of *locus standi* of a party to litigation is mandatory"⁴⁸ but to maintain a petition for *mandamus* or *certiorari*, it is not necessary that petitioner's personal right must be infringed.

It is concerned with illegality, irrationality and procedural impropriety of an order passed by the State or a statutory authority.⁴⁹ No period of limitation is prescribed for a High Court to exercise its power under Art. 226. Nevertheless, a writ petition under Art. 226 may be dismissed by a High Court on the ground of petitioner's laches because courts do not like stale claims being agitated and unsettle settled matters. Therefore, writ petitions filed after inordinate delay are usually dismissed.⁵⁰

4.4.6. CHECK YOUR PROGRESS II

1. How is the doctrine laid down in *Keshavnanda Bharti* strengthened by declaring that Judicial Review forms the basic structure of the Constitution?

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2. Justify the Statement that High Court has a very wide jurisdiction.

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⁴⁶ (1995) SCC 1 400

⁴⁷ *Prasar Bharati Broadcasting Corpn. of India v. Debyajoti Bose*, AIR 2000 Cal 43.

⁴⁸ *Janta Dal v. H.S. Chowdhary*, AIR 1993 SC 892 : (1992) 4 SCC 305.

⁴⁹ *Dwarka Prasad Agarwal v. B. D. Agarwal*, (2003) 6 SCC 230 : AIR 2003 SC 2686.

⁵⁰ *Durga Pd v. Chief Controller*, AIR 1970 SC 769 : (1969) 1 SCC 185; *Krishnaswamy v. Union of India*, AIR 1973 SC 1168; *Amrit Lal v. Collector, C.E.G.*, AIR 1975 SC 538 : (1975) 4 SCC 714; *Gian Singh Mann v. High Court of Punjab & Haryana*, AIR 1980 SC 1894 : 1980 Supp SCC 449; *Roshan Lal v. International Airport Authority*, AIR 1981 SC 597 : 1980 Supp SCC 449; *R.S. Makashi v. I.M. Menon*, AIR 1982 SC 101; *Rattan Chandra Sammanta v. Union of India*, AIR 1993 SC 2276; *B.S. Bajwa v. State of Punjab*, AIR 1999 SC 1510; *Municipal Corp. of Greater Bombay v. Industrial Development Investment Co.*

Ltd., AIR 1997 SC 482; *Municipal Council, Ahmednagar v. Shah Hyder Baig*, AIR 2000 SC 671 : (2000) 2 SCC 48; See also *Printers (Mysore) Ltd. v. M. A. Rasheed*, (2004) 4 SCC 460 : (2004) 4 JT 158 delay of 3 years in challenging allotment of land. See also *State of U.P. v. Ved Pal Singh*, (2003) 9 SCC 212 : (2000) 8 SLT 706.

3. What is the power of Superintendence of High Court?

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4.5. SUMMARY

It is in the public interest for courts to exercise their constitutional duties impartially and efficiently. The public needs to be assured that judges act fairly, and are not under any kind of influence while deciding the cases. In *K. Veeraswami v Union of India & Ors.*,⁵¹ Justice Sharma said, “The society's demand for a judge's honesty is high and unwavering. Judicial conduct, both on and off the bench, is usually held to exceedingly high standards. Deviating from such high standards of honesty and impartiality by a judge is a betrayal of the public's faith in him. No excuse or no legal relativity can condone such betrayal.”

Public criticism and public scrutiny of the judgments are also significant measures to check judiciary and make the judges accountable. If the fair criticism is not allowed then it would also violate an individual's right to speak fairly and freely. It is very important that the courts should recognize the right of the public to criticize the judgments as a fundamental freedom of speech. In *D.C. Saxena v. Hon'ble the Chief Justice of India*,⁵² the Supreme Court recognized that administration of justice and judges are open to public scrutiny. The Court said, “Judges have their accountability to the society and their accountability must be judged by the conscience and oath to their office, i.e. to defend and uphold the Constitution and the laws without fear and favour.”⁵³

Thus, “To keep the stream of justice clean and pure, the Judge must be endowed with sterling character, impeccable integrity and upright behaviour. Erosion thereof would undermine the efficacy of the rule of law and the working of the Constitution itself. In short, the behaviour of the Judge is the bastion for the people to reap the fruits of the democracy, liberty and justice and the antithesis rocks the bottom of the rule of law.”⁵⁴

4.5. QUESTIONS FOR PRACTICE

4.5.1. LONG ANSWER QUESTIONS

1. Why has transfer of judges always a contentious issue? Is this power misused? Mention the guidelines, if any, to prevent misuse of this power.

⁵¹ (1991) 3 SCC 655

⁵² AIR 1996 SC 2481

⁵³ *ibid*

⁵⁴ *C. Ravichandran Iyer v Justice A.M. Bhattacharjee & Ors.*, (1995) 5 SCC 457, para 23, per K. Ramaswamy, J.

2. How does High Courts exercise control over subordinate courts?
3. What is Power of Judicial Review exercised by High Court? Have we taken the idea of Judicial Review from USA?
4. Discuss the importance of independence of judiciary to do full and complete justice.
5. Do you agree with the procedure of appointment of HC judges? Explain with the help of the timeline from First Judges Case to present day.

4.5.2. SHORT ANSWER QUESTIONS

1. Describe the Jurisdiction of High Courts?
2. Discuss the qualifications for being a High Court judge?
3. How can High Court judges be removed?
4. Explain how HC is a Court of record.
5. What do you understand from the power exercised by HC under Art.228?

4.6. SUGGESTED READINGS:

- Laxmikant: Indian Polity, McGraw Hill Education, New Delhi, 2013
- M.P. Jain: Indian Constitutional Law, LexisNexis, 2018
- D.D. Basu: An Introduction to the Constitution of India, New Delhi, Prentice Hall, 1994
- G. Austin: The Indian Constitution: Corner Stone of a Nation, Oxford University Press, 1966

BACHELOR OF LIBERAL ARTS

SEMESTER- IV

COURSE INDIAN POLITICAL SYSTEM II

UNIT 5 ELECTION COMMISSION: COMPOSITION, POWERS, EVALUATION AND ELECTORAL REFORMS IN INDIA

STRUCTURE

5.0: Learning Objectives

5.1. Key Words

5.2. Introduction

5.3. Composition of Election Commission

5.4. Functions of Election Commission

5.4.1. Administrative Functions

5.4.2. Advisory Functions

5.4.3. Supervisory Functions

5.4.4. Check Your Progress I

5.5. Electoral Reforms

5.6. Timeline of Judgments which brought Electoral Reforms

5.6. Check Your Progress II

5.7. Summary

5.8. Questions for Practice

5.8.1. Short Answer Questions

5.8.2. Long Answer Questions

5.9. Suggested Readings

5.0. LEARNING OBJECTIVES

After the completion of this unit, you will be able to:

- Understand about the provisions given in the Constitution relating to Composition, Powers and Functions of Election Commission.
- Understand the judicial trends and statutory guidelines for maintaining the impartiality in the process of conducting elections.
- Evaluate the working of Election Commission.

5.1. KEY WORDS: Elections, Election Commission, Constitutional Bodies, Legislature, Executive, Vote

5.2. INTRODUCTION

Election commission is a permanent constitutional body which aims at conducting free and fair elections. It is one of few constitutional bodies which have power to function autonomously. The election commission controls and manages the elections to Parliament, State legislature office of president of India and Vice President. Furthermore, that election commission is not at all concerned with the elections to Panchayats and municipalities in the states. For this the constitution of India provides for separate state election commission.⁵⁵

The commission has laid down for itself some guiding principles of good governance, some of them are: “To ensure participation of all eligible citizens in the electoral process in an exclusive voter centric and voter friendly environment, to hold the values enshrined in constitution viz. equality, equity, impartiality, independence and rule of law in superintendence, direction and control over electoral governance, to conduct elections with highest standards of credibility, freeness, fairness, transparency, integrity, accountability, autonomy and professionalism, to promote awareness about Electoral process and electoral governance among stakeholders namely voters, political parties, candidates and people at large to strengthen and enhance the confidence and trust in the electoral system of the country.”⁵⁶

5.3. COMPOSITION OF ELECTION COMMISSION

Article 324 of the Constitution provides that Election Commission shall consist of Chief Election Commissioner and other Election Commissioners as fixed by President from time to time. Election Commission was established on 25th January 1950 and since its inception till 1989 it functioned as single member body consisting only of Chief Election Commissioner. However, in 1989, 61st constitutional amendment was made which reduced the voting age from 21 to 18 years. So to cope with the increased work of Election Commission on account of lowering the age, the president appointed

⁵⁵ Vide 73rd and 74th Constitutional Amendment Acts of 1992

⁵⁶ M. Lakshmikanth, Indian Polity 5th ed., McGraw Hills Education

two more Election Commissioners.⁵⁷ The chief election commissioner and the other two election commissioners enjoy the equal powers and will receive equal salary, allowances and other perquisites which are similar to those of a judge of a Supreme Court. They shall hold the office for a term of 6 years or until they attain the age of 65 years whichever is earlier. However, they are removed from the office in the same way as a Supreme Court judge is removed i.e. impeachment motion set out on the grounds of proved misbehavior or incapacity. While dealing with the removal of members of the Election Commission in *TN Seshan, Chief Election Commissioner v. Union of India*,⁵⁸ the Supreme Court held that Election Commissioners and Regional Commissioners have been assured independence of function by providing that they cannot be removed except on the recommendation of the CEC.” The court went on to say that the recommendation should be based on “intelligible and cogent grounds” that relate to the Election Commission's efficient functioning.⁵⁹

5.4. FUNCTIONS OF ELECTION COMMISSION

The EC has supervisory control over India's election process and deals with election-related issues. It has the authority to give orders and issue directions in this regard. It has administrative, advisory and quasi judicial functions.

5.4.1. ADMINISTRATIVE FUNCTIONS:

The commission has been given the authority to set the territorial boundaries of electoral constituencies for various elections in accordance with the Delimitation Commission Act. It has the power to give recognition to political parties and allot them the symbols. It is the responsibility of the EC to make and update the electoral rolls everytime ie. On the basis of Indian citizenship, names are included or excluded from election rolls. No Indian citizen over the age of 18 should be excluded from the electoral rolls or placed on a separate electoral roll based on race, caste, religion, or sex. It has the authority to enact and enforce the ‘Model Code of Conduct’ for election campaigns. It has the authority to keep track of political parties' election spending. This ensures a level playing field for all the political parties irrespective of their size and thus the capacity to spend. It can employ various officers as election observers and expenditure monitors to ensure that elections are conducted smoothly. Some other functions involve: To hold elections for the President, Vice-President, members of both Houses of Parliament, members of Legislative Assemblies, and members of Legislative Councils in several states is another very significant function of EC, to cancel polls in specific circumstances like rigging, booth capturing, violence etc.

⁵⁷ Ibid

⁵⁸ 1995 (4) SCC 611

⁵⁹ Ibid

5.4.2. ADVISORY FUNCTIONS:

The Commission has the authority to advise the President of India on the disqualification of members of Parliament and the circumstances under which they may be disqualified. In addition, the Commission advises Governors on the disqualification of members of state legislatures. In instances involving post-election disputes between candidates and political parties, it advises the High Courts and Supreme Court. However, The Supreme Court hears post-election disputes involving the election of the President and Vice President. The High Courts hear disputes involving the Parliament and the State Legislatures.

5.4.3. SUPERVISORY FUNCTIONS:

The Election Commission is empowered to settle disputes regarding recognition granted to political parties and candidates. It has the powers to act as a court for matters related to disputes arising out of the allotment of election symbols to political parties and candidates. No two election symbols are the same, even in different regions. It must be noted that the elections with respect to the election of Panchayats and Municipalities are carried out under the supervision of the State Election Commission. The State Election Commissions are in turn advised by the ECI and are answerable to it.

5.4.4. CHECK YOUR PROGRESS I

1. Differentiate between Supervisory and administrative functions of Election Commission.

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2. How has T.N Sheshan's case brought a new jurisprudence with respect to removal of election commissioners?

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5.5. ELECTORAL REFORMS

Several Committees and Commissions were formed in the country on electoral reforms:

Tarkunde Committee Report of 1975: The Tarkunde Committee's Report (1975) said, "As in the case of Judiciary, the Election Commission must not only be independent in theory but also manifestly appear to be so in the exercise of its powers of organizing and conducting elections. In the recent years, an impression is gaining

ground that the Election Commission is becoming less and less independent of the Executive than in the earlier years of Independence, because the choice of the Chief Election Commissioner has not always been based on criteria, which would command the confidence of all sections of public opinion. The practice of making it a berth for retiring Government officials has, perhaps, been responsible for the feeling that the incumbent so benefitted will be beholden to the Government for his office.”⁶⁰

Some of the limitations of the office of Election Commission are: The Constitution has not debarred the retiring election commissioners from any further appointment by the government and The Election Commission members' qualifications (legal, educational, administrative, or judicial) are not specified in the Constitution. The **Vohra Committee report** (Government of India, ‘Vohra Committee Report on Criminalization of Politics, Ministry of Home Affairs’ (1993) pointed to the rapid growth of criminal networks that had in turn developed an elaborate system of contact with bureaucrats, politicians and media persons.

244th Law Commission of India Report: The Law Commission of India submitted its report on February 24, 2014, Electoral Disqualifications to the Ministry of Law and Justice. The study comes in response to a Supreme Court order made in December 2013 in the Public Interest Litigation filed by the NGO Public Interest Foundation, which sought to decriminalize politics. The report examined issues related to: (i) disqualification of candidates with criminal background, and (ii) consequences of filing false affidavits.

Key recommendations include: Stage at which disqualification is to be triggered. The Commission examined the different stages at which disqualification may be triggered, and decided upon the stage of framing of charges.

Conviction: Due to significant delays in trials and few convictions, the current approach of disqualification upon conviction has failed to prevent the criminalization of politics. To be an effective deterrent, the law must develop.

Filing of police report: There is no application of judicial mind during the filing of the police report. As a result, this is not the appropriate time to impose disqualification.

Framing of charges: The stage of framing of charges is based on adequate levels of judicial scrutiny. By effecting disqualification at this stage, with adequate safeguards, the spread of criminalization of politics may be curbed.

⁶⁰ Quoted in Era Sezhiyan, “Appointment of Election Commissioners,” The Hindu, May 21, 2001, available at < <http://www.thehindu.com/2001/05/21/stories/05211349.htm>> accessed on August 12, 2016, at 4:50 p.m. IST.

Safeguards at the stage of framing of charges certain safeguards must be included to prevent misuse of this provision and to address the concern of lack of remedy for the accused. These include: Only offences that attract a maximum punishment of five years or above should be included within the ambit of this provision. Charges filed within one year before the date of scrutiny of nominations for an election will not lead to disqualification. The disqualification will operate until acquittal by a trial court, or a period of six years, whichever is earlier. The trial of accusations brought against sitting MPs or MLAs must be expedited. It must be carried out on a daily basis and completed in a year. If the trial is not completed within a year, the MP/MLA may be disqualified when that time period expires. Alternatively, the MP/right MLA's to vote in the House as a member, as well as his compensation and other benefits, should be suspended after one year.

Disqualification at the stage of framing of charges must apply retroactively as well. Persons with charges pending (punishable by five years or more) at the time of this law coming into effect must be disqualified from contesting future elections. The safeguards for charges filed within one year of the date of scrutiny of nomination papers would apply. The Representation of the People Act, 1951, must be amended to reflect the following on the problem of filing a false affidavit: Disqualification must be imposed if a person is convicted of filing a fraudulent affidavit. The penalty should be increased from a maximum of six months to a minimum of two years in prison. Falsely filing an affidavit should be considered a "corrupt practice" under the Act. As a result, trials in cases involving fraudulent affidavits must be held on a daily basis. Furthermore, there should be a one-week interval between the deadline for filing nominations and the date of examination. This would allow enough time for an objection to be filed on nomination papers.

255th Law Commission Report 2015 noted that “the current system tolerates, or at least does not prevent, lobbying and capture, where a sort of quid pro quo transpires between big donors and political parties/candidates”. The report recommended that political parties should disclose all amounts over Rs. 20,000 received by them, even if from a single donor. It has recommended that the disqualification term for candidates who do not submit proper details of expenditure within the prescribed time be extended, so that they are unable to contest the next election. It has also recommended that candidates should be compelled under some law to disclose all contributions received by them from any person or company, and from the political party.

While working on the subject, the Supreme Court of India, in the matter of ‘Public Interest Foundation & Others v. Union of India & Anr⁶¹’, directed the Law Commission of India to make its suggestions on two specific issues, viz., (i) ‘curbing criminalization of politics and needed law reforms’; and (ii) ‘impact and consequences of candidates filing false affidavits and needed law reforms to check such practice’.

⁶¹Writ Petition (Civil) No. 536 of 2011

“The Law Commission has proposed wide ranging reforms on the issue of candidate expenditure limits; disclosure obligations of individual candidates and political parties; and penalties imposable on political parties; as well as examining the issue of state funding of elections. Section 77 of the RPA, regulating the election expenses incurred or authorized by candidates or their election agents, currently extends from the date of nomination to the date of declaration of results. This period should be extended by amending section 77(1) to apply from the date of notification of the elections to the date of declaration of results. The existing disclosure obligations of individual candidates are limited to maintaining an account of electoral expenses under sections 77 and 78, RPA. This is sought to be amended by inserting a new section 77A to require candidates or their election agents to maintain an account and disclose the particulars (names, addresses and PAN card numbers of donors and amounts contributed) of (i) any individual contribution received by them from any person or company, not being a Government company and (ii) any contribution by the political party from the date of notification of elections, which have to be made by the party by a crossed account payee cheque or draft or bank transfer.”

Every financial year, political parties shall be required to keep and submit annual accounts to the ECI, which should be audited by a qualified and practicing chartered accountant from a panel of such accountants maintained for that purpose by the Comptroller and Auditor General. These accounts will detail all of the funds received by the party as well as the expenses it has incurred. On payment of a fee, the ECI will upload these accounts online or keep them on file for public inspection. Disclosure provisions governing political parties have been substantially recast. The existing section 29C has been deleted and replaced by a new section 29D that requires all political parties to : (I) disclose all contribution in excess of Rs of 20,000; (II) include aggregate contributions from a single donor in excess of Rs. 20,000 within its scope; and

(III) Disclose the names, addresses and PAN card numbers of all donors. Consequential changes will be made (IV) Disclose such particulars even for contributions less than Rs. 20,000 if such contributions exceed Rs. 20 crore or 20 % of the party’s total contributions, whichever is less. Consequential amendments will need to be made to the Election Rules and the IT Act.

5.6. TIMELINE OF JUDGEMENTS WHICH BROUGHT ELECTORAL REFORMS

In 2002, the Supreme Court, in Association for Democratic Reforms (ADR) v. Union of India,⁶² while dealing with the question of criminalization of politics held that under the Indian Constitution, electors had a fundamental right to know the antecedents of candidates contesting elections to hold public office. The court read in ‘right to be informed’ as a right flowing from freedom of speech and expression. It mandated the

⁶²(2002) 5 SCC 294

disclosure of information relating to criminal antecedents, educational qualification, and personal assets of a candidate contesting elections.

In *PUCL v. UOI*⁶³ where The Peoples Union for Civil Liberties approached the Supreme Court challenging Section 33B of the Representation of People (Third Amendment) Act which nullified the decision in *Association for Democratic Reforms* by providing that candidates contesting elections need not file affidavit of criminal antecedents and particulars as directed by the Court.

This provision was held unconstitutional and void as it infringed the “right of electors’ to know”, a constituent of the fundamental right to free speech and expression and hindered free and fair elections, which is part of the basic structure of the Constitution. Subsequently, all criminal records and antecedents of candidates contesting elections are now mandated to be matters of public record.

Further the court in *K. Prabhakarn vs. P. Jayarajan*⁶⁴ the Court elucidated upon the scope and purport of Section 8(3) of the Representation of Peoples Act, 1951 which provides criteria for disqualification. It was observed that the purpose of enacting disqualification under Section 8(3) of RPA is to prevent criminalization of politics. Those who break the law should not make the law. Generally speaking, the purpose sought to be achieved by enacting disqualification on conviction for certain offences is to prevent persons with criminal background from entering into politics and governance. Persons with criminal background pollute the process of election, as they have no reservation from indulging in criminality to win an election. Thus, Section 8 seeks to promote freedom and fairness at elections. The provision has to be so meaningfully construed as to effectively prevent the mischief sought to be prevented.

Going a step further, A 2 Judge bench of the Supreme Court in 2013 in *Lily Thomas vs. UOI*⁶⁵ ruled that Members of Parliament, Legislative Councils and Legislative Assemblies convicted of crimes where they had been awarded a minimum sentence of 2 years imprisonment would cease to be members of the house to which they were elected from the date of sentencing. It further struck down the provision, which allowed convicted members a 3 month time period for appeal against the conviction and sentencing and held that those convicted would suffer immediate disqualification.

In *Manoj Narula v. Union of India*,⁶⁶ the Supreme Court said that criminalization of politics is an anathema to the sacredness of democracy. It has been noted in the N.N. Vohra Committee that the nexus between politicians, bureaucrats and criminal elements is on rise.⁶⁷ In 2017, the Hon’ble Supreme Court of India in *Abhiram Singh v C.D. Commachen (Dead) By Lrs. & Ors.*,⁶⁸ ruled that the political

⁶³(2003) 4 SCC 399

⁶⁴Appeal (civil) 8213 of 2001

⁶⁵AIR 2013 SC 2662: (2013) 7 SCC 653

⁶⁶(2014) 9 SCC 1

⁶⁷ *Dinesh Trivedi, M.P. and others v. Union of India and others*, (1997) 4 SCC 306

⁶⁸ In *The Supreme Court Of India, Civil Appellate Jurisdiction, Civil Appeal No. 37 OF 1992*, decided on January 02, 2017, available at <<http://judis.nic.in/supremecourt/imgs1.aspx?filename=44451>> accessed on January 6, 2017, at 2:10 p.m. IST.

parties cannot use religion or caste to seek votes. The court said that it amounts to corrupt practices. It was said that the relationship between the God and an individual is personal one and the State has no power to intervene in such personal autonomy.

Further down the lane, 25th September 2018, the Court delivered its judgment in the Electoral Disqualification case i.e. in Public Interest Foundation vs. UOI.⁶⁹ The Court had to decide if persons ought to be disqualified from membership in legislative bodies when criminal charges are framed against them. Currently Section 8 of the Representation of Peoples Act only disqualifies persons when they are convicted of criminal charges.

The five-judge Bench unanimously decided that it cannot disqualify candidates, against whom criminal charges have been framed, from contesting elections. The Bench cited respect for the separation of powers. It recognized that it cannot introduce new rules regarding the disqualification of electoral candidates. The Bench concluded that informed choice is a cornerstone of a 'strong and pure' democracy.

Additionally, the Court issued the following directions:

1. Candidates must fill up forms containing all particulars
2. In said forms, criminal antecedents to be stated in bold
- 3 Candidates must inform the concerned political party of pending criminal cases against them
4. Concerned political party, to put up such criminal antecedents of candidates on party website
5. Wide publicity by both candidates and parties in press and media of the criminal antecedents

In *Raj Bala v. State of Haryana and others*,⁷⁰ the Supreme Court upheld a Haryana State law mandating that only those having minimum educational qualifications will be eligible to contest Panchayat elections in the State.

Very recently in *Ram Babu Singh Thakur v. Sunil Arora*⁷¹ the SC has held that “it is mandatory for political parties to upload on their websites detailed information regarding candidates with pending criminal cases, along with the reasons for their selection and non-selection of others without criminal antecedents.” “These details shall be published within 48 hours of the selection of the candidate or not less than two weeks before the first date for filing nominations, whichever is earlier.” The political party concerned shall also then submit a report of compliance with these directions with the EC within 72 hours of the selection of the said candidate.⁷²

Also the SC held no criminal case against MPs or MLAs can be withdrawn without an approval of the high court of the concerned state.⁷³

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⁷⁰ 2015(9) SCALE 25

⁷¹ W.P. (C) No. 536 OF 201

⁷² Ibid

⁷³ *Ashwini Kumar Upadhyay & Ors. vs. UOI & Ors.* 2021

5.6.1. CHECK YOUR PROGRESS II

1. Discuss the provisions of Representation of People's Act 1951 to tackle the problem of Criminalization in Politics.

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5.7. SUMMARY

The SC has given remarkable judgments to improve the process of elections and emphasized on the importance of free and fair elections. *Kihoto Hollohon v. Zachillhu and Others*,⁷⁴ the Supreme Court considered free and fair election as basic structure of Indian Constitution. In *Union of India v. Association for Democratic Reforms and Another*,⁷⁵ the Court held that the Election Commission has power to issue directions or orders on the related subject matter in the absence of any legislation. The court further declared that citizens' freedom of speech and expression includes the right to know about the backgrounds of candidates for public office. It would be helpful for the voter to choose the right candidate. Each candidate must submit an affidavit regarding the information of his/her criminal antecedents; assets (both movable and immovable) of self and those of spouses and dependents as well; and qualifications at the time of filing his/her nomination papers for election to the Lok Sabha, the Rajya Sabha and the State Legislative Assemblies. The Apex Court again in *PUCI v. Union of India*⁷⁶ guarded the citizen's right to know the antecedents about his or her candidate in election.

The Election Commission holds that non-furnishing of the affidavit by any candidate shall be considered a violation of the Hon'ble Supreme Court's order, and the nomination of the candidate concerned shall be subject to rejection by the returning officer at the time of nominations scrutiny for such non-furnishing of the affidavit. It was further decreed that providing false or incomplete information will result in the rejection of nomination papers, as well as disciplinary action under the Indian Penal Code.⁷⁷

As a watchdog of democracy, the Supreme Court has had several successes in reforming the India's electoral process. The insertion of NOTA (None of the Above) in Electronic Voting Machines has brought an increase in public participation. It has recognized that Right to vote also includes a right not to vote i.e. right to reject. Thus

⁷⁴ 1992 Supp (2) SCC 651

⁷⁵ AIR 2002 SC 2112

⁷⁶ AIR 2003 SC 2363

⁷⁷ "Supreme Court's order dated 2nd May, 2002 relating to right to information of electors regarding criminal antecedents, assets and liabilities and educational qualifications of candidates—implementation of the order." Available at < http://eci.nic.in/archive/press/current/PN_28062002.htm > accessed on August 12, 2016, at 4:50 p.m. IST.

the progressive judgments and interpretations have enlarged the scope of elections and have proved to be fundamental in ensuring impartiality and autonomy.

5.8. QUESTIONS FOR PRACTICE

5.8.1. LONG ANSWER QUESTIONS

1. Discuss the powers and Functions of Election Commission.
2. Discuss the provisions of Representation of People's Act, 1951 which aim at tackling the criminalization in politics.
3. Discuss the role of judiciary in bringing about electoral reforms.
4. Explain the recommendations of 244th Law Commission Report to curb criminalization in politics in detail.

5.8.2. SHORT ANSWER QUESTIONS

1. Explain the composition of Election Commission
2. What are the guiding principles and aim of Election Commission?
3. Is it allowed for political parties to use religion or caste to seek votes?
4. How has insertion of NOTA increased the public participation?

5.9. SUGGESTED READINGS:

- Laxmikant: Indian Polity, McGraw Hill Education, New Delhi, 2013
- M.P. Jain: Indian Constitutional Law, LexisNexis, 2018
- D.D. Basu: An Introduction to the Constitution of India, New Delhi, Prentice Hall, 1994
- G. Austin: The Indian Constitution: Corner Stone of a Nation, Oxford University Press, 1966

BACHELOR ARTS (LIBERAL ARTS)

SEMESTER –IV

COURSE: - INDIAN POLITICAL SYSTEM -II

UNIT 6 PARTY SYSTEM IN INDIA: ITS FEATURES, ORGANIZATION AND IDEOLOGY OF INDIAN NATIONAL CONGRESS, BJP, BSP, SAD, DMK AND TMC

STRUCTURE

6.0. Learning Objective

6.1. Key Words

6.2. Introduction

6.3. Main features of Party System in India

6.4. Indian National Congress

6.4.1. Brief History of the Party

6.4.2. Ideology of Congress (I)

6.4.3. Check Your Progress I

6.5 Bhartita Janta Party (BJP)

6.5.1. Ideology of BJP

6.5.2. Check Your Progress II

6.6. Bahujan Samaj Party

6.7. Shiromani Akali Dal

6.7.1. Ideology of the Party

6.7.2. Check Your Progress III

6.8. Dravida Munnetra Kazhagam (DMK)

6.8.1. Ideology of the DMK

6.9. All India Trinmoot Congress: AITC or Trimool Congress TMC

6.9.1. Ideology of TMC

0.9.2. Check Your Progress IV

6.10. Summary

6.11. Questions for Practice

6.11.1. Long Answer Questions

6.11.2. Short Answer Questions

6.12. Suggested Readings

6.0. LEARNING OBJECTIVES:

After the completion of this unit, you will be able to:

- Understand the Party System of India.
- Examine the features of Indian Party System.
- Analyse the ideologies and base of National and Regional Parties.
- Evaluate the role of political parties in Indian political system.

6.1. KEY WORDS: Political Parties, Election Commission, Ideology, Organisation,

6.2. INTRODUCTION

India is a democratic state in which Parliamentary system of government has been set up. Political Parties have a special significance in a democratic state. In a democratic state, the power of administration is in the hands of the people, but the people are not organised and there is a difference of opinion among them. The political parties organise the people and form public opinion. They formulate policies and programme fight elections, control the government and act as a link between the government and the people. Lord Bryce has rightly written, "Political parties are inevitable. No free country has been without them. No one has shown how representative governments could work without them. They bring order out of chaos of multitude of voters."

Meaning and Definition of Political Parties

In the Indian constitution, political parties have not been described in a direct way. According to Gilchrist, "A Political parties may thus be defined as an organized group of citizens who profess to share the same political views and who by acting as a political unity try to control the government.

It clears that a political party is a group of persons who organize themselves on the basis of the fixed programme and try to capture the power of the government through constitutional means in order to give practical shape to their programme.

6.3. MAIN FEATURES OF PARTY SYSTEM IN INDIA:

The nature of Party system in India becomes known from the following features:

1. ABSENCE OF SPECIFIC CONSTITUTIONAL PROVISIONS:

In India there is no specific provision in the constitution regarding its party system. Under Article 19 of the Constitution, the Indian citizens have been given the right of freedom to constitute, community or Union and the Political parties have been

constituted on the basis of this right. In 1985 under the 52nd constitutional amendment, there was constitutional provision of regarding prohibition of party change and under it, the word 'Political Party' has been described in the 19th Schedule. Apart from it, there is no other Article or provision in Constitution, where political parties have been mentioned.

2. REGISTRATION OF POLITICAL PARTIES:

Under an amendment made in the Representation of the People's Act, 1951 in December 1988, provision has been made for the registration of every political party. For this purpose the old political parties within 60 days and new political parties within 30 days will give an application for registration to the Election Commission.

3. TYPES OF PARTIES ON THE BASIS OF RECOGNITION:

On the basis of the recognition of the Election Commission, the political parties can be divided into three categories such as –

(i) Recognized National Political Parties :

A party is recognised as a national party if any of the following conditions is fulfilled;

- If it secures six per cent of valid voters polled in any four or more states at general election to the Lok Sabha or to the legislative assembly; and, in addition, it wins four seats in the Lok Sabha from any state or states; or
- If it wins 2% of seats in the Lok Sabha at a general election; and these candidates are elected from three states; or
- If it is recognised as a state party in four states.

(ii) Recognized state Political Parties : A party is recognised as a state party in a state if any of the following conditions is fulfilled:

- A political party which gets 6% of the valid votes polled in the state in a general elections either to Lok Sabha or to the Legislative Assembly of the State concerned and in addition it wins at least 2 seats in Legislative Assembly of the State Concerned;
- It wins at least 3% of the total seats of the Legislature Assembly of the state;
- Atleast 3 seats in the Assembly, whichever more;
- At the general election to Lok Sabha; the party wins at least one seat for every 25 seats of Lok Sabha
- The party polls at least 6% of the valid votes polled in all the Parliamentary areas of the state in the Lok Sabha elections in the concerned as well as it gets one seat in the Lok Sabha.

4. UNRECOGNISED POLITICAL PARTIES:

In India, there are unrecognised political parties also. Such political parties have the right to contest elections and to take part in all types of political activities, but these don't have reserved election symbols rather these are allotted to them at the time of election.

5. MULTI-PARTY SYSTEM:

In India, there is not one party system, as is in China, nor two party system like Britain and America. In our country, there is a multi-party system. On the eve of Seventeenth Lok Sabha general elections (2019), there were 7 national parties, 52 state parties and 2354 registered-unrecognised parties in the country.

6. ONE-DOMINANT PARTY SYSTEM:

In spite of the multi party system, the political scene in India was dominated for a long period by the congress. The dominant position enjoyed by the Congress has been declining since 1967 with the rise of regional parties and other national parties like Janata (1977). Janta Dal (1989) and the BJP (1991) leading to the development of a competitive multi-party system.

7. REBEGINING OF THE PERIOD OF ONE PARTY RULE IN CENTRE AND STATES:

Since independence upto 1977 and again from 1980 to 1989, there have been the governments of the Congress Party in the Centre and in most of the states which continued upto 2014. But in 2014 and 2019 with the advent of NDA government led by BJP, the period of the emergence of the party rule had started which continues even today. As a result of this, again in India, the period of one party rule has begun.

8. ABSENCE OF STRONG AND WELL ORGANISED OPPOSITION:

One peculiar feature of India party system is absence of strong and well organised opposition. At present, both at the national and state level there are so many national and regional political parties playing the role of opposition but they are not united on various political issues not they have any common programme. Different political parties do criticize the government inside and outside the Parliament, but they also indulge in the politics of competition which is harmful to democracy. In the 16th Lok Sabha no political party was able to get the number of seats required to get the status of recognised opposition party.

9. LACK OF IDEOLOGICAL COMMITMENT:

Another significant feature of the Indian Party system is the lack of ideological and principle commitment. Ideological commitment means firm faith in a particular political, social and economic ideology and collective efforts to achieve it. But in India, most of the political parties are opportunist and they sacrifice their principles for the fulfilment of their narrow interests. In India, coalition governments are the product of this opportunism. For the lack of ideological commitment, this party could not preserve its unity and stability and was soon divided into 4 parts. The government of National Democratic Alliance, which was formed under leadership of Sh. Atal Bihari Vajpayee on 13th October 1999, was based on the co-operation of 23 political parties. There was a lot of difference in the political ideology of these parties.

10. EMERGENCE OF REGIONAL PARTIES:

Another significant feature of the Indian Party System is the emergence of a large number of regional parties and their growing role. Among the regional political parties Shiromani Akali Dal in Punjab, DMK, ADMK and Tamila Manila Congress in Tamil Nadu, Telgu Desam in Andhra Pradesh, Assam Gana Parishad in Assam, Kerala Congress and Muslim League in Kerala, Trinamool congress in West Bengal, Rashtriya Janta Dal in Bihar, Samajwadi Party in Uttar Pradesh & Mizo National Front in Mizoram are worth mentioning. These regional political parties have played an important role at the national level.

11. PERSONALITY CULT:

Before independence our social, political and economic set-up was based on feudal values but this set up did not witness any specific change after the attainment of independence. Even today, aristocrats and elites exercise their control over politics and political parties. People have a strong feeling of personality worship. They have more faith in the leader of the party than ideology of the party. At the time of elections, votes are asked for in the name of the party but in the name of the leader of the party and people are requested to strengthen the hands of a leader.

12. LACK OF PROPER ORGANISATION:

Organisation is the life and soul of Political Parties. In our country, the organisation of Political parties is not based on democratic principles. The low level cadres of all political parties are not independent in their decision making. They have to work seeking instruction from the High command of the parties. Most of the Political parties follow this rule.

13. LACK OF CONTINUOUS CONTACT WITH MASSES:

Another feature of Indian Political Party system is that Political parties do not keep a continuous contact with masses. Almost, all political parties become active only during elections and after elections are over, they also disappear. These parties do not continuously propagate their policies and programmes among the people. As a result, public grows indifferent to political problems and stops taking interest in political affairs. As a result, they do not get proper political training.

14. FACTIONALISM IN POLITICAL PARTIES:

There is factionalism in almost all the political parties of India. Factionalism harms the unity of the party for the fulfilment of personal interests. Factionalism, defections, splits, mergers, fragmentation, polarisation and so on have been an important aspect of the functioning of political parties in India. Lust for power and material considerations have made the politicians to leave their party and join another party or start a new party. This phenomenon caused political instability both at the centre and in the states and led to disintegration of the parties.

15. ELECTORAL ALLIANCES AND COALETION GOVERNMENTS:

Because of Multi-party system and lack of ideological committment, many political parties strike electoral alliances. Such alliances have been formed by different parties at local and national levels. In 1977, five national parties made an alliance to fight against the Congress and won victory in the elections and afterwards formed Janta Party. Similarly during the state legislative assembly elections, different political parties formed alliances, politics. Today, there are two main alliances in the centre. United Progressive Alliance-UPA is being led by the Congress party and National Democratic Alliance-NDA is being led by BJP and both these alliances have formed governments in the centre from time to time.

16. COMMUNAL AND CASTE CHARACTER OF POLITICAL PARTIES:

In India, many political parties are organised a caste and communal basis. These parties try to win the political support of the people on religion and caste basis. The names worth mentioning in this regard are those of Hindu Mahasabha, Muslim League, Akali Dal, Muslim United Front, Shiv Sena, Bahujana Samaj Party, D.M.K., and AIDMK, Republican Party and Jharkhand party. The parties organised on caste and communal basis arouse religious and caste feelings and emmity among people belonging to different religions and castes and many times cause communal riots in the name of religion and caste. Such riots harm the national unity.

17. POPULIST NATURE OF INDIAN POLITICAL PARTIES:

During the last few years, almost all political parties and leaders are resorting to the politics of populism in order to capture power. In the politics of populism the political parties and leaders try to enlist the support of the people by catchy slogans and symbols.

After going through the features of the Indian Party system, we can conclude that it has no stable and clear form. The nature of the Indian Party system is in itself Indian, because some of its features are found in India only. The changing Indian situation has profound impact on the Indian Party System.

6.4. INDIAN NATIONAL CONGRESS (I) or INC (I)

6.4.1. BRIEF HISTORY OF THE PARTY:

Indian National Congress is the oldest, organised and very powerful party of India. In a way, this party was founded in 1885 at Bombay with the efforts of a retired English Civil Servant Mr. A.O. Hume, in and is a continuous form of the Indian National Congress. From 1885 to 1947, the main objective of the party was to win freedom for India from foreign rule. After Independence, this party took over the reigns of the government of India and the governments of the Congress party continued both at the centre and in states upto 1967. From 1947 to 1964, the party was under the complete dominance of Pt. Nehru and he was the Prime Minister of India during this period. During this period the country made progress in every field and there was no other party to challenge its supremacy.

FIRST SPLIT IN THE CONGRESS:

The Indian National Congress got divided into two parts on the question of election of the President in 1969. One group under the leadership of Mrs. Indira Gandhi began to be called 'Ruling Congress' while the other under the chairmanship of Sh. Nijalingappa began to be called 'Congress Organisation. In the Lok Sabha Elections of 1971 the group led by Smt. Indira Gandhi had won 350 seats out of 518 seats and this group remained in power both, in the centre and most of the states till March 1977.

SECOND SPLIT IN THE CONGRESS AND BIRTH OF CONGRESS (I):

In March 1977 elections to the 6th Lok Sabha, the ruling party of Smt. Indira was defeated and it was replaced by the Janta Party. As a result of the Smt. Indira Gandhi resigned from the congress working committee on December 19, 1977 and convened the meeting of her supporters in New Delhi on January 2, 1978 in which Smt. Indira Gandhi was elected the President of the Congress Party. As a result of this the party again got divided into two groups. The group led by Smt. Indira Gandhi was named Congress (I) and the other group was named Congress (S). The Congress (I) won 351

seats of Lok Sabha in the elections held in 1980 and formed government in the centre and also in most of the States.

THIRD SPLIT IN THE CONGRESS:

The Congress got split third time, when on May 19, 1995 in New Delhi, a convention of the congress dissidents under the leadership. Shri Arjun Singh and N.D. Tiwari was held and declared themselves as the real congress. Sh. N.D. Tiwari was elected its President. On December 3, 1995 the congress faction headed by Sh. N.D. Tiwari announced its name as All India Congress. On March 25, 1996 the Supreme Court of India asked All India Indira Congress to affix the word 'Tiwari' with it so that a distinction could be made between both the factions of congress party. Thus there came a third split in the Congress Party.

DROPPING OF WORD (I) FROM THE ELECTION MANIFEST OF THE CONGRESS:

In the election Manifest issued by congress in January 1996; the word 'I' which was symbol of Smt. Indira Gandhi was dropped and it became Indian National Congress. New President of Congress – On March 14, 1998, the congress working committee elected Mrs. Sonia Gandhi as the new President of Congress in place of Shri Sita Ram Kesari. On March 16, 1998, Mrs. Sonia Gandhi was elected as chairperson of the Congress Parliamentary Party.

ISSUE OF THE FOREIGN ORIGIN OF SMT. SONIA GANDHI AND FOURTH SPLIT IN THE CONGRESS:

The 4th split in congress took place in May 1999. On 15th May 1999, there senior leader of the congress-Sarvshri Sharad Pawar, P.A. Sangma and Tariq Anwar wrote a letter to the Congress President Smt. Sonia Gandhi and demanded that because Smt. Sonia Gandhi is of foreign origin, she should not be projected as future Prime Minister of India. The Congress working Committee expelled Sarvshri Sharad Pawar, P.A. Sangma and Tariq Anwar from the Congress for a period of six years. On May 1999, Sarvshri Sharad Pawar, P.A. Sangma and Tariq Anwar announced in Delhi, the formation of new political party, named 'Nationalist Congress Party', Shri Sharad Pawar was elected as the President of the new party.

PARTY PRESIDENT AND ELECTION SYMBOL:

Mrs. Sonia Gandhi is the President of the Congress Party and the election Symbol of Indian National Congress is Hand.

6.4.2. IDEOLOGY OF CONGRESS (I)

Democracy, Secularism, Socialism and Non-alignment are the main elements of Congress (I) ideology. The brief description is as follows:

1. DEMOCRACY:

The Congress (I) was deep faith in democracy. Democracy is the foundation of Indian Constitution. It is embedded in Indian Institutions and has an indelible imprint on the heart of mind of the Indian People. Liberty, Equality and justice are the basic elements of democracy. The Congress has strengthened these elements by its policies and programmes.

2. FAITH IN SECULARISM:

Secularism is an important element of Congress (I) ideology. According to the election manifesto of Congress (I), Secularism is the basis of the Indian Nationalism. In India secularism does not mean opposition to religion or irreligiousness. In secularism man has the freedom to worship and reach but the state has no religion of its own. It prohibits discrimination and partiality of any kind against any citizen on the basis of religion.

3. SOCIALISM:

The third important element in ideology of Congress (I) is socialism. The Congress (I) is firm on socialism. The objective of Congress (I) is to establish socialistic society. Pt. Nehru was of the firm view that except for socialism there is no other way to do away the poverty and wide spread unemployment of the Indian people. Under Mrs. Indira Gandhi's leadership, the word 'socialist' was incorporated in the Preamble to Indian Constitution by the 42nd Constitutional amendment. By passing National Rural Employment Guarantee Act, 2005, the UPA Government being lead by the Congress Party has provided to provide 100 days work in a year to every unemployment person living in villages.

4. ECONOMIC LIBERALISM:

During the last few years, Congress has left behind the objective of socials and adopted the policy of 'Economic Liberalism' or 'Open Market'. After coming into power in June 19, 1991 the Narsimaha Rao Government of Congress declared open and liberal economic policies. Most of the controls and restrictions imposed on industry and trade were withdrawn. Leaving some industries, license system has been finished on other industries. Instead of Public sector, private sector has been given priority and privalization of industries is being encouraged. Full freedom has been given to import foreign capital and technology. Multi National Companies have been given many types of facilities and have been invited to invest capital in India. The

purpose of all this is to make the Indian economy Competitive and to link it with world economy.

5. NON ALIGNMENT:

Non alignment is another important element of Congress's ideology. The Congress believes in the policy of non-alignment in international sphere and wants to keep India away from the military alliances of all types and power conflicts of the world. Non alignment means deliberately to remain aloof from the competitive power blocks of the world, not to enter into military alliance with any other states, to decide international issues on the basis of merit and to take independent action on those decisions. Non-alignment is today the basic principle of foreign policy of two-third countries of the world. The Congress party had always tried to stick to the policy of non-alignment.

6. OPPOSITION TO RACIALISM, COLONIALISM AND IMPERIALISM:

The Congress Party is bitter critic of racialism, colonialism and imperialism and the party has opposed these evils at every national and international platform. The party has always supported the struggles against these evils being fought in the different parts of the world.

7. SUPPORTED OF NATIONAL UNITY AND INTEGRITY:

The party is committed to maintain unity and integrity of the nation and for this purpose, the party is the supporter of strong centre in India. The party is determined to fight against the forces which are all out weakens the unity and integrity of India.

8. USE OF NUCLEAR ENERGY FOR PEACEFUL PURPOSE:

The Congress Party is committed to disarmament and the use of nuclear energy for peaceful purposes. The party made clear that the nuclear energy will be used for developmental and peaceful purpose.

9. SUPPORTER OF HUMAN RIGHTS:

The Congress Party is the supporter of human rights and is fully committed for the protection of these. Party is of the view that no distinction should be made on the basis of caste, colour, creed, religion and race etc and every individual has the right to live a dignified life. At the instance of Congress Party provisions were made to constitute National Human Rights Commission and State Human Rights Commissions.

The Elections of the 17th Lok Sabha held in April/May 2019 were fought by the Party under the leadership of Party President Sh. Rahul Gandhi. In the Election Manifesto

the party declared NAYA Yojana by which the party had promised to create more employment opportunities, to end corruption, to spend more money on health and education etc. During election campaign party President held 145 rallies and covered distance of 1.20 Lakh km throughout the country. With the purpose to strengthen election campaign he made his sister Prinka Gandhi Vadra the General Secretary of the party. But inspite of the best efforts put in by both brother and sister, the party was able to win only 52 seats of Lok Sabha. The Congress Party suffered debacle in the elections of the 17th Lok Sabha continuously for second time. The party needs to do deep self introspection to come out of the president scenario. The party failed to win seats even in the states which had its governments. There is need to do vast organisational changes from top to bottom in the party.

6.4.3. CHECK YOUR PROGRESS I

1. What is the Symbol of INC (I)?

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2. What type of party system in India?

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3. Briefly explains the types of parties in India and who give the recognition?

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6.5. BHARTIYA JANTA PARTY (BJP)

Bhatiya Janta Party (BJP) was born with the third division in Janta Party on 6th April, 1980. On April 4, 1980 the National Executive of the Janta Party passed a resolution and imposed a ban on the members of the party for having any type of relation with R.S.S. But the members of the Jan Sangh Group of party did not accept this decision. The leaders of ex-Jan Sangh group decided to form a separate new party. The former information Minister of the Janta Government, Mr. Lal Krishan Advani called a national convention of ex. Janojh Group in Delhi on 5th-6th April 1980. About 4383 representatives drawn from 21 states took part in this convention. On 6th April 1980 a new party named Bhartiya Janta Party came into being in this conference and Sh. Atal Bihari Vajpayee was unanimously elected the president of the Party. It was also decided in the convention that that party flag will consist of Green Saffron in vertical sections.

PARTY SYMBOL AND PRESIDENT:

The Party Symbol is lotus and Sh. Jagat Prakash Nadda is the president of BJP.

6.5.1. IDEOLOGY OF BJP

In the National Conference of the party held in Dec. 1980, the party announced to make five ideological principles the basis of its policies.

These are called the five commitments of the party: 1. National Integration 2. Democracy 3. Positive Secularism 4. Gandhian Socialism 5. Value based politics. A brief description of the principles of the party is given below:

1) NATIONAL INTEGRATION (UNITY):

BJP is a national party and it has committed to the unity and integrity of the country. The Party is of the view that right from Kashmir to Kanya Kumari, India is one country, one nation. It is in favour of the development of the spirit of nationalism by rising above the casteism, religion, language and regionalism. The party is strongly opposed to the policy of 'Divide and Rule' of the congress.

2) DEMOCRACY:

BJP has firm faith in democracy. It is in favour of giving equal rights and opportunities to all the Indian citizen without any sense of discrimination. It is strongly opposed to family rule.

3) POSITIVE SECULARISM:

The BJP criticises the policy of secularism of the congress by calling it 'minorityism'. Positive secularism means 'Sarva Dharma Saman Bav' i.e. all religions are equal. It does not mean state without religion. The policy of positive secularism does not mean regard for all religions but it is the adoption of good points and moral values from different religions. The policy of party is justice for all and appeasement of none.

4) GANDHIAN SOCIALISM:

The BJP accepts the Gandhian nature of Socialism. The party believes that the solution of the economic and social problems of India lies in Gandhian Socialism. The party has a belief in the decentralization of property as well as in the trusteeship theory of property of Mahatma Gandhi.

5) VALUE BASED POLITICS:

The BJP believes in value or principle based Politics. BJP is of the opinion that at present the policies of the politics of opportunism is at its peak in India due to which corruption and anarchy are found all around at all levels. The politicians do not care for values and principles. The BJP wants to develop value based and disciplined politics. It has framed a code of conduct for its legislators and ministers.

6) DECENTRALIZATION OF ECONOMIC AND POLITICAL POLOUR:

The BJP has faith in the decentralization of economic and political power. The party supports the renewal of centre-state relations and giving of more autonomy to states, especially in the context of their developmental activities.

7) SWADESHI AND SELF-RELIANCE:

The party has faith in Swadeshi and self-reliance and it is in favour of making India a strong dependent nation. The party is of the opinion that the areas in which India can become self-reliant the foreign investment in that sector should not be allowed. So the party wants to encourage swadeshi industry.

7) OPPOSITION TO COLONIALISM AND IMPERIALISM:

Like other political parties BJP is also opposed to colonialism and imperialism and is supporter of the fight being fought for right to self determination. The party is of the view that every country has the right to lead an independent life therefore outside power should not be allowed to have dominance over the other country.

8) NON-ALIGNMENT:

In International field, the party is in favour of adopting the policy of non-assignment. It is against becoming the member of any power group. The policy of non-alignment is most suitable for the all rounded development of India. The party is also in favour of developing friendly relations with the neighbouring countries.

6.5.2. CHECK YOUR PROGRESS II

1. What are the Five Commitments of BJP?

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2. Who was the first President of BJP?

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6.6. BAHUJAN SAMAJ PARTY

Bahujan Samaj Party originated from BAMCEF – Back ward and Minority Communities Employees Federation and Dalit Shashit Samaj Sangrash Samiti (DS-4), two pressure groups formed by Sh. Kanshi Ram for the protection of the interests of the government's employees belonging to scheduled castes and backward classes. The

party was born on April 14, 1984 in Uttar Pradesh. This party was founded by Sh. Kanshi Ram who was born in Ropar district of Punjab and he is till now the Suprme of the party. After Punjab, branches of Bahujan Samaj Party were established in Uttar Pradesh, Haryana, Bihar, Madhya Pradesh, Maharashtra and other states.

Bahujan Samaj Party criticizes Manuism in Society and is committed to abolish social economic inequalities and exploitation. This party wants to further the struggle launched by the father of Indian Constitution Dr. B.R. Ambedkar and want to abolish social, economic and political inequalities in the country.

WHAT IS BAHUJAN SAMAJ?

Bahujan Samaj is a Samaj of many castes and classes, but these castes and classes are backward. It includes Scheduled Castes, scheduled tribes, educationally and socially backward classes and all kinds of oppressed people who have been exploited by the capitalists and other influential people. According to Late Sh. Kanshi Ram, in this country there are thirty five crore people who belong to lower and backward classes they all are my constituency. BSP's aim is to reach the top to power ladder and make one of them as Prime Minister.

RECOGNITION TO BAHUJAN SAMAJ PARTY AS NATIONAL POLITICAL PARTY:

The Election Commission recognised Bahujan Samaj Party as a National Party on 25 November, 1997.

ELECTION SYMBOL AND FLAG OF THE PARTY:

Election commission provided 'Elephant' as election Symbol to the party. Flag of the party is made of Blue cloth with the symbol of Elephant embossed over it.

Ideology of Bahujan Samaj Party (BSP) claims to be the only National Political Party which evaluates the practical work and does not believe in hypothesis building.

- 1) To continue the struggle initiated by B.R. Ambedkar for abolishing the economic, social and political inequalities from the country.
- 2) To encourage the Dalits to have self-confidence and enlighten them for their rights.
- 3) To achieve political power is main objective of the party because without political power the condition of Bahujan Samaj can not be improved.
- 4) To abolish social order based on Manism and Brahamnish.
- 5) To provide security to depressed and exploited people, to provide more opportunities develop their skill and to provide employment to all.
- 6) The party has faith in the present democratic system and is in the favour of brining about a change through democratic means.
- 7) This party supports the non-alignment policy of India. Party wants that India should be given a permanent seat in the Security Council in U.N. This party wants to establish good relations with neighbouring countries.

- 8) The Party wants to provide more autonomy to local institutions in urban and rural areas so that these institutions become the important basis of Indian democracy.

During the assembly elections of UP, Uttarakhand, Punjab and Manipur held in February, 2002, the party made a change in its strategy. The party raised the slogan of the protection of the interests of 'Sarav Samaj' and not only of 'Dalit Samaj' and to achieve its objectives, the party put up candidates in the assembly elections belonging to higher castes and it proved quite useful to the party. On June 9, 2005, in a bid to form Dalit-Brahmin alliance, party supremo Mayawati Convened Brahmin Samaj Mahasammelan at Ambedkar Maidan in Lucknow in which she made it very clear that the war was not against Brahmins but against the Brahmin mindset. She has opened the doors of her party for the people belonging to upper castes.

The Shiromani Akali Dal (Religion Party of Punjab) and the BSP formed an alliance for the 2022 Punjab Assembly election. Bahujan Samaj Party Chief Mayawati said that the alliance between the SAD and BSP as a "new political and social initiative" which will very good in progress and prosperity in Punjab.

Former CM of Punjab S. Parkash Singh Badal described the formation of the SAD-BSP alliance as "the beginning of a secular, federal democratic revolution in the State and the country for a total socio-economic and political revamp of polity."

6.7. SHIROMANI AKALI DAL

HISTORY OF SHIROMANY AKALI DAL:

Shiromani Akali is an important regional party of Punjab. This party came into being on December 14, 1920 due to the efforts of Master Tara Singh and Baba Kharak Singh. In the beginning, the aim of this party was to get the release of holy Gurdwaras from the possession of Mahants and maintain their sanctity. A forceful movement was launched from 1920 to 1925 to achieve this aim. At last, the government had to yield and Shiromani Gurudwara Prabandhak Committee (S.G.P.C.) was established in 1926 for the administration of the Gurudwaras. Thus, the Akali Dal which was purely religious in nature got recognition as a political Party.

After independence, to promote the Sik interest, the Akali Dal raised their demand their demand of 'Punjabi Suba'. Master Tara Singh launched powerful agitation in 1955 and 1960 for getting this demand conceded. In 1961 he undertook fast unto death in support of this demand, but because of the Prime Minister, Mr. Nehru's intervention and the Punjab Chief Minister, S. Partap Singh Kairon's iron determination he had to give up his fast.

In 1962, the Akali Dal suffered a rift and was divided into two factions. One faction came to be known as the Master Akali Dal, while the other as the Sant Fateh Singh Akali Dal. Sant Fateh Singh was a great supporter of Hindu-Sikh Unity. He refused the demand for 'Sikh Homeland' has been raised by Master Tara Singh and demanded the creation of a Punjabi Speaking State. But at last the government accepted the demand of the Akali Dal for Punjabi Suba and Punjab was recognised

as state on the basis of language on November 1, 1966. But the Akali Dal was not satisfied with this reorganisation because most of the Punjabi-speaking areas were not included into Punjab. Chandigarh was made a Union Territory, the management of Bhakra Nangal was not entrusted to Punjab and injustice was done to Punjab regarding the distribution of river waters. The Akali Dal started a 'Dharam Yudh Morcha' against the Central Government on August 4, 1982 which came to an end with the signing of 'Rajiv-Longowal Agreement'. On August 24, 1985, Shriomani Akali Dal has been generally accepted as the party of the Sikhs because alongwith the demands of the Punjabis, the party has been raising the demands of Sikh Community. Because of this, some critics labeled Akali Dal as a communal party. But the Shromani Akali Dal headed by S. Prakash Singh Badal has opened its doors for other communities to make the organisation an all inclusive outfit. While restricting the party, S. Badal made wide ranging changes to give representation to Dalits, women and the youth as a result which it has got the look of a Punjabi Party.

PARTY PRESIDENT OF THE PARTY:

S. Sukhbir Singh Badal is the President who was unanimously re-elected president of the party for the third time during a delegate session held at the The Teje Singh Samundari Hall on the Party's 99th foundation day on 14 Dec. 2019. Scale is the Symbol of the party.

6.7.1. IDEOLOGY OF THE PARTY:

According to the Party Constitution the main ideology/ aims or objective of the SAD are as follows.

- 1) To work to propagate gurmat and Sikh way of life, renunciation of atheism and multi belief, management, improvement and service of the Gurudwaras.
- 2) To develop the feeling of separate Panthak existence and build up an atmosphere in which the national feeling and nationalism among the whole Sikh Community may find full expression.
- 3) To remove poverty, hunger and to add to wealth with the object of establishing just economics system and to remove the system of unfair distribution and exploitation.
- 4) To abolish illiteracy, untouchability and casteism according to the Sikh way life.
- 5) To take measure to remove ill health and disease, prohibit the use of intoxicants and promote health so that the community is encouraged and is every-ready for self-defence.
- 6) The Akali Dal Pledges for greater economic, fiscal and administrative powers to the states. Anandpur Sahib Resolution clearly points out the political objective of true federalism and more autonomy for the States.

- 7) The Party holds that water of Punjab Rivers is needed in Punjab and Punjab has full right over it. There is no question of giving this water to other states. So all illegal decisions accords, allocation of water will be cancelled.

The Akali Dal is an important political organisation leads the Sikhs. The Politics of the Akali Dal is intimately connected with the Sikh religion. Its aim to preach gurnat and values of Sikhism in life, in its political strategy, the Akali Dal has been adopted both agitational and constitutional methods. The Akali Dal has a number of short comings also. The party lacks inner discipline and unity is quite alien to Akali is psyche. There have always been conflicts between each others. In centre the party was an ally of NDA Government. But, the party left the NDA 2020 over the newly framed Agricultural bills on 26 September 2020. The president of the SAD, Sukhbir Singh Badal and the General Secretary of BSP, Satish Mishra announced that they would fight the Punjab vidhan subha assembly Election 2022 together. The alliance does not appeal to be motivated by shared values, but by political opportunism. The Akali Dal and BSP Share one ideology – both will continue work for the betterment of farmers, Dalites and Farm Labourers.

6.7.2. CHECK YOUR PROGRESS III

1. What is meant by Bahujan Samaj?

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2. When was the Dharma Youdh Moorcha started by Shiromani Akali Dal and why?

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6.8. DRAVIDA MUNNETRA KAZHAGAM (DMK)

Dravida Munnetra Kazhagam - DMK is an important regional party which has enjoyed an influential position in Tamil Nadu and Union Territory of Pondicherry.

In 1925 Sh. Rama Saami Naicker left Congress party and launched movement against Brahminism and to abolish untouchability and casteism which has also known as self-respect movement. This party was established in 1949 in Madras by a non-Brahmin named C.N. Annadurai. Mr. Annadurai appeared on the stage of Justice Party in 1942. He was extremely radical, practical and nationalist in his views. In the selam Conference of the justice party held under the chairmanship of Sh. E.V. Ramaswami Naicker. He moved a resolution that the titles conferred by the English should be surrendered and the justice party should be renamed 'Dravida Association'. On this resolution the party was divided into two parts. Annadarai and his support formed a new political organisation of the name of Dravida Kazagam, under the leadership of Sh. E.V. Rama Swami Naicker who in Tamil language was called 'periyar' or 'Mahatama' this organisation continued to become popular. The aim of this

party was to protect their Dravida people from the dominance of Brahmins and north Indians. This party wants to form a separate Tamil Speaking State Dravides- They celebrated August 15, 1947 as a day of mourning. The leaders of the Dravida Kazagam were divided. The president of the party Sh. E.V. Ramaswamy Naicker began to behave in an authoritarian manner. He married a woman 40 years younger than he and made her the treasurer of the party. Sh. Anna Durai, a senior leader could not tolerate it.... He along with his followers left Dravida Kazhagam and formed a new party in 1949 of the Name and Dravida Munetra Kazhagam.

Dravida Munnetra Kazhagam means 'Dravida Progressive Associations'. In the beginning its members were non-Brahmins only but soon after its doors were thrown open to the Brahmins also. The aim of the party is to establish a class less, caste less socialist society in Tamil Nadu. The party wants to develop Dravida people in political, economic, social and cultural fields. It solved the state problems and the DMK began to grow as a powerful regional party.

PARTY PRESIDENT AND ELECTION SYMBOL: -

M.K. Slalin is the president (and Chief Minister) of the Party and Durai Murugan appointed the General Secretary of the Party. Rising sun is the election symbol of the Party.

6.8.1. IDEOLOGY OF THE DMK: The main points of Ideology of DMK are as follows:-

1. STATE AUTONOMY:

In the beginning the DMK wanted to establish an independent state of the name of Tamil Nadu, but after the 16th constitutional amendment in 1963, the DMK abandoned this Demand. Nor this party is a supporter of state autonomy. It wants more and more powers for the states of Indian Union. The party is in favour of granting more economic resources to the states. The party is of the view that the State Governments are closer to the Public and when the State Governments get more powers from the centre they shall be able to serve the people according to their expectations. The party also stresses that Article 356 of the Constitution should also be abolished because it is used to dismiss the State Governments.

2. SUPPORTER OF DEMOCRACY:

The Party believes in the principle of sovereignty of the people and regards all people as ruler. The DMK has always been supporter of Public rights and freedoms.

3. FAITH IN SOCIALISM:

The DMK is a socialist party. Its aim is to set up socialist society. Through democratic means the party believes in putting an end to the inequalities prevalent in the society and the following measures have been taken for the realisation of this goal:

- (i) Small scale industries, especially Khadi industry have been encouraged.
- (ii) The ceiling on land has been reduced from 30 acres to 15 acres.
- (iii) Proper arrangements have been made for the supply of drinking water and electricity in the villages.
- (iv) The distribution of production has been done in such a way that the needs of everybody are met.
- (v) A separate ministry has been set up for the promotion of backward classes.
- (vi) Provision has been made of mid-day meals in the school for the poor students etc.

4. FAITH IN SECULARISM:

The DMK ideology is one of Secularism. It is not prepared to accept religion as a base of any politics or of any government or law. It equally respects all religions. It is worth remembering that DMK is opposed to blind worship of old customs, history and scriptures.

5. SOCIAL REFORMS:

The party wants to establish a healthy society by putting an end to the prevailing social evils. The aim of the party is not only to get rid the society from the dominance of Brahmin Caste but also to improve the inner structure of the society and free it from the tendencies of blind faith and fatalism. The present feudal society is full of caste discriminations, which is one of the great obstructions in the way of India's progress. The most powerful means to remove social and economic inequalities is education. In the constitution of the DMK it has been written 'Based on reason and Science, our party shall destroy the unnatural differences based on birth, caste, principle and religions between men and man '.

6. DEVELOPMENT OF TAMIL LANGUAGE AND CULTURE:

DMK has full faith in the Development of Tamil language and culture. Soon after assuming power DMK changed the name of Madras State into Tamil Nadu. Sh. Anna Durai had said clearly that he wanted to develop Tamil language and culture after coming into power. D.M.K. opposes Hindi language and is not prepared to accept it as a national language. Tamil is the State language and English has been accepted as the Second language.

7. SUPPORT FOR THE STRUGGLE OF TAMILS IN SRI LANKA:

The Party is in favour of supporting the Tamils struggling in Sri Lanka and party is of the view that the Government of India should take a head stand and put pressure on

Sri Lanka for the early solution of Tamil Problem. It wants to send safely back lakhs of Tamil refugees who left Sri Lanka to seek shelter in India.

8. WELFARE OF FAMERS:

In the election manifesto of 1991, the party has promised that it shall set up *taluk samities* to find immediate solution of famers' problems concerning irrigation, loan, fertiliser, remunerative prices for crops and extension schemes of the government.

The party did not take part in the first general elections held in 1952. In 1956, after the reorganisation of the state on the basis of language, the influence of the party got limited only upto the state of Tamil Nadu. The DMK is a cadre based party which has definite ideology. As compared with the AIDMK, this party has strong organisation and comprehensive support base. The DMK Leader Mr. Karunanidhi, himself was a mature and intelligent politician. The party is socialistic, democratic and secular in its outlook. After the death of Party Supremo Sh. M. Karunanidhi on August 7, 2018, the command of the party came into the hands of his son Sh. M.K. Stalin and inspite of the opposition of his brother Sh. Alagiri, Sh. M.K. Stalin was able to establish his control on the party and his command was accepted by people of Tamil Nadu. In the Centre, the Party is part of UPA headed by the congress party.

6.9. ALL INDIA TRINMOOT CONGRESS: AITC OR TRIMOOL CONGRESS TMC

All India Trimool Congress, which is popularly known as Trinmool Congress or TMC is a National political party. It was launched on 01 January, 1998 by Ms. Manta Benerjee who is the Chief Minister of West Bengal at present. TMC came into existence as a break-away group of Congress. Earlier, TMC was a part of BJP led National Democratic Alliance (NDA), but later on it joined United Progressive Alliance (UPA). At present, it was decided to maintain equal distance from both NDA and UPA, so, that it may keep distinct identity of its own.

ELECTION SYMBOL AND SLOGAN:

The Election Symbol of TMC is 'Jora Ghas Phul' which means 'twin flowers in grass'. It has the colours of the national flag of India which signify the spirit of nationalism. The Political Slogan of TMC is 'Maa Maati, Maanush' (Mother, Motherland, People) which signifies the importance given by the party to the spirit of nationalism and common people. At present Ms. Mamta Banarjee is president of this party.

6.9.1. IDEOLOGY OF TMC

The ideology of TMC is focused on the ideals of regionalism, nationalism, socialism and secularism. Ideology of the Party as given below:-

POLICIES AND PROGRAMMES OF TRINMOOL CONGRESS

1. TMC believes in such a secular India, federalism enshrined in Indian constitution and such a democratic system which give equal importance to all the people, religions, culture and castes of India.
2. This party is committed to protect the interests and to provide special facilities to the scheduled castes, scheduled tribes, other backward classes and minorities. This party also promises to protect and promote the interests of lingual minorities.
3. Women, particularly girls, will be given a special place in all the policies concerning nation building.
4. E-governance will be adopted in the administrative system so that all the projects get completed in time and with transparency. Lokpal and Lokyukta will be appointed to check corruption.
5. Panchayati Raj system will be strengthened with the co-operation from the states.
6. Under electoral reforms, an appropriate model will be developed to make available public funds for elections.
7. Independence of judiciary will be protected. Such a judicial system will be developed which will make specific efforts to protect the interests of women and backward classes, and will make efforts to resolve the long pending cases.
8. 100% road connectivity will be ensured in the entire nation and 100% population will be supplied clean drinking water.
9. Special efforts will be made to fulfill the needs of and for the development of economically weaker sections of society in general category.
10. Specific efforts will be made for the development of agriculture. More credit will be advanced to the formers. Economic interests of marginal and small farmers, landless agricultural labourers etc. will be protected. Growth of food processing sector will also be promoted to encourage the growth of agricultural sector.
11. A specific policy will be formulated for the development of micro, small and medium enterprises. A new industrial policy will be formulated at the national level. Export will also be promoted to encourage industrial development.
12. Special efforts will be made to develop the sectors of information technology which enabled public services.
13. Special plans will be formulated for the development of backward districts, tribal areas and hilly areas of the country.
14. Laws in the country will be reformed as per the contemporary needs.
15. A new foreign trade policy will be formulated in which specific importance will be given to small industries and labour intensive sectors.
16. Planning Commission will be re-established.
17. The recommendations of the state governments for the creation of new states will be evaluated.

18. Under the foreign policy, peaceful co-operation with all the countries of the world will be promoted so that the interests of the Indians may be protected. All the regional and international issues will be resolved through dialogue and peaceful co-operation.
19. At present, TMC has considerable influence in several states such as Tripura, Assam, Manipur, Tamilnadu Kerala, Sikkim and Haryana etc. and it is making efforts regularly for its growth throughout the whole of the country. Presently, there is a TMC government in West Bengal headed by the founder President of the party Ms. Mamta Banarjee.

6.9.1. CHECK YOUR PROGRESS IV

1. Who was C.N. Annadurai?

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2. What is the Political Slogan of TMC?

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6.10. SUMMARY:

In the end, it can be said that Indian party system is a multiparty system. There are different types of parties like National parties, regional parties and state parties which are recognised by Election Commission of India when they get eligible on the basis of their vote share and other conditions fixed by Election commission time to time. The changing Indian situation has profound impact on the Indian Party System.

6.11. QUESTIONS FOR PRACTICE

6.11.1. LONG ANSWER QUESTIONS

1. Discuss the nature of Indian Party System.
2. Examine the main features of Party System in India.
3. Describe the organisation and ideology of Indian National Congress.
4. What do you know about the birth and ideology of Bhartiya Janta Party?
5. Describe the origin and Policies (ideology) of Bahujan Samaj Party?
6. Write a note on the history and policies of Shiromani Akali Dal in Punjab?
7. Trace the organisation of DMK. Discuss its Ideology.
8. Write down the history and ideology of All India Trinamool Congress (AITC) or TMC.

6.11.2. SHORT ANSWER QUESTIONS

1. Briefly explain the types of party on the basis of recognition.
2. How many parties are recognised as National Parties?
3. Write a note on Election Commission.
4. What is the criterion to be a regional party?
5. What do you understand by One Party Dominance?
6. What is Personality Cult in Party System?
7. When the First Split in the Congress was held?
8. What is the Party Symbol of BJP and who is the President?
9. Who demanded Sikh Homeland?
10. Which is the ruling party of TamilNadu?
11. Who is the CM of West Bengal?

6.12. SUGGESTED READINGS

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BACHELOR ARTS (LIBERAL ARTS)

SEMESTER –IV

COURSE: - INDIAN POLITICAL SYSTEM -II

UNIT 7: PANCHAYATI RAJ INSTITUTIONS: COMPOSITION, POWERS, FUNCTIONS WITH SPECIAL REFERENCE TO 73rd AMENDMENT

STRUCTURE

- 7.0. Learning Objectives
- 7.1 Key Words
- 7.2 Introduction
- 7.3 Concept of Panchayati Raj
 - 7.3.1 Beginning of Panchayati Raj
- 7.4 Objectives of Panchayati Raj
- 7.5 Panchayati Raj Act, 1994
- 7.6 Composition and Functions of Panchayats
 - 7.6.1 Gram Sabha
 - 7.6.2 Gram Panchayat
 - 7.6.3 Block Samiti
 - 7.6.4 Zila Parishad
 - 7.6.5 Check Your Progress I
- 7.7 Powers and Responsibilities of Panchayats
- 7.8 Committees Related with Panchayati Raj
- 7.9 Articles Related with Panchayati Raj
- 7.10 73rd Amendment of Panchayati Raj System
- 7.11 Importance
- 7.12 Problems and Remedies
 - 7.12.1. Remedies to Remove the Defects of Panchayati Raj
 - 7.12.2. Check Your Progress II
- 7.13 Summary
- 7.14 Questions for Practice
 - 7.14.1. Long Answer Questions
 - 7.14.2. Short Answer Questions
- 7.15 Suggested Readings

7.0. LEARNING OBJECTIVES

After the completion of this unit, you will be able to

- understand the meaning of Panchayati Raj institutions
- understand the composition and constitutional status of Panchayati Raj institutions
- Analyze the significance of 73rd constitutional Amendment
- Evaluate the problems and contribution of rural local government

7.1 KEY WORDS: Three Tier Structure, Local self Government, Article 243, Gram Sabha, Gram Panchayat,

7.2. INTRODUCTION

All these problems related to human life are not central or national level but many issues and problems are related to local level. It is necessary that local matters and problems should be managed by local people for the success of democracy, because such problems can be understood and solved by local people. Such management is called as Local Self Government. Local self Government means that management which local needs of a village; town, city or settlement etc. should be managed by the elected representative bodies of the people living there. There are two forms of local self government in our country. One type of local government has been implemented in the urban areas and the other in rural areas. Municipal Government is called Government or urban government. Local Government in rural areas has been collectively termed as Panchayati Raj. Panchayati Raj is an important feature of the Indian political system which ensures direct participation of people at the grass roots level.

7.3. CONCEPT OF PANCHAYATI RAJ: -

Panchayati Raj is another name for local self Government established in rural India. The establishment of Panchayati Raj is not a new system. The main goal of Panchayati Raj System is to implement 'Decentralization of Power'. It is a form of 'Local Self Government' in rural areas. It is to implement democracy at the grass root level. Panchayat has always existed in the Indian society since ancient times. Gandhi ji always supported the idea of Gram Swarajya. In other words, we can say that Panchayati Raj System is that system through which people participating in their own government.

7.3.1 BEGINNING OF PANCHAYATI RAJ SYSTEM: -

'The Panchayati Raj system was first adopted by the state of Bihar by the Bihar Panchayat Raj Act of 1947. Later it was implemented by Rajasthan in Nagaur on 2 October 1959. Rajasthan was the first state to introduce the Panchayat in India after independence. During the 1950s and 60s, other state Governments adopted this system as laws were passed to establish Panchayats in various states. Among the Britishers 'Lord Ripon' suggested Local Self Government. Hence he was called 'father of local self Government' in India. Panchayati Raj refers to the system of local self government in India.

7.4. OBJECTIVES OF PANCHAYATI RAJ

- To enable the people of the rural areas to solve their local problems on their own.
- Involve rural people in the functioning of local level democratic institutions.
- To trained the rural people to operate the democratic system.
- Ensuring collective development of rural areas.
- Decentralization of powers so that the people of the rural areas have the privilege of participating in the running of the government.

7.5 NEW SYSTEM OF PANCHAYATI RAJ AS PROVIDED UNDER THE PUNJAB PANCHAYATI RAJ ACT, 1992

The 73rd Amendment to the Constitution was passed by the parliament of India in December 1992. This Amendment made important provisions in the Constitution regarding the establishment of Panchayats for the rural areas of the states of the Union of India. The 73rd Amendment implemented in 24 April,1993. This Amendment provided that every State Government is required to enact new laws relating to Panchayati Raj in accordance with the provisions of this Amendment. In Accordance with this Constitutional provision that the Punjab Vidhan Sabha passed the Punjab Panchayati Raj Act, 1994 which came into force on April 21, 1994. Rural areas of Punjab are coming under this Act which passed by the Punjab Vidhan Sabha. A new structure of Panchayati Raj has been arranged for Punjab. According to this new structure, the following four institutions of Panchayati Raj have been established in Punjab:

1. Gram Sabha
2. Gram Panchayat
3. Panchayat Samiti
4. Zila Parishad

A brief description of the Provisions made in the Panchayati Raj Act, 1994 regarding these institutions of Panchayati Raj.

7.6. COMPOSITION OF PANCHAYATS:-

The Panchayati Raj System as established in Accordance with the 73th Amendment is a three tier structure based on direct elections at all the three tiers– Village, Intermediate and District.

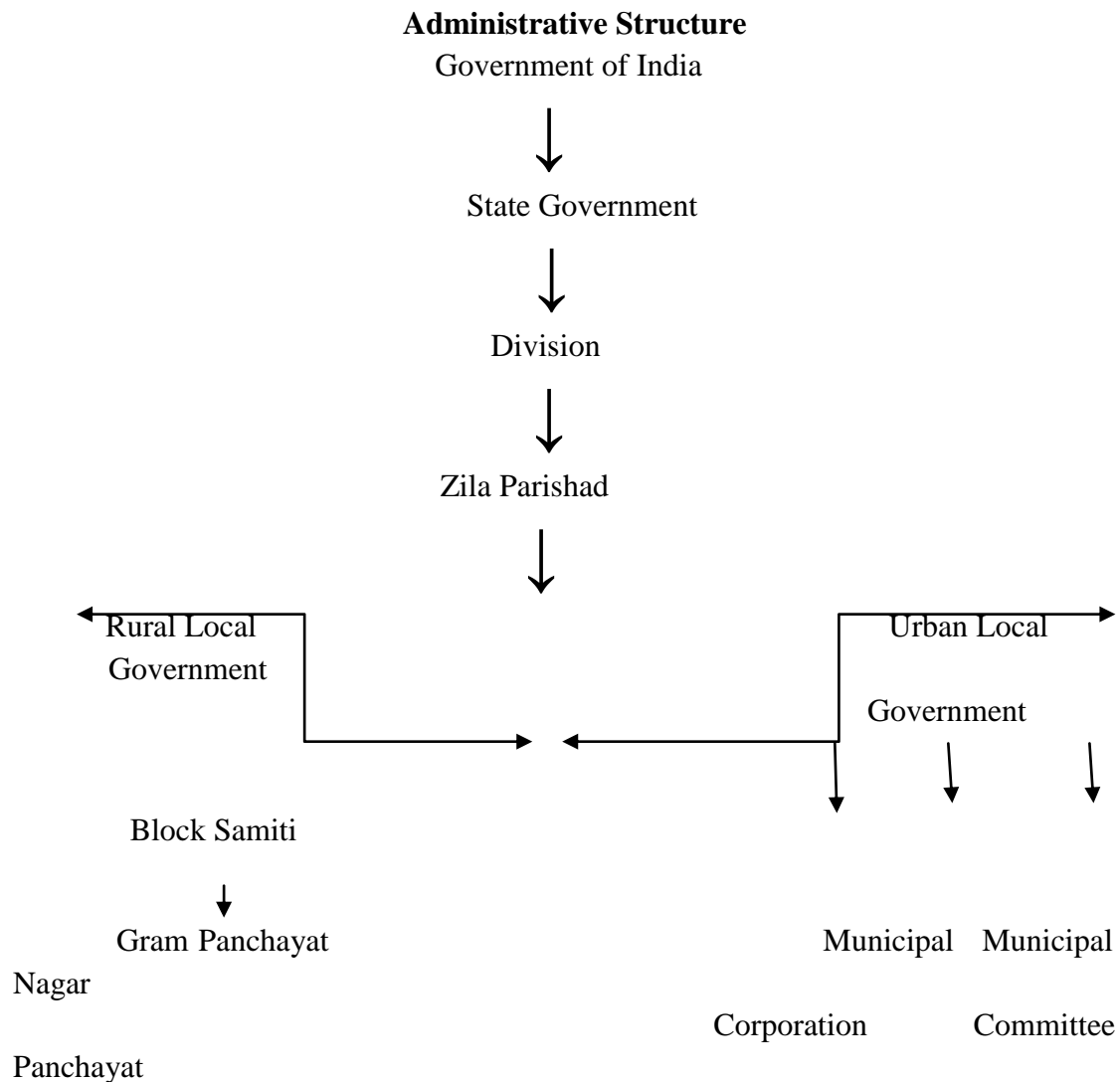
7.6.1. GRAM SABHA-

Under the Punjab Panchayati Raj Act, 1994 provision has been made that the Punjab Government should have at least 200 population may be collectively declared a Gram Sabha area by the Punjab Government cannot have a population of less than 200. The Punjab Government may establish a Gram Sabha for such area by a special declaration. The Provision of State Election Commission made under the Panchayati Raj Act, 1994. This Commission prepared the list of voters which lives in Gram Sabha areas.

Each Gram Sabha is required to hold two general meetings in a year. According to the 1994 law, one meeting must be held in December and the other in June. Gram sabha elects Gram Panchayat voting age 18 or 18 plus years of age (for member).Sarpanch is the presiding officer of Gram Sabha. One-fifth of the total members of the house have been fixed for the meeting as Quorum of Gram Sabha. Balwant Rai Committee- headed by Balwant Rai Mehta. Appointed by- government of India (Jan 1957) recommended the establishment of the scheme of democratic decentralization later known as Panchayati Raj. This led to the establishment of a three (3) tier Panchayati Raj System.

FUNCTIONS OF GRAM SABHA: - It elects the members of Gram Panchayat.

- It supervises the work of Gram Panchayat.
- It approves the Annual Budget of the Panchayat.
- To help the implementation of Development plannings belonging to the villages;
- To prepare a list of persons belonging to the village who are benefit as a result of implementation of development Schemes related to the village.
- Promoting Adult education programs and family welfare schemes within the village;
- To develop unity and harmony among all sections of the people living in the village;
- To seek clarification from Sarpanch (Head of Panchayat) and Panchs (Member Panchayat) regarding any particular activity, Plan, Income and expenditure;



7.6.2 VILLAGE LEVEL- GRAM PANCHAYAT

Gram Panchayat is the collection of villages, it may have one or even 5 to 7 village depending upon the population of villages as criteria is fixed by different state govt. For example- Jharkhand- Panchayati Raj Institution Act further each village will be represented by one or more ward members who will represent at Gram Panchayat level.

- Chairman of Gram Panchayat is popularly known as Mukhiya or Pradhan in most of the states.
- And the chairman may be elected directly by the people. Gram Panchayat or indirectly elected among the ward members. This depends upon the state legislature.
- For ex- Jharkhand and Bihar which few states and still have the post of Sarpanch.

FUNCTIONS OF GRAM PANCHAYATS –

Under the Punjab Panchayati Raj Act 1994, following the functions of Gram Panchayats:

- Construction ,Repair and Maintenance of community Assets;
- Agriculture, Animal husbandry, Dairying and Poultry in rural areas;
- Development of Social and Farm Forestry;
- Rural Housing, Poverty Alleviation Programme and To encourage Cultural Activities;
- Development of Education system in Rural Areas;
- Welfare of weaker Sections ;
- Implementation of Public Health and Family Welfare Programme;
- Supply of drinking water to the villages;

DIFFERENCE BETWEEN GRAM SABHA AND GRAM PANCHAYAT

Gram Sabha is the legislative body that operates at the village level, but Gram Panchayats in the lower tier of the Panchayati Raj functions at the village level.

Gram Sabha is a permanent body but Gram Panchayat is a temporary body. The Gram Sabha consists of every person whose name is registered in the voter list of the respective village but the Gram Panchayat consists of ward members and Sarpanch. The members of Gram Sabha are not elected but the members of Gram Panchayat are directly elected by the members of Gram Sabha.

7.6.3 INTERMEDIATE LEVEL (BLOCK SAMITI) KNOWN AS JANPAD PANCHAYAT OR PANCHAYAT SAMITI.

According to our Constitution, the state which has population less than 20 lakhs may not have this level. Therefore, SIKKIM only has 2 levels of Panchayati Raj systems. Block Samiti - Collection of Gram Panchayats. So, the members of Block Samiti are directly elected by the people of Gram Panchayats at the block level. And similar to district level, the chairman of Block Samiti (popularly known as Pramukh in most of the states) is indirectly elected among the members of Block Samiti. Provision of Reservation of seats is also made in Panchayat Samiti for the Schedule Castes, Backward classes.

FUNCTIONS OF PANCHAYAT SAMITI-

- Land improvement and irrigation, Roads, Buildings, Bridges, Ferries, Water ways and other means of communication.
- To encourage primary and secondary education
- To encourage the functions related with women and children development, Health and Family care.

- Development of cottage and small scale industries and opening of cooperative societies
- Establishment of youth organizations
- Source of Income- The main sources of income of the Panchayat Samiti are grants-in –aid and loans from the State Govt.

7.6.4 DISTRICT LEVEL- ZILA PARISHAD

Zila Parishad is the Panchayati Raj body at district level and it is the collection of blocks (Block Samiti) member of this body is called Zila Parishad. Zila Parishad is established by the Government in a district. Zila Parishad actually makes developmental plans at the district level. The members of Zila Parishad are directly elected by the people, however the chairman of Zila Parishad is indirectly elected among the members of the Zila Parishad, similar to the speaker of Lok Sabha and chairman is known as Zila Parishad Adhaksh. Generally, the Zila Parishad consists of representatives of the Panchayat Samiti; all the members of the state legislature and the Parliament representing a part or whole of the district level officers of the Medical, Public Health, Public Works, Agriculture, Veterinary, Education and other development departments. There is also provision for special representation of women, members of Schedule Castes and Schedule Tribes provided they are not adequately represented in the normal course. The Collector is also a member of the Zila Parishad.

As per the composition of Zila Parishad Act, 1994- each Zila Parishad has the following types of members- The area of Zila Parishad is divided into as many constituencies as its members are directly elected by people. One member is elected from each constituency.

The chairpersons of all the Panchayat Samitis in a district are members of its Zila Parishad. Many provisions have been made in each Zila Parishad to reserve seats for the Schedule Castes, Backward Classes and women.

FUNCTIONS OF ZILA PARISHAD-

- It advises the State Government on all matters relating to the Gram Panchayats and Panchayat Samitis under its supervision and the needs of the rural population living therein.
- It also supervises the work of the Panchayats.
- It functions mostly through various Standing Committees which oversee and coordinate the common programmes of the villages under its jurisdiction.
- The Zila Parishad is an official body that coordinates the activities of the Panchayats in all its developmental activities such as minor irrigation works, vocational and industrial schools, village industries, sanitation, social welfare and welfare of weaker sections and social reforms activities.
- Link between Panchayat Samiti and state government.

7.6.5. CHECK YOUR PROGRESS I

1. In which year the 73rd Constitutional Amendment was implemented?

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2. Write a note on Janpad Panchayat or Panchayat Samiti.

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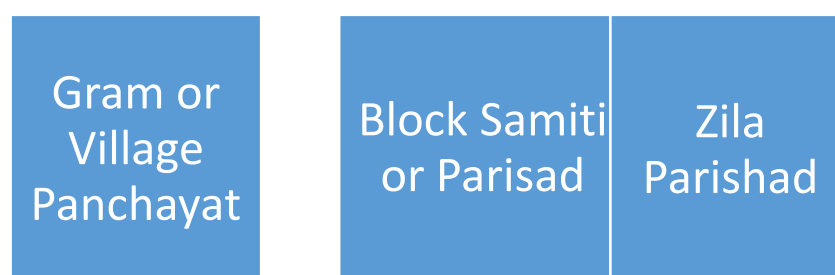
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7.7. POWERS AND RESPONSIBILITIES OF PANCHAYATS –

State legislature may endow Panchayats with such powers and authority as may be necessary to enable the Panchayats to become institutions of self Government at grassroots level. Responsibility may be given to them to prepare plans for economic development and social justice. Schemes of economic development and social justice with regard to 29 important matters such as agriculture, primary and secondary education, Health & sanitation, drinking water, rural housing, welfare of weaker sections, social forestry and so forth may be made by them.

Gram Panchayat are working at the village level, the Panchayat Samiti at the Block level and the Zila Parishad at the district level. The Gram Panchayat is at the bottom of the Panchayati Raj System and the Zila Parishad is at the apex. The Panchayat Samiti (Block Samiti) constitutes the middle tier of this three-tier new set up of rural administration.



Panchayati Raj formulated in 1992 by 73rd Amendment to Indian Constitution. It is implemented in 24 April 1993.

7.8. COMMITTEES RELATED TO PANCHAYATI RAJ

1. BALWANT RAI MEHTA COMMITTEE: -

In January 1957, the Government of India appointed a committee to examine the working of the Community Development Programme (1952) and National Extension Service (1953) and to suggest measures for their better working. The Chairman of the Committee was Balwant Rai Mehta. The Committee was submitted its report in November 1957 and recommended the establishment of the scheme of 'democratic decentralization', which ultimately came to known as Panchayati Raj. Panchayat Raj divided into three tier system. Gram Panchayat, Block Samiti, Zila Parishad appointed by government of India (Jan 1957) recommended the establishment of the scheme of democratic later known as Panchayati Raj. This led to the establishment of a three tier Panchayati Raj system. Panchayati Raj System implement Nagaur district of Rajasthan 02, Oct. 1959.

2. ASHOK MEHTA SAMITI 1977

In December 1977, the Janata Government appointed the committee on Panchayati Raj Institutions under the chairmanship of Ashok Mehta. It submitted its report in August 1978 and made 132 recommendations to revive and strengthen the PRIs. This committee recommended mainly two tiers Panchayati Raj System

- Mandal Level – Mandal Panchayat
- District Level - District Parishad

3. G V K ROY COMMITTEE 1985

This Committee to review the existing Administrative Arrangements for Rural Development and Poverty Alleviation Programmes under the Chairmanship of G.V.K. Rao was appointed by the Planning Commission in 1985. The committee came to the conclusion that the development process was gradually bureaucratized and separated from the Panchayati Raj and against the democratization of PRIs. Committee made some recommendations:

- The District is the proper unit for planning and development and Zila Parishad should become the principal body for all development programmes which can be handled at that level.
- The PRIs at the district and lower levels should be assigned to planning, monitoring and implementation of Rural Development Programmes.
- A post of District Development Commissioner should be created.

4. L M SINGVI COMMITTEE 1986 –

In 1986, Rajiv Gandhi government appointed a committee to prepare a concept paper on 'Revitalisation of Panchayati Raj Institutions for Democracy and Development' under the chairmanship of L.M. Singhvi.

- It recommended that PRIs should be constitutionally recognised, protected and preserved.
- Nayaya Panchayat should be established for a cluster of villages. The Village Panchayat should have more financial authority.

5. THUNGAN COMMITTEE 1988-

In 1988, a sub-committee of the Consultative Committee of Parliament was constituted under the chairmanship of P.K. Thungan to examine the political and administrative structure in the district for the purpose of district planning. This committee suggested for the strengthening of the Panchayati Raj System.

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- PRIs should be constitutionally recognised.
- Three Tier System
- Fixed five year Term
- Zila Parishad should act as the planning and development agency in the district.
- For super session, the maximum period should be 6 months.
- A planning and co-ordination committee should be set up under the chairmanship of the minister for planning.
- detailed list of subjects for Panchayati Raj should be incorporated in the Constitution
- State finance Commission should be set up in each state.
- Reservation of seats in all the three tiers should be on the basis of population and it also extends to women.
- The district collector should be the chief executive officer of the Zila Parishad.

GADGIL COMMITTEE 1988-

The Committee on Policy and Programmes was constituted in 1988 by the Congress party under the chairmanship of V. N. Gadgill. Recommendations of this committee are

- Constitutional Status should be bestowed on the PRIs.
- Three Tier System.
- Term should be fixed for five years.
- Members of all three levels should be directly elected.

- Reservation for SCs, STs and Women.
- PRIs should have the responsibility of socio-economic development. All the related subjects should be specified in Constitution.
- PRIs should be empowered to levy, collect and appropriate taxes and duties.
- establishment of State Finance Commission
- Establishment of State Election Commission.

7.9 ARTICLES RELATED TO PANCHAYATI RAJ-

The provision for Panchayati Raj was mentioned in Article 40 of Indian Constitution in DPSP. In 1957 Balwant Rai Mehta Committee was set up to suggest provision of Panchayati Raj System. He suggested a three tier system for Panchayati Raj System. The 1st Panchayati Raj was set up in Rajasthan followed by Andhra Pradesh in 1959. After that many committees formed which made changes to the set up of local government and various articles and ne part has been added in the Indian Constitution.

Article 243- related with the Definitions of Panchayati Raj

Article 243(A):– Gram Sabha

Article 243(B):- Constitution of Panchayats

Article 243(C):- Composition of Panchayat

Article 243(D):- Reservation of seats

Article 243(E):- Duration of Panchayat and so on

Article 243(F):- Disqualification for membership

Article 243(G):- Power, authority and responsibility of Panchayat

Article 243(H):- Power to impose taxes by and funds of, the Panchayat

Article 243(I):-Constitution of finance Commission to review financial position

Article 243(J):- Audit of accounts of Panchayat

Article 243(K):-Elections of Panchayats

Article 243(L):- Application to Union Territories

Article 243(M):- Part not to apply to certain areas

Article 243(N):– Continuance of existing laws and Panchayat

Article 243(O):-Bar to interference by courts in electoral matters.

7.10. 73rd AND 74TH AMENDMENTS

In 1989, the Central Government introduced the constitutional amendments related to the local government or grass root democracy. These Amendments aimed at strengthening Local government and ensuring uniformity in their structures and functioning across the country. In 1992, under the leadership P.V. Narsimha Rao, the process of 73rd and 74th amendments of Indian constitution has been started. The 73rd Amendments is about Rural Local governments (which are also known as Panchayati Raj Institutions or PRI). The 74th Amendment made the provisions relating to the Urban Local government as a Nagar Palika. The 73rd and 74th Amendments came into force in 1993.

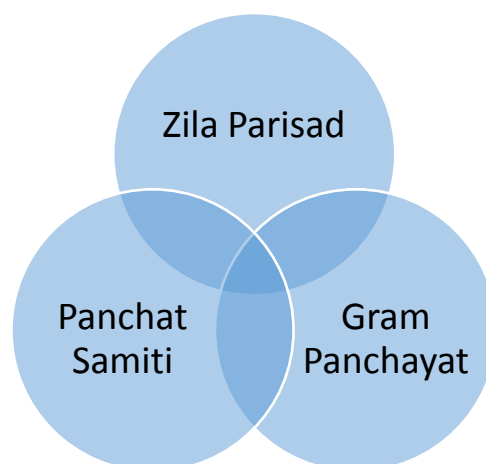
73 Amendment – In Panchayat institution three tier structure

Zila Panchayat – at the apex is the Zila Panchayat coming in the entire rural area of the districts.

The intermediary level Mandal/block-the intermediary level body needs not to be constituted in smaller states.

Gram Panchayat- a gram Panchayat covers a village or group of villages.

1. 73 RD AMENDMENT IN PANCHAYATI RAJ SYSTEM- THREE TIER STRUCTURE



- The Amendment 243(a) also made a provision for the mandatory creation of the Gram Sabha.
- The gram Sabha would comprise all the audit members registered as votes in Panchayat area.
- Its role and functions are decided by state legislature
- Elections- All the three level of Panchayati Raj Institutions are elected directly of the people
- The term of each Panchayat body is five years.

- If the state government dissolves the panchayat before the end of its five year term, fresh elections must be held within six months of such dissolution.
- Before the 73rd amendment, In many states, there used to be indirect elections to be district bodies and to be indirect elections to the district bodies and there was no provision for immediate elections after dissolution.

Reservations- One third of the positions in all Panchayati Institutions are reserved for women. For example- In 100 member leader –(35 women leader). If the state finds it necessary, they can also provide for reservations for the other backward classes (OBCs).

It is important to note that these reservations apply not nearly to ordinary members in Panchayats but also to the positions of chairperson or Adhyakshas all the three level.

Reservations of one third of the seats for women is not merely in the general category of seats but also within the seats reserved for Schedule Castes, Schedule Tribes and Backward Castes.

7.11 Importance of Panchayati Raj

According to Pandit Jawahar Lal Nehru,” Local self government must be the basis of any system of democracy. We have got rather into the habit of thinking of democracy at the top and so much below. Democracy at the top will not be successful unless it is built on the foundation from below.”

Since 1959 to present time, the Importance of Panchayati Raj System divided given below:

- Development of Rural areas.
- Centres of democratic training.
- Proper solution of Local problems.
- Helpful to remove casetism.
- Development of new consciousness.
- Development of the feeling of self respect and prestige.
- The Burden of work of State Government is lessened.
- Cheap and Speedy Justice.
- Urbanisation of Rural Areas.

7.12 PROBLEMS OF PANCHAYATI RAJ –

The implementation of Panchayati Raj in Rural India has not been a great success. The main reason for this is that the system has faced some problems.

1. **Backwardness of the Rural People-** India is a rural country. About 80% of its population lives in villages. But compared to urban areas, the rural people are full of illiteracy, ignorance, blind word and useless rituals. The social,

economic, mental or intellectual backwardness of the rural people is a serious problem.

2. **Casteism-** The settlements of the lower castes in the villages are located separately. These upper castes rarely tolerate the lower castes as members or members of Panchayati raj Institutions.
3. **Lack of Autonomy-** Panchayati Raj Institutions are not independent in their fixed area. The state government has a lot of control over the Panchayati Raj system. The Deputy Commissioner of the district has a lot of control over these institutions. Even some of the decisions of these institutions can be rejected by him. When Panchayati Raj Institutions depend on the Government for financial assistance, then it may not be possible for these institutions to become independent.
4. **Bad Economic Condition of the people-** The economic condition of the people in the rural areas is far behind that of the people in the urban areas. Not all the people in the rural areas have their own land, but a lot of people make a living by privatizing. If the people are financially satisfied then they are more profitable in the institutions of local self government.
5. **Continuous Decline of the Standard of politics-** People of Rural areas are unable to understand the game of smart politics. The extent to which the moral and political values of our country's politics are declining has affected the functioning of Panchayati Raj institutions in the rural areas.

For the success of Panchayati Raj, it is necessary to take steps to overcome the problems. Every effort must be made to keep the Panchayati Raj Institutions away from opportunistic politics.

7.12.1. REMEDIES TO REMOVE THE DEFECTS OF PANCHAYATI RAJ: –

The following steps need to be taken more effective of Panchayati Raj System

Spread of Education - Generally which people lives in rural areas, they are illiterate. Due to illiteracy, their mental development is not complete. They do not aware of their Rights and Duties. So, In order to remove all these allegations, it is necessary to expanding education in rural areas.

Training of Officers and Officials connected with Panchayati Raj:- In Panchayati Raj Institutions, Such people appointed which related to the rural areas only. People belonging to rural areas can easily understand the rural problems and such persons can also be personally helpful in solving the problems.

Less Intervention of Government:- Panchayati Raj Institutions should be given maximum autonomy. At present the government has so much control over the institutions of Panchayati Raj that it is not possible to carry out these tasks independently.

More Financial Resources- At present Panchayati Raj Institutions has minimum financial resources. That's why these institutions depend upon government grants. Unless the Panchayati Raj Institutions are given more financial resources, they will not be able to achieve their objectives of multi-faceted development of the rural areas.

About Participation of Political Parties- Political Parties should not be allowed to participate in the functioning of Panchayati Raj Institutions.

Proper Implementation of the Provisions of Seventy Third Constitutional Amendment- 73rd Amendment has been passed by Indian Parliament in December, 1992 to remove the defects of Panchayati Raj. This Amendment has made important Constitutional Provisions regarding Panchayati Raj. Those Provisions are to be implemented by the State Governments. If those arrangements are properly implemented then the Panchayati Raj system in our country will definitely become effective.

To Raise the Moral Standard of the people- It is very important to raise the moral level of the people in order to deal with the newly developed problems in the institutions. There should be no hatred on the part of women or the people of Schedule Castes, but a concerted effort must be made to rebuild the society of the rural area.

7.12.2. CHECK YOUR PROGRESS II

1. In Indian Constitution how many Articles related to Panchayati Raj System?

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2. Write the recommendation of Ashok Mehta Committee.

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7.13. SUMMARY

Hence Panchayati Raj Institutions is not a new term in political structure, it existence long time in all phases wherever the culture of administration developed. But with passage of development many new reforms and development slowly take place in context of management and its functions of Panchayati Raj Institutions as political structures. The Panchayati Raj bodies were expected to awaken political consciousness on the countryside and to enlarge the democratic process in rural India. Many steps have been taken to make Panchayati Raj Institutions active at local level. We have no hesitation in saying that Panchayati Raj has made a significant contribution in the rural areas. The Provisions made by the 73rd Amendment to the

system of Government will ultimately increase the importance of Panchayati Raj. Prior to the enactment of this Act, there was no detailed provision in the Constitution regarding Panchayats. Under the New Act, to fix the tenure of Panchayats have been made to make the Panchayati Raj system effective.

7.14 QUESTIONS FOR PRACTICE:-

7.14.1. LONG ANSWER QUESTIONS:-

3. What is Panchayati Raj System? Explain its Composition and special reference with the 73rd Amendment?
4. Define Panchayati Raj system and its powers and functions?
5. Describe Three Tier System of Panchayati Raj and its Function?
6. Illustrate the Composition and Objectives of Panchayati Raj? Explain its Remedies and suggestions.

7.14.2. SHORT ANSWER QUESTIONS:-

1. Who is Sarpanch?
2. Write a note on three tier system.
3. Explain Balwant Rai Mehta Committee.
4. What is Gram Sabha? What are the functions of Gram Sabha?
5. What is the difference between Gram Sabha and Gram Panchayat?
6. Write a note on 73rd amendment.
7. Which state in India is the first to implement Panchayati Raj?

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BACHELOR ARTS (LIBERAL ARTS)

SEMESTER –IV

COURSE: - INDIAN POLITICAL SYSTEM -II

UNIT 8: ROLE OF RELIGION AND CASTE IN INDIAN POLITICS

STRUCTURE

8.0: Learning Objectives

8.1. Key Words

8.2. Introduction

8.3. Influence of caste and religion in Indian politics

8.3.1. Origin of Caste

8.3.2. Impact of British on Caste System of India

8.3.3. Impact on Politics

8.3.4. Check Your Progress I

8.4. Political Representation and Political Rights

8.4.1 Check Your Progress II

8.5. Summary

8.6. Questions for Practice

8.6.1. Long Answer Questions

8.6.2. Short Answer Questions

8.7. Suggested Readings

8.0. LEARNING OBJECTIVES

After the completion of this unit, you will be able to:

- Understand the problem of Communalism has shattered communal harmony by dividing Hindus and Muslims along religious lines.
- Analyse the communalism which detrimental to democratic and economic progress.
- Know about how the caste was formed and what the caste system was during British rule.
- Examine how caste and religion play a vital role in Indian politics.

- Identify the root cause and also to give valuable suggestions to curb the situation.

8.1 KEY WORDS: Caste, Religion, Discrimination, communalism, Dalit, Secularism

8.2. INTRODUCTION

Caste and Religion is the most ancient feature of the Indian societal system. The caste system that exists in Indian civilization is well-known around the world. The system, on the other hand, has degenerated in modern times. It was thought that after independence, the system would gradually disintegrate and have very little consequence because it was not mentioned in the constitution. Discrimination based on caste or creed is, in fact, illegal and penalized. However, over time, it has become clear that caste continues to play an important role. It continues to play an important part in all aspects of political life. Its impact is felt on all levels whether it is national, state, or local. However, caste often exerts a significant impact on the political system, with those influenced by caste refusing to vote for the most qualified candidate who does not belong to their caste.

Caste and Religion only come into play when the candidate or the political party wants to win the election at any cost without considering the interests of the people of the democratic nation. Politics has been dominated by promoting communalism and casteism. The existence of many groups tied to a caste or religion is viewed as a source of social diversity and inequities in our country. The constitution was established with the sole purpose to bring unity and integrity among all the people of the nation so that they can live with peace and harmony. Many provisions were laid down for the upliftment of the lower caste so that they should also get equal opportunities and can get rid of all the atrocities and can get equal status as everyone. According to some of the surveys that were conducted by NGOs, there exist several political parties that solely win on the existence of the caste and religion system. Amongst all these the poor population of the country is the most vulnerable among all and they can be influenced by even the smallest of the promises doesn't matter they are fake or not. Because Indian society is largely fragmented along caste, religion, class, and other categories, the real functioning of Parliamentary democracy is hampered. The basic objective of this chapter is to analyze the role of caste and religion in Indian politics and how it is the cause of worries in a democratic nation like India and what are the main reasons behind these that they are promoted by the political parties.

8.3. INFLUENCE OF CASTE AND RELIGION IN INDIAN POLITICS

According to Human Rights Watch, "India's caste system is the world's largest surviving social hierarchy."⁷⁸ We all know that India is a diverse country with 8 religions, 3,000 castes, and 25,000 sub-castes. Among the 8 religions that are

⁷⁸ available at, <https://www.hrw.org/reports/2001/globalcaste/caste0801-03.htm>

followed in India, there are 1.2 billion people in the whole world who practice Hinduism and 95% of its population resides in India. Islam is the second most popular religion in India followed by 14.2% of the total population and it is the third country after Indonesia and Pakistan where Islam is prevalent in large numbers. Christianity is the third most popular religion in India with 2.3% of the population following it. Sikhism is the fourth popular religion with 1.7% of the population following it. Other religions including Buddhism, Jainism, Zoroastrianism, and other unidentified religions that comprise the remaining 2.1% of the population.

The Indian Constitution provides us the liberty to choose and practice any religion we want. The secularist ideas that preserve and undergird many of our liberties like Separation of religious and governmental institutions, as well as a public realm in which religion can participate but not control, freedom to practice one's faith or believe without causing harm to others, or to modify or abandon it as one sees fit and equality so that our religious views, whether we have them or not, do not place us at a disadvantage. Secularism is founded on religious liberty. In the United Kingdom, for example, the Church of England and the Presbyterian Church of Scotland are both officially recognized Christian denominations. In Northern Ireland and Wales, there is no established church. The 26 unelected bishops of the Church of England who sit in the House of Lords, however, have a significant impact on policies that affect the entire United Kingdom.⁷⁹

Secularism aims to maintain the absolute freedom of religion and other beliefs, as well as the right to express religious beliefs as long as it does not infringe on other people's rights and freedoms. Religious or political affiliation confers no benefits or disadvantages, and religious believers are citizens with the same rights and responsibilities as everyone else. Caste is a defining element of Hinduism, and it refers to a complex system of social groupings based on ceremonial purity. A person is regarded as a member of the caste into which he or she is born and stays a member of that caste until death, although the status of that caste may change through time and across locations. The social hierarchy of the caste is said to be originated from the Hindu religion and is divided into different hierarchical groups based on their karma i.e. work and dharma i.e. usually it means religion, here it is duty.

8.3.1. ORIGIN OF CASTE

The word 'caste' originates from the Spanish word "*casta*" which means "breed or race", so the word caste means people belonging to the same breed. A.L. Kroeber, who defined caste as "an endogamous and hereditary subdivision of an ethnic unit occupying a position of superior or inferior rank or social esteem in comparison with other such subdivisions."⁸⁰ According to Andre Beteille, Caste may be defined "as a small and named group of persons characterized by endogamy, hereditary

⁷⁹ Department of Economic and Social Affairs, "Social Justice in an Open World", *The International Forum for Special Development*, New York, 2006.

⁸⁰ A.L. Kroeber, "Caste", *Encyclopedia of the Social Sciences*, New York, Vol. 3, 1930, pp. 254-257.

membership, and a specific style of life which sometimes includes the pursuit by the tradition of a particular occupation and usually associated with a more or less distinct ritual status in a hierarchical system.”⁸¹

Prof. M.N. Srinivas says, “A sociologist would define caste as a hereditary endogamous, usually localized group, having a traditional association with an occupation, and a particular position in the local hierarchy of castes. Relations between castes are governed among other things, by the concepts of pollution and purity, and generally, maximum commonality occurs within the caste.”⁸² These are the modern definitions of the caste, to completely understand the caste we have to go deep into the history where we can find out the origin of the caste.

Manuscript is widely considered as the most influential and authoritative treatise on Hindu law, "recognizes and supports the caste system as the basis of order and regularity of society" and dates back at least 1,000 years before Christ was born. The caste system divides Hindus into four main categories - *Brahmins*, *Kshatriyas*, *Vaishyas*, and the *Shudras*. Many believe that the groups originated from Brahma, the Hindu God of creation. Following is the detailed information about the four prominent castes:

1. **BRAHMIN:** It is believed that the Brahmin caste originates from the head of Brahma and that is why they are superior to other castes. This caste includes priests and teachers. In ancient times, it was believed that to be the priest was the most prestigious place one can occupy, and also the priests were the ones that were directly related to the god.
2. **KSHATRIYAS:** It was believed that this caste originates from the arms of Brahma and that is why it is second in the hierarchy, below the Brahmins. This caste includes warriors and rulers. The arms were considered to be the strongest as one fight all the wars with the arms only.
3. **VAISHYA:** It was believed that this caste was originated from the thighs of the Brahma and comes third in the hierarchy. It includes farmers, traders, and merchants. They were the backbone of the economy as a large part of the income of the constituency was generated from them only.
4. **SHUDRAS:** It was believed that this caste was originated from the feet of the Brahma and comes fourth in the hierarchy. It includes laborers of all kinds. The people of this caste did all the menial jobs that were left behind.

Apart from the main caste there existed ‘*DALITS*’, they were laid outside the Hindu caste system, they were regarded as ‘untouchables’ or ‘*Achoots*’. It includes street sweepers and latrine cleaners.⁸³ Almost every element of Hindu religious and

⁸¹ Andre Beteille, “Caste, Class and Power: Changing Patterns of Stratification in Tanjore Village”, *University of California Press*, California, 1965.

⁸² M.N. Srinivas, “Caste in Modern India”, *The Journal of Asian Studies*, Vol. 16, No. 4, 1957, pp. 529-548, www.jstor.org/stable/2941637

⁸³ M. N. Srinivas, “Caste: It’s Twentieth Century Avatar”, *Viking*, New Delhi, 1996.

social life has been governed by caste for generations, with each group maintaining a specific position in this complicated hierarchy. Rural communities have long been divided along caste lines; top and lower castes almost always resided in separate colonies, water wells were not shared, and Brahmins refused to eat or drink from *Shudras*. The system granted various privileges to the upper castes while legalizing favoured group's repression of the lower castes.⁸⁴ Several *Dalits* and other low-caste Indians have progressed to high positions in the country, including BR Ambedkar, the author of the Indian constitution, and KR Narayanan, the country's first *Dalit* president.

According to historians, official caste divisions were of little relevance to Indians until the 18th century, social identities were considerably more flexible, and people could readily transfer from one caste to another. If we desire a secular society, however, we must cease identifying ourselves primarily by religion, caste, or language and begin to see ourselves as equal citizens of one nation, both in principle and in reality. This entails mutual obligations between the state and citizens, as well as between citizens, not only in principle but also in practice. Other identities, such as religion, caste, language, and geography, will gradually fade into the background. These must be changed to ensure that citizenship rights and the responsibilities that come with them remain paramount.

8. 3.2. IMPACT OF BRITISH RULE ON CASTE SYSTEM OF INDIA

The Indian caste system is thousands of years old and is mandated by Hinduism's sacred scriptures. *Dalit* students were usually confined to the back of the classroom. Entire villages in many Indian districts remain separated by caste in what has been labelled India's "hidden apartheid."⁸⁵ The state's provision of resources and amenities reinforces "untouchability," with different facilities provided for caste-based areas. The state authority builds power, sanitation facilities, and water pumps in upper-caste areas of numerous communities and they deliberately neglect the lower caste.⁸⁶ This was done in the early nineteenth century by bringing specific and handy Brahman-Sanskrit literature, such as the *Manusmriti*, to authoritative status; the Rig Veda's alleged origin of caste was most likely inserted retroactively after it was translated to English decades later. The census helped to establish these divisions in the mid-to late-nineteenth century. Through reading what they said were India's authoritative books, the colonizers created the accepted list of indigenous religions in India - Hinduism, Sikhism, and Jainism - as well as their boundaries and rules.

What is now commonly referred to as Hinduism was a textual ideology known as "*Brahmanism*," which formulated the concerns of a small, Sanskrit-educated social

⁸⁴ available at, <https://www.bbc.com/news/world-asia-india-35650616>

⁸⁵ available at, Broken People: Caste Violence Against India's "Untouchables", *Human Rights watch*, New York, 1999.

⁸⁶ *supra* note 1.

group.⁸⁷ The goal was to categorize the entire "*Hindu*" population into these four groups. However, the population's wide range of caste identity made it impossible to neatly fit colonial or Brahman doctrine. During the mid-nineteenth century, colonizers developed or manufactured Indian social identities based on categories of convenience. This was done to fulfil the aims of the British Indian administration, which included the creation of a single society with a common law that could be readily ruled.

A vast and complicated diverse system of faiths and social identities was consolidated to a degree that has likely never been seen before in world history, entirely new classes and caste systems were created, inconsistent or distorted parts were stuffed together, new limits were formed, and adjustable boundaries were compressed. In British India, religion-based electorates and caste-based reservations made ambiguous groups solid, whereas, in independent India, caste-based reservations made ambiguous categories comprehensive. There were actual and tangible repercussions to belonging to one category rather than the other.

8.3.3. IMPACT CASTE ON POLITICS

India is the world's largest democracy, with a population of over a billion people and an electorate of a little over 671 million people in the last election in 2004. 'Indian democracy' carries on working despite poverty, illiteracy, corruption, religious nationalism, casteism, political violence, and disregard for law and order.⁸⁸ Two sorts of politics may be identified in any emerging political system: the politics of thought and the politics of action. One can gain valuable insight into the nature and direction of political change in such a system.

A person's socialization is influenced by the beliefs and interests of his/her caste. There are states like Haryana, Tamil Nadu, Bihar, and Andhra Pradesh that are extremely caste concerned when they are recruiting the people in their political parties. There are numerous caste-based political parties in India, each attempting to promote and safeguard the interests of a specific caste. The caste issue, in particular, has a strong influence on regional political groups.⁸⁹ DMK and AIADMK are non-Brahmin political parties from Tamil Nadu. All political parties in India use caste as a means for securing votes in elections. BSP banks upon the support of Scheduled Castes while the BJP largely banks upon its popularity among caste Hindu and the trading community.⁹⁰

Numerous caste-based pressure groups in India work to promote and protect the interests of a specific caste by exerting pressure on governments. Pressure groups

⁸⁷ available at, <https://www.bbc.com/news/world-asia-india-48619734>

⁸⁸ Lucia Michelutti, "The Vernacularisation of Democracy: Politics, Caste and Religion in India", *Exploring the political in South Asia*, 2008, New Delhi, pp. 27.

⁸⁹ Hardeep Kaur, "Role of Caste in Indian Politics", *International Journal of Current Engineering and Scientific Research*, Vol. 5, Issue 1, 2018.

⁹⁰ *ibid.*

such as the Scheduled Caste Federation, Arya Samaj Sabha, Sanatan Dharam Sabha, and others work to protect the interests of a specific community. In India, caste is a significant driver of political politics. When candidates are nominating from various constituencies, political parties consider the candidate's caste as well as the voter's caste in that constituency. As a result, this candidate will almost certainly receive votes from voters from his caste. Muslim candidates are deployed in Muslim-dominated electoral districts, while *Jatt* candidates are deployed in *Jatt*-dominated districts. Even secular parties like the Congress, Janata Dal, CPI, and CPM take caste into account when choosing candidates.

The caste system and caste identities are influenced by politics because they are brought into the political arena. As a result, rather than politics becoming caste-ridden, caste becomes politicized. This can take several forms: for example, various caste groups are required to form coalitions with other castes or communities and thus engage in dialogue and negotiation, and new types of caste groups have emerged in the political arena, such as "backward" a caste group. In this way, caste politics has aided *Dalits* and OBCs in gaining greater access to decision-making. In a democracy, politics focused only on caste identity, is unhealthy. It has the potential to draw attention away from more urgent issues such as poverty, development, and corruption. Caste division can lead to tensions, conflict, and even violence in some circumstances.

8.3.4. CHECK YOUR PROGRESS I

1. How Britishers changed the caste system in the 19th century?
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2. What was the need to reform the caste system?
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3. Mention some of the Political Parties that are based on the caste system and how they work?
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8.4. POLITICAL REPRESENTATION AND POLITICAL RIGHTS

The national government of India's policy of "reservations," or caste-based quotas, is an attempt to correct past injustices associated with low-caste status. The constitution reserves 22.5 percent of federal government positions, seats in state legislatures, the lower house of parliament, and educational institutions for scheduled castes and scheduled tribes to provide for proportional representation in a specific state and

federal institutions. According to the National Commission for Scheduled Castes and Scheduled Tribes (1996-1997 and 1997-1998) reports, 54 percent of the Central Government's scheduled caste reservation quota remains unfulfilled. In the public sector, more than 88 percent of open positions are empty, while 45 percent of open positions in state banks are unoccupied.⁹¹ Brahmins made up 70% of the Class I officers in government services in 1989, although accounting for only 5% of the population. In universities, upper-castes hold 90 percent of social science teaching positions and 94 percent of science teaching positions, respectively, whereas *Dalit* representation is only 1.2 and 0.5 percent.

De facto marginalization affects *Dalits* across India in several ways. While India is the world's largest democracy, democracy has been a charade for many of its *Dalit* residents. Many people are often harassed and beaten by political party strongmen during elections to force them to vote for specific candidates. *Dalit* peasants who refuse to cooperate have already been harassed, beaten, and murdered by local landlords and police authorities. *Dalit* voters have also been punished by the police and upper-caste militias acting on the orders of influential political leaders in India's states. Police stormed a *Dalit* community in Tamil Nadu in February 1998 after it boycotted the national parliamentary elections. Women were assaulted and beaten, and cops pushed sticks and iron pipes into their mouths.

Political candidates in Bihar rely on *Senas*, citizen militias whose members threaten and kill to secure a majority vote. During Bihar's 1995 state election campaign, the Ranvir Sena, a private militia of upper-caste landlords, was responsible for the deaths of more than fifty individuals. During the national parliamentary elections in February 1998, the *Sena* was used to frighten voters in Ara district, Bihar.⁹² *Dalits* who ran for political office in village councils and municipalities through seats that were constitutionally "reserved" for them have been threatened with physical assault and even death in an attempt to get them to drop out of the race. Following the election of a *Dalit* to the village council presidency in Melavalavu, Tamil Nadu's Madurai district, members of a higher-caste group murdered six *Dalits* in June 1997, including the elected council president, who was beheaded.⁹³

Casteism is rooted in the belief of an individual to which he/she belongs by birth. Candidates are sometimes picked based on their caste. Political parties consider the caste composition of their voters when selecting candidates. Voters in many places vote based on caste and fail to select suitable candidates. When a government is formed following elections, political parties ensure that members of various castes are represented. During elections, political parties raise caste-based issues to obtain support. Until now, the castes considered lower have been marginalized. In the

⁹¹ National Campaign for Dalit Human Rights, *Black Papers: Broken Promises and Dalits Betrayed*, New Delhi, 1999.

⁹² Human Rights Watch, *Broken People*, p. 4, at https://www.hrw.org/reports/2001/globalcaste/caste0801-03.htm#P378_76748

⁹³ *ibid*, p. 5.

country, no single caste has a clear majority in any parliamentary constituency. To win elections, every candidate and party must gain the support of more than one caste and group. No political party ever receives the votes of all members of a caste or group. Candidates from the same caste may be fielded by multiple political parties. Many voters have no candidates from their caste, while others have multiple candidates from their community.

Unlike India, Nepal does not have any reservations or quotas in political entities, civil service jobs, or higher education institutions. Lower castes are significantly underrepresented in government, although accounting for more than 20% of the population. Since 1958, just fourteen *Dalits* have been elected to Nepal's parliament (upper house) through a nomination procedure, all of whom are men. In the House of Representatives, only one *Dalit* has been elected.⁹⁴ In addition, *Dalits* are underrepresented in Nepal's administrative and judicial systems, and discrimination still exists in the Nepal Royal Army.⁹⁵ According to an NGO research on prejudice against *Dalits* in Nepal, Brahmins make up 57 percent of parliament and 89 percent of the judiciary, although accounting for only 16 percent of the population. As a result, one-fifth of Nepal's population is effectively marginalized.⁹⁶

Tamils of Indian ancestry have lived in Sri Lanka since the eighteenth century can only become citizens by registering. They are denied the right to citizenship by descent.⁹⁷ The reservation issue provided a fertile ground for castes to play an active role in politics.

8.4.1. CHECK YOUR PROGRESS II

1. How do reservations work based on the caste system in politics?

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2. What are the backlashes that are faced by lower caste people in politics?

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⁹⁴Bishwakarma, "Caste Discrimination and Untouchability Against Dalits in Nepal", *Human Rights Watch*, 2001.

⁹⁵Hira Vishwakarma, "Reservations for Nepal's Dalits", *Kathmandu Post*, 1997

⁹⁶ Dalit NGO Federation, "Nepal Alternative Country Report 2001", *United Nations Committee for the Elimination of Racial Discrimination for Asian Regional Preparatory Meetings on the Occasion of the World Conference against Racial Discrimination*, Iran, 2001.

⁹⁷ Sivapragasam, "Indian Origin Tamils in Sri Lanka: An Oppressed People", *Human Rights Watch*, 1997.

8.5. SUMMARY

The Indian Constitution expressly declares that there is no official religion in India. We live in a "secular state." In India, people of all faiths enjoy the freedom to practice any religion they want. And these rights cannot be used as a basis for discrimination. It all begins with the concept of communalism. The concept of communalism is that one religion or ethnic group believes itself to be superior to another. And, rather than considering the larger community, believers of this religion will always align with their party. This communalism has been exploited to acquire political dominance in our country since the inception of political parties. For them, it is a means of obtaining votes based on religious beliefs. To stoke the fires of communalism, they frequently bring up issues of majority/minority religions. Instead of creating a spirit of unity, this causes division among the people. Surprisingly, it is not illegal in India to form a political party based on religion or caste. They have the right to form such organizations and parties since they are free to practice any faith, however in the pretext of preserving their member's interests. Nowhere else on the planet is caste and casteism so thoroughly ingrained in a country's society and politics.

Our caste system, which has existed since ancient times, was rigid and extensive, making its ultimate abolition impossible. We have made progress as a result of urbanization and modernity, but we have not been able to entirely eradicate it. The caste system still exists in villages and towns, even though it is nearly non-existent in major cities. Political parties make use of the fact that members of the same caste tend to vote in the same way. They pick a candidate based on his caste, not his qualifications. People from the so-called lower caste or suppressed caste now have a voice at the policy level, which is a good thing. They have spokespeople from their ranks who are familiar with their hardships and issues. Politics and caste have the opposite effect. In our country, politics has an impact on caste. Many lesser castes and sub-castes have banded together for political reasons, which is a significant move. They see that there is strength in numbers, and they build internal alliances. There is also further division taking place based on the group's political influence.

8.6. QUESTIONS FOR PRACTICE

8.6.1. LONG ANSWER QUESTIONS

1. Analysis of politicizing of religion and on the need for the secular state.
2. How can caste take different forms in politics? Use an example to demonstrate your point.
3. Examine the issues that communalism poses to democracy and how secularism can help to overcome these obstacles.

8.6.2. SHORT ANSWER QUESTIONS

1. "Secularism is not a mainstream movement or individual's philosophy; it is one of our country's foundations." Examine the assertion.

2. Briefly examine the impact of politics on the caste system.
3. Briefly describe the elements that have contributed to India's caste system's weakening.

8.7. SUGGESTED READINGS

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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER- IV

COURSE: INDIAN POLITICAL SYSTEM II

UNIT- 9 ROLE OF GENDER AND REGIONALISM IN INDIAN POLITICS

STRUCTURE

9.0. Learning Objectives

- 9.1. Key Words
- 9.2. Role of Gender- Introduction
- 9.3. Status of Women in Indian Politics
- 9.4. Constitutional provisions to ensure Gender Equality
- 9.5. Reservation for Women in Elected Bodies
 - 9.5.1. Check your Progress I
- 9.6. Regionalism- introduction
 - 9.6.1. Meaning
- 9.7. Regionalism in Indian Politics
- 9.8. Regionalism: Causes and Remedies
 - 9.8.1. Check Your Progress II
- 9.9. Summary
- 9.10. Questions for Practice
 - 9.10.1. Long answer questions
 - 9.10.2. Short answer questions
- 9.11. Suggested Readings

9.0. LEARNING OBJECTIVES:

After the completion of this unit, you will be able to:

- Understand the importance of Gender in Politics
- Examine the role and significance of Gender in Indian Politics
- Know the meaning of regionalism
- Analyze the role of regionalism in Indian Politics

9.1. KEY WORDS: Gender, Regionalism, Politics, Democracy,

9.2 ROLE OF GENDER : INTRODUCTION

Women's participation in politics of any country gives a strong message globally not only in terms of equality and freedom of liberty but also in the space provided for women in the democratic framework of electoral politics. India has one of the strongest laws that provide women a life with full honor and dignity. But the customs, patriarchal set ups and societal norms have always treated them as subordinate to men. They are always taught to be submissive. Because of unequal distribution of resources, women do not have adequate resources, be it economic, material or human. Women are expected to work in private sphere only and are generally barred from working outside their homes. Their financial dependence over men also keeps them away from strong political affiliations.

Politics as a real-world phenomenon and political science as an academic discipline are gendered. People all over the world find that the basic conditions of their lives—their safety, health, education, work, as well as access to markets, public space, and free expression—are fundamentally shaped by their identification as belonging to particular sex or gender groups. Individual bodies may be typed as male or female, masculine or feminine, heterosexual or homosexual, transgendered or non-gendered in a dizzying variety of ways across cultures and over time.

A new dimension of women in politics emerged in recent years all over the world. More and more women have now been entering into politics. Conventional politics reflected male concerns and hence women were notably absent in politics. But on the other side it is heartening to note that Indian women were among the earliest to get their political rights like right to vote without any political movement like in the United States and many Western countries.

The term 'political participation' has a very wide meaning. It is not only related to 'Right to Vote', but to participation in decision-making process, political activism, political consciousness, etc. In India, participation in voting, place in public offices and political parties has lower than men. Political activism and voting are the strongest areas of women's political participation. To combat gender inequality in politics, Indian Government gave 33% reservation in Rural Local and Urban Local Bodies.

In India, reform movements before and after independence has helped women to gain some power in politics also. After independence they have achieved an unprecedented political breakthrough with the reservation of seats for them in Panchayats and other public bodies. Women have held the posts of president and prime minister in India, as well as chief ministers of various states. Indian voters have elected women to numerous state legislative assemblies and national parliament for many decades. Welfare policies had been constructed and reinforced women's traditional position as wives and mothers. Women have struggled over issues

affecting them, especially their rights to property and vote in the 19th century and to abortion, equal pay and nursery provision in the 20th century.

The status of women in India has seen many ups and downs since ancient times from at par status in ancient history to be in veils (*Parda System*) during the medieval period. In the post independent India the status of women regained its strength and has been on a rise ever since. Women in post independent India have been participating in almost all types of economic activities, day-to-day household responsibilities, voting for better governance and also in active politics. India has elected a women Prime Minister, Indira Gandhi, and a women President, Pratibha Patil. In the present Central Government, women comprise roughly quarter of the Indian Cabinet with portfolios like external affairs, commerce and human resource development. At the ground level, India has a significant proportion of women in local level politics which have been achieved by reserving seat for women.

‘It is very difficult for a woman to make up her mind to enter in the politics. Once she prepares herself, then she has to prepare her husband, and her children, and her family. Once she has overcome all these obstacles and applies for the ticket, then the male aspirants against whom she is applying make up all sorts of stories about her. And after all this, when her name goes to the party bosses, they do not select her name because they fear losing that seat.’ The above quote of Sushma Swaraj (Union External Affairs Minister) gives a glimpse of reality that how women have to face so many problems and criticisms while entering the politics. India, being the largest democratic country in the world has very low representation of women in politics.

Gender in politics in the case of India plays an important role, from participation in politics to politics of participation. A double-edged sword has been seen affecting women’s involvement in Indian politics. By becoming Pradhan or a ward member in a Gram Panchayat or any other civic body, or a member of State Assembly or Parliament, it augments respect within the family as well as in the community at large besides increasing their self-esteem, confidence and decision-making ability.

The Constitution of India attempts to remove gender inequalities by enshrining fundamental rights for all citizens, but still women are unable to access these rights. India is ranked 87 out of 144 countries in the Global Gender Gap 2016, by the World Economic Forum which measures how women fare in economic participation, health, education and political representation. But recently, India ranks 140 of 156 countries in the World Economic Forum’s Global Gender Gap Report 2021. The country has fallen 28 places, making it one of the worst performers in South Asia, behind Bangladesh, Nepal, Bhutan, Sri Lanka and Myanmar. South Asia, in itself, is one of the worst-performing regions, followed only by the Middle East and northern Africa.

9.3. STATUS OF WOMEN IN INDIAN POLITICS:

Voting percentage for women have increased in assembly polls besides their participation as candidates and the possibilities of their victory are substantially low. Irom Sharmila and Najima in Manipur, in the absence of funds, they are campaigning for elections on bicycles. Most of the 'winnable' women candidates come from political families. Many women who are made to file nominations from certain constituencies cannot even retain their deposits. India ranks 103rd in the Women in Parliament study. In the Lok Sabha, out of the 543 members, only 79 are women. In the Rajya Sabha, there are only 29 female MPs among 243 members.

List of elected Women in Lok Sabha

Lok Sabha	Year	Total strength	Women representation	Percentage
1 st	1952	489	22	4.4%
2 nd	1957	499	27	4.05%
3 rd	1962	499	34	6.7%
4 th	1967	520	31	5.8%
5 th	1971	518	22	4.9%
6 th	1977	542	19	3.8%
7 th	1980	525	28	5.7%
8 th	1984	529	44	7.9%
9 th	1989	525	27	5.2%
10 th	1991	511	39	7.6%
11 th	1996	543	39	7.4%
12 th	1998	543	43	8.1%
13 th	1999	543	49	9.2%
14 th	2004	543	45	8.7%
15 th	2009	543	58	10.7%
16 th	2014	543	62	12.2%
17 th	2019	543	78	14%

The above given table shows the progress in participation of women in Indian parliament's lower house.

9.4. CONSTITUTIONAL PROVISIONS TO ENSURE GENDER EQUALITY

There is not only to provide food, shelter, cloths and safety for women, but also for emancipation and empowerment of through better education and similar employment opportunities. Women are more important for the existence and keep the society going. So, women's welfare and development have been a matter of great concern. The Constitution of India has made certain provisions to protect the interest of female population.

The preamble promises to security for all its citizens, political, economic and social justice and liberty of thought, expression, belief, faith and worship, equality of status and opportunity and to provide fraternity assuring the dignity of individual. Fundamental rights and directive principles of state policy are providing equality and liberty to all its citizens. The state shall not discriminate against any citizen on ground of sex, religion, among other things. Besides, Government of India adopts the policy of positive discrimination to uplift the weaker sections of society for development of nation. So, there is a provision in Indian Constitution to permitting positive discrimination in favors of women through reservation in various fields, if such discrimination found requisite.

- **RIGHT TO EQUALITY:**

Article 14 to 18 of the constitution guarantees the right to equality to every citizen of India. Article embodies the general principals of equality before law and prohibits unreasonable discrimination between persons. This article declares that 'the state shall not deny to any person equality before the law or the equal protection of the laws within the territory of India.

- **PROHIBITION OF DISCRIMINATION –**

Article 15 (3) is one of the two exceptions to the general rule laid down in clause (1) and (2) of Article 15. It says that nothing in Article 15 shall prevent the State from making any special provision for women and children. Women and children require special treatment on account of their nature .Article 15(3) empowers the state to make special provisions for them. The reason is that "women's physical structure and performance of maternal functions place her at disadvantage in the struggle for subsistence and her physical well being becomes an object of public interest land care in order to preserve the strength and vigor of the race.

- **EQUALITY OF OPPORTUNITY IN PUBLIC EMPLOYMENT:**

Article 16(1) guarantees equality of opportunity for all citizens in matter of 'Employment' or 'Appointment' to any post under the state. Clause (2) says that no citizen shall, on grounds only on religion, race, caste, sex, descent, place of birth,

residence or any of them, be ineligible for or discriminated against in respect of, any employment or office under the state.

- **RIGHT TO LIFE AND LIBERTY**

A bare reading of Article 21 of the constitution of India provides that no person shall be deprived of his life or personal liberty except according to procedure established by law. In *Gopalan vs State of Madras* (1950) SCR 88, it was held that the object of Article 21 is to prevent encroachment upon personal liberty by the Executive to save in accordance with law and in conformity with the provisions thereof. The protection of this article is available to citizens as well as non citizen.

- **DIRECTIVE PRINCIPLES OF STATE POLICY**

Apart from fundamental rights enshrined in part III of the Indian Constitution which provide rights to women as the men rather pay special attention, Part IV of the constitution has some special provisions for the welfare of women and to improve their social and economic status. These Directive Principles of State Policy lay down certain obligations on the state.

Article 38 clause (2) promote the welfare of the people by securing a social order permeated by justice- social, economic and political and to minimize inequalities in income, status, facilities and opportunities. To secure the rights of women there is a provision of equal pay for equal work for men and women.

- **EQUAL PAY FOR EQUAL WORK**

The phrase Equal pay for Equal Work means that every individual who has been employed for the work which is allotted to him should be given sufficient pay as that of others. There should not be any discrimination while payment of wage. It is most commonly in the context of sexual discrimination, in relation to the gender pay gap. The equal pay is governed under the Equality Act of 2010 which gives a right to equal pay between women and men for equal work. This covers individuals in the same employment and includes equality in pay and all other contractual terms.

9.5. RESERVATION FOR WOMEN IN ELECTED BODIES

The original idea for The Women Reservation bill was originated from a constitutional amendment which was passed back in 1993. In 1994, the 73rd and the 74th constitutional amendments act were ratified to the Indian Constitution, granting women 1/3 reservation in rural and urban democratic bodies. The Women's Reservation Bill was initially introduced in the parliament on September 12, 1996. The bill was introduced in Lok Sabha by the United Front government of HD Deve Gowda. The main aim of this bill is to reserve 33 percent seats in Lok Sabha and all state legislative assemblies for women. Reservation Criteria- As per the bill, the seats will be reserved on a rotational basis. The seats would be determined by a draw of lots

in such a way that a seat would only be reserved once in every three consecutive general elections. Again in 1998, NDA-I introduced the bill without any success. Thereafter, the Bill lapsed and was reintroduced – in 1999, in 2002 and 2003. UPA-I government, led by Congress, again introduced the bill to reserve seats for women in Lok Sabha and legislative assemblies in May 2008. After its reintroduction, the bill was passed by Rajya Sabha on March 9, 2010, but was still left pending in Lok Sabha. A few regional parties like and RJD Samajwadi Party (SP) has been one of the vocal opponents for the Women’s Reservation Bill.

Indian Government initiates various programmes and schemes for women’s upliftment through different departments. The government in different plan document enunciated the policies advocating women’s issues. The government also tried to create an environment in which women’s issues can be reflected and articulated.

There is a need for Women's participation in Indian Politics. The Constitution of India guarantees equality for both men and women and the participation of women is crucial in the policy formulation and regulation as they represent nearly half of total population. They could act as role model for women empowerment and could bring behavioural change in the society towards the women. More policies relating to women’s safety, education, child care, MMR, child marriage, domestic violence etc can be framed if women are involved in decision making owing to their emotional quotient towards these issues.

Various studies on Panchayat Raj Institutions have shown the positive effect of reservation on women empowerment. In the absence of gender equality and women empowerment, human rights remain in an inaccessible realm. Patriarchal society confines women to the four walls of domestic life and prohibiting them from process of decision making. Representation in parliament and state legislative assemblies is low. Women’s representation in the Lok Sabha is merely 14%. Normally Women candidates who generally win elections are used as proxy by male members in their family. In many villages of Uttar Pradesh, where women are chiefs of village Panchayat, their husbands introduce themselves as ‘*pradhan pati*’ (husband of the Panchayat chief). It is common all over India.

9.5.1. CHECK YOUR PROGRESS I

1. How many women were elected in 7th Lok Sabha elections?

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2. When the Women’s Reservation Bill was initially introduced in the parliament?

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9.6 REGIONALISM: INTRODUCTION

Regionalism is a major factor in Indian politics like communalism, casteism, religion, linguism etc. Regionalism has been traditionally present in Indian Politics and the federal structure was governed by this factor. However its emergence as a negative factor of Indian Politics has been a post 1947 phenomenon. Constitution makers were very much aware about this and to keep under control the forces of regionalism, they preferred to adopt the unitary spirit with federal structure which called Quasi Federal System. Not unitary like China and Britain neither federal like United States of America. The mixed system was considered a desirable means for channelizing regional forces into the national main stream. Unfortunately, however, the system has not been successful in producing desired results. The emergence and increase of demands for separate independent states out of India, full statehoods has also been demanded for different areas, as well as demands for regional autonomy, and advocacy of regional interests over and above the national interests. All these interests reflect the presence of strong and even dirty and narrow regionalism.

9.6.1. MEANING

To understand regionalism, it is necessary to understand various dimensions of the region. Region as a geographical unit, is delimited from each other. Region as a social system, reflects the relation between different human beings and groups. Regions are an organized cooperation in cultural, economic, political or military fields. Region acts as a subject with distinct identity, language, culture and tradition. Regionalism in its positive sense, It means someone's love for an area where he is living or a particular region which one belongs. It is something natural. To protect and promote the interest of their state is very much natural phenomenon like Punjabi people love and adore their culture, religion, food and their attire. To secure the interest of their state and identity is a natural objective before all inhabitants. If they want to explore these things, nothing is wrong in it. This type of regionalism has to be accepted as a natural feature of Indian Federalism.

In the negative sense, which is prevalent in the present scenario, Regionalism means love for one's own region over and above the interests of other regions or nation as a whole. In this point of view, region is taken to mean a particular territorial area whose inhabitants have close cultural, Socio-economic, linguistic, Historical, Religious and various other links among them and who considered themselves distinct, different from other areas. When people raised narrow and parochial issues which are against the national interest and also opposed the interest of peoples of other regions, it is equivalent to negative and aggressive regionalism. It poses a big threat to the unity and integrity of the nation and weakens the strength of nation as well.

9.7. REGIONALISM IN INDIAN POLITICS

Regionalism plays major role in Indian Politics. It is a big hurdle in the process of national integration and nation building. It continues to plague Indian political system in various forms. Roots of regionalism is in India's multiple variety of languages, cultures, ethnic groups, communities, religions and so on, and encouraged by the regional concentration of those identity markers, and fueled by a sense of regional deprivation. For many centuries, India remained the land of many lands, regions, cultures and traditions. Regionalism has remained the most convincing power in Indian politics ever since independence. It has remained the main basis of many regional political parties which have governed many states since the late 1960s.

1. DEMAND FOR REGIONAL AUTONOMY WITHIN A STATE:

Some states of India demands autonomy and their people are agitating continuously for the cause. India has variety of cultures, languages, and religions which make the people different from each other. Their distinctiveness makes them aware about their identity and they want to end all types of injustice which they feel due to their uniqueness. The genesis of such demands lies in the regional imbalances resulting from an uneven development of some part of some states. In West Bengal, the Gorkhaland demand was based on this principle.

2. DEMANDS FOR SEPARATE STATEHOOD WITHIN THE INDIAN TERRITORY:

After the reorganization of states in 1956, there still continues to be demand for separate statehood in various parts of the country. The rising number of states from 16 in 1956 to 28 states at present tends to confirm this statement. In 1966, Punjab was reorganized into Punjabi speaking Punjab, Hindi speaking Haryana and Hilly areas into Himachal Pradesh. Like Punjab many other states get their statehood.

3. INTER- STATE DISPUTES AS A MANIFESTATION OF REGIONALISM:

The forces of regionalism in India are also visible in the inter-state disputes. For example, the State of Punjab and Haryana still involved in dispute over the issue of transfer of Chandigarh to Punjab and certain areas like Abohar and Fazlika to Haryana. The boundary disputes between Karnataka and Kerala on Kasargod, Rangma reserved forests in Rangapani Area is the matter of dispute between Assam and Nagaland, Hakumari and Jingiran river areas of Garo hills is an issue of clash between Assam and Meghalaya and so on. Dispute over River water between different states reflects regionalism. The states which are parties to these disputes act under the influence of regionalism and each wants to gain over and above the other.

4. SONS OF SOIL PRINCIPLE AS A MANIFESTATION OF REGIONALISM

Principle of Sons of Soil is another popular form of regionalism in India. Different regional political parties strongly support and favor the sons of soil principle. Under this, the states impose residential and domicile restrictions for the state level appointments. This principle has constitutional base and state governments make rules and regulations regarding employments. Special provisions regarding Jammu and Kashmir, Nagaland, Sikkim, Himachal Pradesh and some others have been based upon this principle. This principle reflects narrow regionalism. Many states like Assam, Odisha, Maharashtra, Manipur etc. always demand that 'outsiders' and 'foreigners' should quit their state.

5. AGGRESSIVE REGIONALISM:

In India, the presence of militants, violent and aggressive regionalism in various states like Shiv Sena in Maharashtra, Tamils in Tamil Nadu, Hindu Sena in some Northern Indian States etc, is another example of aggressive regionalism. These Senas came into existence due to regional imbalance which encouraged skilled people to move to other regions. As a result, people belongs to some regions adopt a hostile attitude towards these people and seek protection of their own group interests. They start looking towards the migrants as enemies of their sons of soil. For instance, in 1960, violent anti Bengali riots took place in Assam.

6. LINGUISTIC REGIONALISM

Language is still a formidable basis of regionalism. Language based reorganization of states has been the responsible for development. This policy has been instrumental in setting the stage for the emergence of small states in the Indian Union. In bilingual states, linguistic riots fallout this policy. It also result the violence against linguistic minorities within the state.

9.8. REGIONALISM: CAUSES AND REMEDIES

Regionalism in India is a big threat to the Unity and Integrity to the Nation. It is a big hurdle in the process of development. The presence of narrow regionalism has various reasons. Whereas, in federal system presence of some regionalism is natural but on the other hand aggressive and narrow regionalism slow down the growth of country. The following reasons and solutions can be considered:

Discrimination or Cultural Dominance:

Regionalism could have grown in India, if any state/region had felt that it was being culturally dominated or discriminated against.

Regional Economic Inequality:

Regional economic inequality is a potent time bomb directed against national unity and political stability. But, this potential cause did not take shape of regionalism, because of government steps, which focused on the balanced regional development and fulfilled the aspiration of states.

Regional Imbalance:

Inter- states disparities in income have been become a big reason of regional imbalance. The gap has been widening day by day.

Centre tried to act as big brother of sates:

The centre always acts as big brother in the regional issues. In present time powers have been shrinking in the hands of union and federal structure face severe challenges.

States are being treated unequally due to dirty politics:

Sometimes centre partially distributes the funds and aids of same party ruling states. Due to this reason states feel discriminated and this fact fueled the feeling of regionalism.

Indian History of regionalism:

Regionalization of history, education and culture has been a source of regionalism. The practice of projecting heroes of national movement as Punjabis, Bengalese or Marathees boosts regionalism among the people.

Cultural and Linguistic diversities:

India is a country with various diversities on the basis of language, culture and religion which develops feeling of regionalism because same culture, language and religion have the feeling of belongingness and others are treated as outsiders. On the basis of these differences, political parties provoked them against each other to seek political benefits and instill them with the feeling of regionalism.

REMEDIES:**Bridging of Regional Imbalance:**

Inter-Sate differences in income have been a bitter truth of Indian Politics and it is a sad fact that the gap has been widening. Regional imbalance should be corrected through special remedies and development plans.

Disciplined role of Political Parties:

Almost all the political parties have been guilty of using the regional, sub-regional communal issues for their electoral gains. I must be stopped by them voluntarily since

it strengthens regionalism and add to the problems that these parties inherit at the national level.

Securing of Socio-Economic Justice:

Feeling of Socio-economic injustice among states is the big reason of regionalism it must be checked by the union government. Bihar, Odisha, Madhya Pradesh are some examples of where socio-economic injustice becomes a reason of regionalism. Effective steps should be taken to eliminate the injustice.

Centre should never try to act as a Big Brother of States:

The centre must never be act as big brother rather gives them full authority in their respective jurisdiction and always ready to play a role of arbitrator in their clashes. It should refrain from building up centralism in the name of national unity.

Democratic Federal Constitutionalism: Erosion of democratic institutions has been definitely been a factor of regionalism. The need is for a fair dealing with every state.

Development of a national language:

Linguistic reorganization of states has been a mistake because it strengthens the parochial form of linguistic regionalism. By developing a common national language and through reforms in the educational system, this type of regionalism can be checked from acting as an anti- national force.

Development of a spirit of Cooperative- Competitive Federalism:

To handle the problem of narrow regionalism, we should adopt a Cooperative-Competitive Federalism. Some regional parties operating at the state level definitely act as agents of regionalism. Efforts should be made to develop a spirit of oneness among all and cooperative competitive federalism should be realized.

End the policy of Appeasement: The policy of Appeasement of the minorities by political parties for securing electoral benefits always supports negative regionalism. They must be stopping this practice. They should ignore short term electoral gains in favour of long term national interests.

9.8.1. CHECK YOUR PROGRESS II

1. What do you understand by Sons of Soil?

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2. What was the base of reorganization of Indian State?

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9.9. SUMMARY:

Women are seen as "home makers and care takers" and any deviance from this role is not acceptable in Indian society. Way forward providing quality education to women in the country and awareness about their rights and privileges as mentioned in the Constitution can only be ensured. Once women are appropriately educated, many problems eradicated automatically. Gender-based violence should be addressed on a priority basis to promote gender equality in the social and political arenas. It is imperative to strengthen National Mission of Empowerment of Women functioning and implementation. A critical mass of women in power can bring about transformation in leadership. Just like the recent success of women's movement to enter the sanctum sanctorum of *Dargahs* (religious places belong to Muslim Saints) and Temples, a similar movement needs to begin to increase women's participation in electoral politics.

In the end it can be said that regionalism may be good or bad for a country. Constitution of India under Article-19, gives every citizen a fundamental right to move around and settle down peacefully any part of the country being a citizen of India everyone should respect this fundamental right of every person. This is the need of the hour is to develop all regions of India without any discrimination, through devolution of power to local governments and empowering people for their participation in decision-making. The governments at state level required to find out the substitute resources of energy, source of employment for local people.

9.10. QUESTIONS FOR PRACTICE

9.10.1. LONG ANSWER QUESTIONS

1. Discuss the role of Gender in Indian Politics.
2. Critically examine the impact of Gender on Indian Politics.
3. Describe the Regionalism.
4. What is regionalism? Discuss its causes and effects on Indian Politics.
5. Critically evaluates the concept of regionalism.

9.10.2. SHORT ANSWER QUESTIONS

1. What do mean by gender politics?
2. How many Women got elected in 14th Lok Sabha elections?

3. How many seats are reserved in local bodies?
4. What is regionalism?
5. What is state Autonomy?
6. What is the policy of Appeasement?

9.11. SUGGESSTED READINGS

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BACHELOR ARTS (LIBERAL ARTS)

SEMESTER –IV

COURSE: - INDIAN POLITICAL SYSTEM -II

UNIT 10 EMERGING TRENDS IN INDIAN POLITICS

STRUCTURE

10.0. Learning Objectives

10.1. Key Words

10.2. Introduction

10.3. Meaning of trends in politics

10.3.1 Check Your Progress

10.4. Summary

10.5. Questions for Practice

10.5.1. Long Answer Questions

10.5.2. Short Answer Question

10.6. Suggested Readings

10.0. LEARNING OBJECTIVE

After the completion of this unit you will be able to:

- Understand the meaning of Democracy in its different aspects.
- Identify major problems and challenges being faced by Indian Politics.
- Recognize the corrective measures for improving the Indian Politics.
- Evaluate the strengths and weaknesses of Indian politics.

10.1. KEY WORDS: Trends, politics, political parties, political leaders, Caste, religion

10.2. INTRODUCTION:

Change is the law of nature. No human society can be static rather dynamism is to be universal characteristic. The Indian political arena has witnessed some new characteristics in the 21st century that are not to be truly democratic. The chief characteristic of politics is that its nature keeps on changing with passage of time and situation and this is position of Indian politics. Before and after independence the

nature of Indian politics was different. Since independence numerous trends in Indian politics have emerged from time to time.

10.3. MEANING OF TRENDS IN POLITICS

Politics is a struggle for power. It is a struggle for power and it concerns with what, when and how as political power in society. Whenever, in the game of politics, the means and methods of gaining and maintaining power developed, these are termed as trends of politics of a country. With the passage of time, new situations are emerges in politics .The new trends do not get well established very soon rather they take sufficient time to penetrate in to psyche of the people. The developing trends in politics are known as emerging trends in politics. Some of the emerging trends of Indian politics may be summarized as follow:

1. POSSIBILITY OF RE-EMERGENCE OF SINGLE DOMINANT MULTI- PARTY SYSTEM:-

For a long time, the monopoly of congress remained both at the centre and in the states and this era is known as the era of one party dominance. But, this trend suffered a serious set -back and for some years it was not in practice in our country. From 1989 to 26th may 2014 there remained coalition governments in power. Two alliances that is N.D.A and U.P.A held the sway during this period. But results of 16th Lok Sabha elections announced on 16th May 2014 once again witnessed the re-emergence of one dominate party in multi- party system of India and many regional parties were completely washed out in hunting and three national parties also suffered electoral set back to this extent that they were likely to lose the status of being national parties of the country. They were communist party of India, Bahujan Samaj party and nationalist congress party. All this is an indication of re- emergence of one dominant party in India.

2. INCREASING NUMBER OF REGIONAL POLITICAL PARTIES:-

The number of regional political parties in Indian politics is increasing day by day. Right from the beginning in 1952 the number of state parties was alarming. At the time of 16th Lok Sabha elections the number of state parties was 3000, which were registered with the election commission. Out of them only 56 were given recognition by the election commission. So, there is an urgent need to check the growth of reasons which give rise to the state parties.

3. INCREASING IMPORTANCE OF REGIONAL PARTIES:-

The importance of regional parties has been increasing to the extent that government of more political parties is in power in states than these of national parties. Regional

political parties have started playing an important role in forming the government at the centre since 1989. The regional political parties have been participating in the union government continuously since 1996. Nearly 24 regional political parties joined the government of national democratic alliance led by sh. Atal Behari Vajpayee leader of the Bharatiya Janata party on May 2004 and again in May 2009, 12 regional parties joined the U.P.A formed under the leadership of Dr. Manmohan Singh. The government formed by sh. Narendra Modi on 26 May, 2014 was also a coalition government and some of the regional parties representatives participated in the government.

4. PERSONALITY CULT IN INDIAN POLITICS:

Before independence there were few individuals like Mahatma Gandhi, Pandit Moti Lal Nehru, Pandit Jawaharlal Nehru, Subhas Chandra Bose etc. who were dominating the Indian politics. After the Independence Pandit Jawaharlal Nehru, his daughter Mrs. Indira Gandhi, his grandson Rajiv Gandhi and his wife Sonia Gandhi, her son Rahul Gandhi and her daughter Priyanka Vadhera dominated the Indian politics for a sufficient long time. Leaders like Atal Behari Vajpayee, L.K Advani and other leaders of leftist ideology dominated the electoral politics in India. For the past so many years the factor of personality cult had been dividing, but all of sudden a single individual of Bharatiya Janata Party came to be symbolized with the factor of personality cult. He was none else but sh. Narendra Modi, the present prime minister of the country. The elections to the 16th Lok Sabha revolved around the personality of sh. Narendra Modi. Such a political scenario was created that Modi was everywhere. The people of India could see crowds after crowds crying for Modi and Modi. All this made the elections of the 16th Lok Sabha concentrating on one personality.

5. CHANGING CHARACTER OF MULTI PARTY OPPOSITION:-

Because of too many political parties, votes of people get divided. Under such conditions these candidates who do not have a clear majority come out victorious. In this situation some political parties form the government and other political parties act as an opposition. The opposition possesses a multi-party character in the parliament of India. Though only one political party is recognized officially as an opposition party in the Lok Sabha, but in the reality many political parties act as an opposition. This type of situation weakens the Indian democracy. Because political parties have mutual differences on one point, these parties spend their times less in making constructive criticism of the government and more in pushing one another behind.

6. INCREASING THE ROLE OF CASTE IN POLITICS:-

Casteism has been dominating Indian politics for the last few years. In spite of many laws against casteism, India has experienced a great number of bad effects of

casteism. Politicians use caste feelings to get maximum votes in the general elections. There are many caste-based political parties. The policy of reservation of seats for scheduled castes in legislatures and services also has increased the importance of caste factor in politics. Though in the 16th Lok Sabha elections parties based on caste has suffered heavy loss. But a political party being in favor of Hindus got thumping majority in the Lok Sabha.

7. ROLE OF RELIGION IN POLITICS:-

Religion is also a dominating factor in the Indian politics. There are many political parties which use the religious feelings of the people in elections. Religion based parties cannot lose their political shine with a single stroke. Religion is deeply inscribed in the minds of Indian people and the parties based on these factors shall lose their hold in politics very gradually, if the Indian people work seriously towards that direction.

8. CRIMINALIZATION OF POLITICS:-

Criminalization of the Indian politics is the only major responsible for bad condition of law and order in the country. Such persons are holding offices in political parties against whom there are several cases of criminal scams and rape etc pending in courts. The election commission suggested that person against whom there are criminal cases should not be permitted to contest elections. In spite of this no legal actions could be taken in this regard, because political parties are not unanimous on depriving criminals.

9. ALLIANCE POLITICS:-

Elections in 1989 led to the new trend in Indian politics and era of coalition government started with the elections of 1989, a long phase of coalition politics began in India. Since then, there have been many governments at the centre, all of which have been coalition governments.

10. POLITICAL FALLOUTS:-

1980 onwards the caste based politics dominated Indian politics. In 1989 and 1991, this was the first time in independent India that a political party (BSP) supported by *Dalit* workers had achieved a landmark political success. In many parts of India, *Dalit* politics and OBC politics have developed independently and often in competition with each other.

11. EMERGENCE OF A NEW CONSENSUS:-

Analysis shows that since 1989 election, the votes polled by the two parties, congress and BJP were not more than 50 percent. The political competition during these days is divided between the coalition led by BJP and the coalition led by congress.

12. ISSUES OF DEVELOPMENT AND GOVERNANCE:-

A major change in Indian politics after 2014 is the shift from caste and religion based politics to development and governance oriented politics with its pre-intended goal *Sabka sath, Sabka Vikas*, the NDA III government started several socio-economic welfare schemes to make development and governance accessible to the masses such as Pradhan Mantri Ujjwala Yojana, Swachh Bharat Abhiyan, Jan-Dhan Yojna, Deendyal Upadhyaya Gram Jyoti Yojna, Kisan Fasal Bima Yojna, Beti Padhao, Desh – Badhao etc. All these schemes intended to take administration to the door step of the common mass by making the rural households, particularly the women, real beneficiaries of the centre government schemes.

13. INCREASING ROLE OF MONEY POWER:-

Money power plays an important role in Indian politics. The opposition accuses the ruling party of political corruption. They opine that ruling party, under its political patronage, collects huge sums from business enterprises and industrialists. The ruling parties to accuse the opposition of such allegations. All political parties have spent crores of rupees in last general elections. The increasing powers of money in Indian politics have made the elections a contest for notes than a contest for votes.

14. DECLINE OF LEFTIST PARTIES:-

Today the leftist parties like the communist party of India, Parja socialist, Sayukta samajvadi party, forwarded party and Republican parties are not only declining rather they are becoming irrelevant in Indian politics. They have supported congress led central governments from time to time but they have never joined the government at all. In the states of Kerala and west Bengal they had been ruling parties but in other states of India they had very nominal influence. With the adoption of new economic policies by the government of India the leftist parties have almost lost their relevance. In the 16th general elections the performance of leftist parties was drab.

15. VALUES LESS POLITICS :-

Many critics comment on the nature of Indian politics that the nature of Indian politics is very unnatural and made its point that Indian politics has neither moved on any principles nor ideological direction, rather it is continuously moving where ever its political leaders wanted to move it. They only fulfill their political motives. The

Indian politics has thrown its black face to the present generation that is a politics of scams and scandals.

16. DECLINE OF CONGRESS:-

During late sixties, the dominance of the congress party was challenged, but the congress under the leadership of Indira Gandhi, managed to re-establish its predominant position. After elections of 1989 political development in India initiated. In the era of coalition government at the centre, regional parties played a crucial role in forming ruling alliances.

17. POLITICAL PARTIES BEING NATIONAL ONLY IN THE LEGAL SENSE, BUT NOT REALLY NATIONAL IN THE TECHNICAL SENSE OF THE TERM.

While analysing the political parties of India we, according to the law of the Election Commission, accept those parties as national parties which fulfill the requisite conditions laid down by the Election Commission. Presently in the record of the Election Commission there are six national political parties. They are national because of the fact that the Election Commission had extended its recognition to them as national political parties since they fulfill the criteria laid down by the Election Commission. But in actual practice except Congress no other recognized National Political Party has the wide spread national support base. Congress too do not enjoy mass-support base throughout the country but still it goes in its favour that it makes its existence realized, may be nominal, in almost all parts of the country. The trends of Indian politics establish the fundamental trend concerning political parties is that our politics is in dire need of really and actually national political parties.

18. TENDENCY OF THE POLITICS OF VOTES.

It has been a common trend in the Indian politics that political parties determine their programme to get maximum votes of people. It is necessary for every political party to strive for votes, but when the whole of politics begins to encircle round the votes of people, several matters of national importance are also sacrificed for politics. For the last few years, the Indian politics has been becoming the politics of votes. The nation is facing several important and serious matters. But different political parties, before expressing their view-point regarding those matters, make an estimate what effect their view-point will cast on people. Political parties think that their views should not harm their vote-banks. So they do not express openly and frankly their views and policies on important national matters. We can take the example of Punjab problem. Almost every political party hesitated to express its views openly because it suspected bad effect on its vote-bank. Such a situation was created because our politicians viewed political matters on the basis of their narrow political interests instead of

settling them on the basis of merit. That is why in the present times, Indian politics has become mostly the politics of votes.

19. HUNG PARLIAMENT

It looks as if the factor of Hung Parliament has become an outstanding characteristics of our National Politics. When after the results of general elections to the Lok Sabha no party gets an absolute majority in it, then the Parliament is known as Hung Parliament. In our country from 1989 to 2009 about seven general elections have been arranged, but the result of every general election was a Hung Parliament. It was for the First time after 1989 that the practice of Hung Parliament was discontinued by the results of the elections to the 16th Lok Sabha. Bharatiya Janata Party emerged as a single largest Party in the Lok Sabha and thus the practice of Hung Parliament was discontinued.

20. POLITICS OF APPEASEMENT OF RELIGIOUS MINORITIES

The Parliamentary Democracy exists in India. In this system the party enjoying majority in the Lok Sabha forms the government so every political party desires to win majority in the Lok Sabha. In order to fulfill their desire, political parties try to appease some important religious minorities so that they can get the maximum votes. This policy of appeasement of religious minorities influences the Indian politics on two sides. Firstly, it increases religious fanaticism of religious minorities because they feel that a particular political party shows a particular interest in them because they have special importance in the constituency as a religious minority. This feeling colours their attitude in communalism, Secondly, when majority opposes the policy of appeasement of minorities, the opposition gives power to a minority or minorities to be united on one hand and motivate majority people to be united in the name of religion on the other hand. All this is responsible for communalisation of the Indian politics.

21. COMMUNAL POLITICS OF MINORITIES

Because of their sense of insecurity India is a multi-religious country and here reside several religious minorities. Every religious minority has a great attachment with its religion and culture. Every religious minority has an ardent desire to have a separate identity. Such a desire of religious minorities inspires their members to be united so that they can pressurize the government collectively for the development of interests of people of their respective religions. Such organisations of religious minorities become responsible for communalisation of politics. When different religious based political organisations enter politics, communalisation of politics is quite natural. Clever leaders of religious minorities, for their vested interests, exploit emotionally the religious sentiments of people of their religion. They often propagate that their religion is in danger and religious majority of the country is trying openly or secretly

to eliminate their separate religious and cultural identity. Such a slogan raised by political parties becomes more responsible for communalisation of politics. Religious minorities in India generally take support of religion also to get political benefits for the people.

22. COMMUNAL POLITICS OF MAJORITY COMMUNITY

Indian politics is being communalised to a great extent. The Muslim community is the largest religious community in India and the Congress supports this community so that people of the Muslim community can become a vote-bank of the Congress. Several Hindu organisations treat this policy of the Congress as a policy of appeasement of minorities. The Samajvadi Party in Uttar Pradesh, the Rashtriya Janata Dal in Bihar and several other political parties often make political efforts to appease the Muslims so that they are able to get the maximum votes of this community. On the other hand, there is the Sangha Parivar that tries to excite Hindu communalism and oppose Muslim communalism. The then President of the Bharatiya Janata Party, Sh. Lal Krishna Advani visited Pakistan in June, 2005). In the elections of the 16th Lok Sabha, held in April-May, 2014 the factor of Hindutav played a great role in bringing together all shades of Hindus.

23. DECLINE OF LEFTIST PARTIES

Sometimes before independence there arose a group of socialists within the Congress. After independence the socialists separated themselves from Congress and organized various Leftist Parties. The Communist Party of India (CPI) which came into existence in 1924 and the CPI (Marxist) came into being as a result of split of Communist Party of India. Other leftist parties were Parja Socialist, Sayyukta Samajvadi Party, Forwarded Party and Republican but in the current scenario of Indian politics the leftist parties are not only declining rather they are becoming 'irrelevant in Indian politics. In a poor and backward country like India, the communist parties could not extend their support base throughout India, rather they were mainly confined to the States of Kerala and West Bengal. They had a little influence in Tripura, Assam and some other small eastern states. But at present the leftist parties do not find enough support from the people at large. They have supported Congress-led Central governments from time to time but they have never joined the government at all. In the States of Kerala and West Bengal they had been ruling-parties but in other states of India they had very nominal influence. With the adoption of new economic policies by the government of India the leftist parties have almost lost their relevance. In the elections of the 16th Lok Sabha the performance of the Leftist Parties was uninspiring.

24. THEORY OF "SONS OF THE SOIL" IS GAINING GROUND

India is a federal country having 28 federating states along with the central government. Though our Constitution does not adhere to the theory of "Sons of the soil" but despite it some states have openly adopted it and are adhering to it. The theory of the "sons of the soil" means that a state gives preferential treatment to the natives of that state and sometimes government jobs are reserved only for the born people of those states. Indian politics has been listening to the slogans like "Maharashtra for Maharashtrains, Assam for Assamees, Tamil Nadu for Tamilians etc. Though such slogans have not been fully implemented by the states but in the minds of some people the seeds of regionalism have been sowed very deeply. It may explode at any time when the regional patriotism will overtake the national patriotism. It is a dangerous trend for the unity of India and it is most desirable that this evil should be ripped before it takes a serious turn.

25. DISAPPOINTMENT OF THE YOUNGER GENERATION WITH THE POLITICAL LEADERSHIP OF OLDER GENERATION

With the passage of time a very encouraging trend is developing that the younger generation is getting disappointed with the performance of old generation in politics. The results of elections are indicating that the time is not very far when the young leaders will overtake the old leadership and the old political culture may give the place to newly developed integrated political culture. Sometimes it was a dream but now the emergence of youth leadership in every political party is an indication that the time is not very far when young leadership will come in and the old leadership will have to go out. In the elections, held recently in the various Legislative Assemblies of the states, a new indication has come to the fore that the old leadership is leaving the political power in favour of their sons and daughters.

26. AS USUAL, POLITICS IS DEVOID OF IDEOLOGY

Whenever we come across with a sentence expressing that there is an end of ideology in India, it looks somewhat surprising and painful also. There would have been end of ideology in India if at all the ideology of any kind has ever been an outstanding characteristic of Indian Politics. Since the commencement of our Constitution some of the political parties like Congress, Communist Parties and some Socialist Parties use to clamor for their loyalty and adherence to some ideological principles. But these were merely theoretical principles which were often claimed by these parties as the basis of their formation. Whenever the opportunities came to them they sacrificed their declared ideology and practicing the opportunistic politics they captured political power. We mean to say that in India ideology has practically never been followed by the actors and players of the game of politics. Therefore, there does not seem any logic to say that the end of ideology is an emerging trend of Indian politics. The fact of the matter is that Indian politics, as usual, has been and is devoid of ideological leanings

and the leaders of the Indian politics have become experts in playing the game of opportunistic politics.

27. DEVELOPMENT OF A POLITICAL ALTERNATIVE

It is interesting to note that it was for the first time in the history of Independent India that a Political alternative to the congress has emerged in the Indian Political scene. No doubt Janata Dal once in the seventies posed a challenge to the Congress but that was not a real challenge because Janata Dal was a party of old Congressmen and the party was not united to give an ideological fight to the dominance of congress. Janata Dal could not prove itself as an effective political alternative to the Congress. Soon Janata Dal fell astray into several parts and it could not maintain itself as a political alternative to Congress. Till the 16th Lok Sabha elections, Bharatiya Janata Party was not seriously considered by the Political observers an effective alternative to the Congress, but in the 16th Lok Sabha election Bharatiya Janata Party secured a sweeping victory and proved itself to be an effective political alternative to the congress it was a great Leap of Bharatiya Janata Party, because a party with two members in Lok Sabha in 1984 rose to the position of a ruling party with 282 members in May 2014. Thus in the coming times also this party will prove a serious challenge to the disintegrated Congress growing weaker day by day. This is our presumption and it is the future which shall tell the true story of the issue.

10.3.1. CHECK YOUR PROGRESS 1

1. What do you mean by trends in Indian politics? Why they do arise in every society?

.....
.....
.....

2. Write down the any two emerging trends of Indian politics

.....
.....
.....

3. Mention some trends of Indian politics which have been emerging since long.

.....
.....
.....

10.4. SUMMARY

In the end we conclude that the emerging trends of Indian politics cannot be existed. The Indian politics has entered into a new era where the BJP in prominence for last about 130 years failed to get even so many seats as might had enabled it to be officially recognized as the opposition party. Leader of the congress was not given the

status of the leader of opposition because of party fell short of 10 members of 54. Leftist parties also losing their importance and became a thing of past. The emerging trends are a dynamic phenomenon and may be replaced with the compulsions of the time.

10.5. QUESTIONS FOR PRACTICE

10.5.1. LONG ANSWER QUESTIONS:

1. Evaluate the changing nature of Indian political system.
2. Discuss the emerging trends of Indian political system
3. Mention some trends of Indian political which have been emerging since long
4. What do you mean by trends in politics? Why they do happen in every society?

10.5.2. SHORT ANSWER QUESTIONS:

1. What do you mean by criminalization of politics?
2. Write three emerging trends of Indian politics.
3. What is Value less politics?
4. What is meant by political Fallouts?
5. Write down the important emerging trends in Indian politics.
6. Define the personality cult in Indian politics.

10.6. SUGGESTED READINGS:-

- Peu Ghosh, *Indian Government and Politics*, Raj Press, New Delhi, 2018.
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- Nirja Gopal Jayal, *politics in India*, 'New Delhi' OUP 2010.
- R. Kothari (ed), *Caste in Indian Politics in North India*, London, Cambridge University Press, 1974
- S.S Nanda, *'Indian political System'*, Bright Printers, Jalandhar



ਜਗਤ ਗੁਰੂ ਨਾਨਕ ਦੇਵ
ਪੰਜਾਬ ਸਟੇਟ ਓਪਨ ਯੂਨੀਵਰਸਿਟੀ
ਪਟਿਆਲਾ

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PUNJAB STATE OPEN UNIVERSITY, PATIALA**

(Established by Act No. 19 of 2019 of the Legislature of State of Punjab)

**BACHELOR OF ARTS (LIBERAL ARTS)
CORE COURSE (CC): ENGLISH COMPULSORY**

SEMESTER-IV

EC2B32406T

ENGLISH COMPULSORY-II

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PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

In keeping with the nature of an Open University, this University provides a flexible education system to suit every need. The time given to complete a programme is double the duration of a regular mode programme. Well-designed study material has been prepared in consultation with experts in their respective fields.

The University offers programmes which have been designed to provide relevant, skill-based and employability-enhancing education. The study material provided in this booklet is self-instructional, with self-assessment exercises, and recommendations for further readings. The syllabus has been divided in sections, and provided as units for simplification.

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Prof. Anita Gill
Dean Academic Affairs



BACHELOR OF ARTS (LIBERAL ARTS) CORE COURSE (CC): ENGLISH COMPULSORY

SEMESTER-IV (EC2B32406T): ENGLISH COMPULSORY-II

MAX.MARKS: 100

EXTERNAL: 70

INTERNAL: 30

PASS: 35%

Credits: 6

Objective:

The course is designed to empower the learners with the most sought after 21st century skills i.e., critical thinking and communication skills. In order to enhance the learners' understanding of the functional value of grammar in relevant communicative situations, they would be introduced to the important grammatical concepts too.

INSTRUCTIONS FOR THE CANDIDATES:

Candidates are required to attempt any two questions each from the sections A and B of the question paper and any ten short questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

Section-A

Unit 1: Poetry: On his Blindness by John Milton

The Clod and The Pebble by William Blake

Unit II: Short Stories: Kabuliwallah by Rabindranath Tagore

The Eyes are not Here by Ruskin Bond

Unit III: Short Stories: Grief by Anton Chekov

The Selfish Giant by Oscar Wilde

Unit IV: One-Act Plays: Mother's Day by J.B.Priestley

Riders to the Sea by John Millington Synge

Section-B

Grammar and Vocabulary

Unit V: Types of Sentences: Simple, Compound and Complex

Unit VI: Common Errors

Unit VII: Modals: Can, Could, May, Might, Will, Would, Shall, Should, and Must

Unit VIII: Reading: Comprehension of Unseen Passage

Unit IX: Vocabulary Development-I: Antonyms, One-word Substitutes.

Unit X: Vocabulary Development-II: Idioms and Proverbs

Suggested Readings:

- Best, Wilfred D. The Students' Companion. Harper Collins Publishers, 2020.
- Eastwood, John. Oxford Practice Grammar. OUP, 2000.
- Hosler, Mary Margaret. English Made Easy. Delhi: McGraw, 2013.
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SECTION A

UNIT NO:	UNIT NAME
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SECTION B

UNIT NO:	UNIT NAME
UNIT 5	Types of Sentences: Simple, Compound and Complex
UNIT 6	Common Errors
UNIT 7	Modals: Can, Could, May, Might, Will, Would, Shall, Should, and Must
UNIT 8	Reading: Comprehension of Unseen Passage
UNIT 9	Vocabulary Development-1: Antonyms, One-word Substitutes
UNIT 10	Vocabulary Development-II: Idioms and Proverbs

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

COURSE: ENGLISH COMPULSORY-II

UNIT 1: THE CLOD AND THE PEBBLE; ON HIS BLINDNESS

STRUCTURE

- 1.0 Objectives**
- 1.1 Introduction**
- 1.2 Poem 1: The Clod and the Pebble**
 - 1.2.1 About the author**
 - 1.2.2 Summary**
 - 1.2.3 Analysis of the Poem**
- 1.3 Check your progress-I**
- 1.4 Summing Up**
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- 1.6 Introduction (On His Blindness)**
- 1.7 Poem 2: On his Blindness**
 - 1.7.1 Glossary**
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 - 1.7.3 Summary**
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 - 1.7.5 Sonnet**
- 1.8 Check your Progress- II**
- 1.9 Summing up**
- 1.10 Questions for Practice**
- 1.11 Suggested Readings**

1.0 OBJECTIVES:

After careful reading of this unit, you will be able to:

- Get familiarised by the two literary luminaries named Willaim Blake and John Milton
- analyse the poems
- understand the literary devices used in the poems

1.1 INTRODUCTION:

The Clod and The Pebble is a short yet meaningful poem penned by a pre-Romantic poet named William Blake. It first appeared in his volume Songs of Experience published in 1794. The poem presents two perspectives of love which are completely contrary to each other. Without explicitly stating which perspective is better, the author expresses both the views; one through the Clod and the other through the Pebble.

1.2 TEXT: THE CLOD AND THE PEBBLE

“The Clod and the Pebble”

"Love seeketh not itself to please,
Nor for itself hath any care,
But for another gives its ease,
And builds a Heaven in Hell's despair."
So sung a little Clod of Clay
Trodden with the cattle's feet,
But a Pebble of the brook
Warbled out these metres meet:
"Love seeketh only self to please,
To bind another to its delight,
Joys in another's loss of ease,
And builds a Hell in Heaven's despite."

1.2.1 About the Author



William Blake:

William Blake, not only a great poet of Pre-Romantic age but an accomplished versatile artist, was born in 1757 in London, England. He got recognition as one of the most original of the romantic poets much after his death as he was neglected and his works were dismissed during his own lifetime. Known for his expressiveness and creativity, he has always been admired for his seminal works like lyric poems in Songs of Innocence and Songs of Experience, which combine simple language with complex subject matters. His epic poems, Milton and Jerusalem, that contrasted the canon of classical epic, have always been appreciated by the critics.

Considered to be the greatest English poet after John Milton, William Blake was deeply interested in philosophy and theological (religious) debates. A well-read person, Blake was interested in mysticism (spiritualism) and was hailed as a harbinger of a new era in English poetry, particularly by writing symbolic poetry. He argued that God is both good and evil, which gets combined in human soul. He hated authority of any type and equated child with

nature; free and pure. Blake talks of the conflict between nature and culture, innocence and corruption, imagination and rationality.

1.2.2 Summary of the poem

“The Clod and the Pebble” though appears to be a simple poem in first reading, carries profound meanings. The poem does not give any judgement or jump at any conclusions rather presents two perspectives of love. The first kind of love, as represented by the clod, is based on sacrificing one’s self while the second is based on selfishness, as advocated by the Pebble. The humble Clod thinks love is all about selflessness and generosity for the sake of making others happy, whereas the Pebble presenting a contrary view argues that it’s all about a lover getting what they want—even at the cost of hurting others. The poem doesn’t explicitly say which perspective is better or truer, and each one has its own disadvantages. On one level, then, the poem implies that love is a combination of the two perspectives—a mixture of selflessness and selfishness. The poem could also be read as a kind of warning about the way that love can become a damaging force, by either making people too submissive or, alternatively, too self-interested.

Clod believes that love is all about benevolence and generosity. Love demands nothing from others, its only need is fulfilled in the act of giving love. This idea should not be limited to romantic love; In fact, Clod’s definition of love is according to some Christian ideals. Love is its own reward, the personified Clod says, and people should try to express their love by denying themselves comfort in the service of "comfort" of others.

1.2.3 Analysis of the Poem

The poem ‘The Clod and the Pebble’ was penned by a pre-Romantic poet named William Blake. It first appeared in his 1794 volume Songs of Experience, the companion-piece to his collection Songs of Innocence. The poem stages a conversation between a clod of clay and a pebble to discuss the nature of love.

The simple yet profound poem of twelve lines is divided into three stanzas where stanza one expresses the exclusive views of the humble clod about love, one of the finest emotions in human beings and stanza three brings forth the ideas of the pebble about the same.

1st Stanza

"Love seeketh not itself to please,
Nor for itself hath any care,
But for another gives its ease,
And builds a Heaven in Hell's despair."

‘The Clod and the Pebble’ opens with the positive declaration of love by a lump of clay or clod emphasising it as being completely selfless. It defines love as about giving yourself to someone else that is for others care. Highlighting the positive force of love, the clod emphasises on the

power that love holds to change the 'hell' of despair into a joyous heaven both for the lover and the beloved. The simple rhyme scheme of ABAB used in this first quatrain of the poem lends a free flow and a musical touch to the poem by making it more lyrical and memorable. The use of soft sounds of the opening lines extends support to the idea of love as self-sacrifice. For instance, the /th/ sounds in "seeketh" and "hath," coupled with the sibilance running throughout the lines, gives the lines a hushed quiet as if the poem itself was submitting to some other authority.

2nd Stanza

So sung a little Clod of Clay
Trodden with the cattle's feet,
But a Pebble of the brook
Warbled out these metres meet:

The above given vision of love in stanza one has been presented by the modest clod of clay which is invariably trodden down by the feet of cows and buffaloes. Yet it sings in praise of love as an altruistic force presenting itself as completely selfless and generous. There are multiple layers of personification* at work in the poem- the Clod is personified and is given a voice and the Clod in turn personifies love.

***Personification**, one of the most common forms of metaphors, is a figure of speech which attributes human quality or feeling to a thing or a non-living object. It allows writers to create life and motion within inanimate objects, animals, and even abstract ideas by assigning them recognizable human behaviours and emotions. Blake's strong commitment to the Christian faith is being reflected through the views of the clod which defines love in the lines of typical Christian ideas. Clod voices the similar willingness of sacrifice for love that Jesus made for the sake of love for humanity without the expectation of any reward.

3rd Stanza

"Love seeketh only self to please,
To bind another to its delight,
Joys in another's loss of ease,
And builds a Hell in Heaven's despite."

The idea of love represented in the final quatrain of the poem is expressed through the pebble. Blake's use of pebble's metaphor personifying sternness and authority gets justified when the contrary vision of love being self-centred is presented.

The Pebble in a nearby stream argues against the clod's point of view. It suggests that love is purely selfish. It only knows to please itself, the Pebble says, and to use others emotions for its own advantage is where it seeks pleasure from. It even finds happiness in making people uncomfortable or distressed. Love thus doesn't create any sort of "Heaven," but rather builds its own "Hell".

Just as the Clod represents selflessness in its willingness to be trodden own, so too does the Pebble physically embody its own attitude towards love: it holds strong in the stream and refuses to be moved, making the water travel around it. In other words, it doesn't know what it's like to make selfless sacrifices (unlike the Clod).

The poem doesn't argue that either of these viewpoints is correct, and both have clear downsides. While at first the Clod's viewpoint might seem more morally sound, it also might be taken as overly naive and passive, turning lovers into downtrodden victims without a sense of self or backbone. The Pebble, meanwhile, comes across as perhaps more realistic but also cold and hard-hearted, unwilling to bend and thus forcing the stream to move around it—remaining strong but totally alone in the process. In the end, the poem perhaps suggests that genuine, lasting love is a combination of these two perspectives.

1.3 CHECK YOUR PROGRESS:

Q. 1 Fill in the blanks:

1. The best known collections of poems of Blake were..... and
2. “ builds a hell in heaven’s despite”, says the.....
3. The selfless love is represented by
4. The rhyme scheme in first and third stanza is
5. The poem “The Clod and the Pebble” was published as a part of his collection titled Songs of

1.4 SUMMING UP:

Sr. No	Question	Solution
	What is the poem about?	Two different perspectives on love and/or how to live your life. Risk-taking. Consequences. Experience.
	Main themes	Selfless Love vs Selfish Love (stanza 1 line 1 - stanza 3 line 1)

		<ul style="list-style-type: none"> • Nature used as a setting to illustrate the poet's ideas (stanza 2 lines 1 and 3) • Conflict (of ideas and perspectives) • The challenges of life (stanza 2 line 2) • Fear (of being hurt) • Isolation
	Characters and their point of views	<p>The Clod represents the selfless nature of love</p> <p>The Pebble presents a selfish vision for love.</p>
	Structure of the poem	<p>3 stanzas of 4 lines</p> <ul style="list-style-type: none"> • Rhyme Scheme: ABAB CDED AFAF - (A = the aspects of them that are the same, the "B" and the "F" are the positive and negative perspectives) • Speech marks, full stops at the end of stanzas 1 and 3, and the semi-colon at the end of stanza 2 • Tumbling sentences without punctuation reflect hypnosis and dream
	Literary techniques	<ul style="list-style-type: none"> • Repetition (lines 1 and 9; 3 and 11; 4 and 12) • Personification (Clod and Pebble) • Rhyme

		<ul style="list-style-type: none"> • Contrast (persona, attitude and concept - Heaven and Hell) • Alliteration (line 5) • Linguistic Mirroring (lines 4 and 12) to create a contrast between the two opposing views • Capital letters for "Love", "Clod", "Clay", "Hell", "Heaven"
	Tone of poem	<ul style="list-style-type: none"> • Stanza 1 = optimistic, positive • Stanza 2 = neutral, narrative • Stanza 3 = pessimistic, negative

1.5 QUESTIONS FOR PRACTICE

Q. 1 Write the summary of the Poem “ The Clod and The Pebble”?

Q 2 What is major theme of the poem?

Q 3 What is the author’s perspective on the concept of love?

Q. 2 Write Reference to Context of the given lines:

"Love seeketh only self to please,
To bind another to its delight,
Joys in another's loss of ease,
And builds a Hell in Heaven's despite."

1.6 INTRODUCTION

The poem On His Blindness is an autobiographical sonnet in which he expresses his feelings as a blind person. It was written about 1652, the year Milton became completely blind. The poet thinks, in the beginning, that he will not be able to serve God as his sight is gone. As the poem develops, he begins to believe that God wants him to keep working,

in spite of the fact that his job caused him to lose his sight. In the end, he is assured that he is serving God like the angels who just wait for the orders of God.

The poem has a number of Biblical references that depict Milton's stern belief in God. The poem is written in the Petrarchan rhyme scheme.

1.7 TEXT: ON HIS BLINDNESS

On His Blindness by John Milton

When I consider how my light is spent
Ere half my days in this dark world and wide,
And that one talent which is death to hide
Lodg'd with me useless, though my soul more bent
To serve therewith my Maker, and present
My true account, lest he returning chide,
"Doth God exact day-labour, light denied?"
I fondly ask. But Patience, to prevent
That murmur, soon replies: "God doth not need
Either man's work or his own gifts: who best
Bear his mild yoke, they serve him best. His state
Is kingly; thousands at his bidding speed
And post o'er land and ocean without rest:
They also serve who only stand and wait."

1.7.1 Glossary

- Ere : before
- Doth : to do
- Chide : to scold
- Exact : demand
- Light denied : blind
- Murmur : breathy voice
- O'er : over
- Lodged : to become stuck in a place or position
- Post : to travel quickly
- Fondly : naively, foolishly
- Yoke : a wooden crosspiece that is fastened over the necks of two animals and attached to the plough or cart that they are to pull
- Spent : used up; gone out (blindness)
- Prevent : both to forestall and to predispose

1.7.2 About the Author: John Milton

John Milton was born in London on December 9, 1608, into a middle-class family. He wrote poetry in Latin, Italian and English and prepared to enter the clergy. His extensive

reading included both classical and modern works of religion, science, philosophy, history, politics, and literature. **Milton's 1645 Poems** is a collection, divided into separate English and Latin sections, of John Milton's youthful poetry in a variety of genres, including such notable works as *An Ode on the Morning of Christ's Nativity*, *Comus* and *Lycidas* and is known for his world famous epic *Paradise Lost*. He is considered as the greatest English poet after Shakespeare. It is said that Milton will always be remembered as a great poet of England.

1.7.3 Summary

'On His Blindness' was written in 1655; three years after Milton become completely blind, and was marked by a brooding sense of despondency arising out of his blindness. It was written when Milton was in his forty-fourth year.

The poem can be divided into two parts. In the first half of the poem, he expresses his sadness at the loss of his eye-sight. He finds himself alone in this dark and wide world. God has given him the talent of writing poetry. This gift is lying useless within. He is expressing his unhappiness about the fact that the best part of his life would go waste without producing any work of creative importance. It is like death for him to hide his talent. He fears that God will rebuke him for not using his talent because he wants to serve God with this gift. He grumbles against God and he, thus, raises the question of the justness of God's ways to man in relation to his own loss of sight. He foolishly asks himself whether God demands work from him although the God has made him blind. Thus the first half of the poem reflects the poet's mood of sadness and murmuring.

However, the second part of the poem expresses Milton's feeling of resignation and his undiminished faith in God's justice. He accepts total submission to the will of God. The poet's inner faith consoles him and stops his murmur. He realises that God does not need anyone's praise or work. Those who bear the duties given by God served him best. God only want complete faith in him. Those who patiently serve God and wait for his orders are also his true servants. The sonnet teaches us to be content with our lot in life and also that it is man's duty to stand in readiness to serve God without any complaint or protest.

1.7.4 Theme

The main themes in 'On His Blindness' are loss of vision, religion and obedience. Milton explores the experience of losing his sight and worries about the implications of his blindness in his relationship with God. By referring to the Parable of the Talents, Milton expresses his fear that his blindness will keep him away from working in God's service. The personified Patience proves that God's grace requires nothing of His people but their presence and obedience.

1.7.5 Sonnet

A poem containing fourteen lines, usually iambic pentameter and a complicated rhyme scheme is called a Sonnet. Sonnets can basically be divided into three broad categories:

- a. **Petrarchan Sonnet:** Named after the Italian poet Petrarch, this sonnet typically has two distinct parts: octave (eight verses) following the rhyming scheme *abbaabba*, followed by a sestet (six verses) rhyming *cdecde* or some variant of this scheme. Petrarchan sonnet was quite popular with English poets like Wordsworth, Christina Rossetti, etc. Wordsworth's 'The World is Too Much with Us' is an example of a Petrarchan Sonnet. The octave is traditionally rhymed while the sestet follows the scheme *cdcdcd*.
- b. **Shakespearan Sonnet:** Although Shakespeare did not create this form as the name suggests, it is thus named in honour of its great practitioner. This sonnet typically falls into three quatrains (four verses) with a concluding couplet (two lines), and follows the rhyming scheme of *abab cdcd efef gg*. Refer to his 'That Time of Year...' (sonnet no. 37).
- c. **Spenserian Sonnet:** Named after Edmund Spenser, this form of sonnet varies only in the rhyming scheme that it follows which is continuing in nature: *ababbcbccdcdee*. Sonnets were traditionally written to express love or sexual love but things changed with the coming of John Donne. He used sonnets to explore and express religious feelings and themes. His 'Holy sonnets' are an example of religious sonnets. In the latter part of the Seventeenth century John Milton also used sonnets to express more serious and lofty emotions. The popularity of sonnets waned a little in the Neoclassic Period but regained its popularity and remains a favoured form of poetry even today. In the Nineteenth century eminent poets like William Wordsworth, John Keats, Christina Rossetti, and in the Twentieth century W.B. Yeats, W.H. Auden, and Robert Frost wrote many sonnets. The characteristic feature of these sonnets was that the length of the stanza was just long enough to explore and develop a complex emotion but short enough to pose an artistic challenge to the poet.

A Sonnet sequence or Sonnet cycle refers to a series of sonnets by a single author which are linked together by exploring a common linking theme. These are usually love poems which are an expression of the feelings of the writer, the lover in these poems, and these sonnets reflect the development of love and relationship between the two persons. Shakespeare's sonnets are an example of this sequence which constitutes a kind of development of plot. Wordsworth's 'The River Duddon' and Elizabeth Barrett Browning's 'Sonnets from the Portuguese' are further examples of sonnet sequences.

1.8 CHECK YOUR PROGRESS-II

2. Dear Students, you have just read a marvellous piece of writing penned down by John Milton who braving all his odds did not let his blindness dampen his spirits. Read about the following personalities. The people mentioned here are the ones who earned international fame for their accomplishments in different fields. But they all have one thing in common.
 - a. What is it?
 - b. Write in 50-60 words about them in the form of a paragraph:

Stephen Hawking	Mariyappan Thangavelu
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This British Astrophysicist has written a number of books on science, the most notable being "A Brief History of Time". He lost the voluntary use of his muscles due to a disease.	One of his legs was crushed in an accident, yet this Indian won gold medal in the high jump finals at the 2016 Paralympics.
Nityananda Das He is a one-legged Indian Odissi dancer from Bhubaneswar.	Ludwig van Beethoven This famous German music composer had become almost totally deaf by the age of forty four.

3. Blindfold yourself for two hours immediately after waking up in the morning one day. Do all your routine activities. Can you describe how you felt during those two hours?
4. While travelling to Mumbai you met Sudha Chandran, an acclaimed Bharatnatyam Dancer with an artificial right foot. It was an inspiring moment for you. Share your joy with a friend by writing a letter to him/her.

In your letter write,

- Where and how you met the celebrity.
- About her achievements
- Lesson you have learnt from her journey of life.

1.9 SUMMING UP

Milton is asking himself what purpose he can have in life, now that he is completely blind. He was a deeply religious man and believed that the purpose of life was to serve God, which was what he had always tried to do. This poem is an attempt to analyze the concepts of blindness, sight, light, vision, and obedience with particular reference to his poem, sonnet 18 or 'On his blindness.' It starts with an introduction to John Milton as a poet. After that, it shifts to discuss the concept of Vision or Sight. Then, the study goes on to deal with the concept of obedience. Next, it sheds light on the concepts of Blindness and Light. Afterward, the task moves to close with a conclusion.

1.10 QUESTIONS FOR PRACTICE

1. Discuss the meaning of the closing line, "They also serve who only stand and wait."
2. What moral message does Milton's "On His Blindness" convey?

3. How does Milton console himself at the end of the poem?
4. What is Milton's one talent?
5. What is the attitude of the speaker at the start of the poem on his blindness?
6. What is the summary of the poem?
7. Highlight the theme of the poem.

1.11 SUGGESTED READINGS:

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- Hosler, Mary Margaret. English Made Easy. Delhi: McGraw, 2013.
- McCarthy, Michael & O' Dell. Felicity English Vocabulary in Use. Cambridge University Press, 2009
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**BACHELOR OF LIBERAL ARTS
SEMESTER-IV**

COURSE: ENGLISH COMPULSORY-II

**UNIT 2: SHORT STORIES
KABULIWALLAH BY RABINDRANATH TAGORE
THE EYES ARE NOT HERE BY RUSKIN BOND**

STRUCTURE

2.0 Objectives

2.1 Introduction: Kabuliwallah

2.1.1 Rabindranath Tagore: A Biographical Note

2.1.2 Text

2.1.3 Glossary

2.1.4 Summary

2.1.5 Character Analysis

2.1.6 Theme

2.1.7 Check Your Progress-I

2.2 Introduction: The Eyes Are Not Here

2.2.1 Ruskin Bond: A Biographical Note

2.2.2 Text

2.2.3 Glossary

2.2.4 Summary

2.2.5 Character Analysis

2.2.6 Theme

2.2.7 Check Your Progress-II

2.3 Summing Up

2.4 Suggested Readings

2.5 Questions For Practice

2.5.1 Long Answer Questions

2.5.2 Short Answer Questions

2.0 Objectives

The main objective of a short story is to enable the reader to picture in their mind the images which the writer 'paints'. Since words are strictly limited, characters must be created very quickly. It is for this reason that writers use a 'plunge' technique. The author gets to his/her point much quicker and is more concise with descriptions.

2.1 Introduction: Kabuliwallah

'Kabuliwallah' is a Bengali short story written by Rabindranath Tagore in 1892. Set in the backdrop of Calcutta, the main character of this story is a five year-old-girl, Mini and a Kabul based dry-fruit seller man, Kabuliwallah. Mini is a sweet and talkative girl who loves her father. Every day in their locality a Kabul based man; Rahman comes to sell the dry-fruits. The little Mini first get afraid because of the huge bag and robe but slowly she turns to be his friend. During all these, Kabuliwallah get arrested for the murder and sentenced to the jail for many years. After many years, Kabuliwallah comes to meet the mini who is now the bride. Mini does not recognize Rahman, who realizes that his own daughter must have forgotten him too. Mini's father set aside a portion of the wedding expenses like for lights etc in order to arrange 100 rupees for Rahman. In a way, they could sympathize with the plight of another parent longing for his long-separated daughter.

2.1.1 Rabindranath Tagore: A Biographical Note

Rabindranath Tagore was a famous Bengali polymath who reshaped Bengali literature and music. He is called as 'Gurudev' and his songs are popularly known as 'Rabindrasangeet'. He was born in 7 May, 1861 at the city of Kolkata. His Father was Dabendranath Tagore and mother was Sarada Devi. He was the youngest of his parent's fourteen children. Tagore wrote his first poem when he was only eight years old. Tagore published his first large poetry collection in 1877, when he was sixteen. He was a poet, novelist, theorist, painter, music composer and a true Indian and Bengali by heart, author of Gitanjali for which he became the first non-European to win the Nobel Prize in Literature in 1930. Tagore was the only person to have written anthems for two countries; India and Bangladesh. The national anthem of Sri Lanka was inspired by his work. Tagore wrote around 2,230 songs, 2,500 paintings and drawings. Tagore is most widely known for his poetry, but he was also an accomplished author of novels, short stories, plays and articles. He died at August 7, 1941 in Kolkata at the age of eighty.

2.1.2 Text

My five years' old daughter Mini cannot live without chattering. I really believe that in all her life she has not wasted a minute in silence. Her mother is often vexed at this, and would stop her prattle, but I would not. To see Mini quiet is unnatural, and I cannot bear it long. And so my own talk with her is always lively.

One morning, for instance, when I was in the midst of the seventeenth chapter of my new novel, my little Mini stole into the room, and putting her hand into mine, said: "Father! Ram Dayal the doorkeeper calls a crow a krow! He doesn't know anything, does he?"

Before I could explain to her the differences of languages in this world, she was embarked on the full tide of another subject. "What do you think, Father? Bhola says there is an elephant in the clouds, blowing water out of his trunk, and that is why it rains!"

And then, darting off anew, while I sat still making ready some reply to this last saying, "Father! what relation is Mother to you?"

"My dear little sister in the law!" I murmured involuntarily to myself, but with a grave face contrived to answer: "Go and play with Bhola, Mini! I am busy!"

The window of my room overlooks the road. The child had seated herself at my feet near my table, and was playing softly, drumming on her knees. I was hard at work on my seventeenth chapter, where Protrap Singh, the hero, had just caught Kanchanlata, the heroine, in his arms, and was about to escape with her by the third story window of the castle, when all of a sudden Mini left her play, and ran to the window, crying, "A Kabuliwallah! a Kabuliwallah!" Sure enough in the street below was a Kabuliwallah, passing slowly along. He wore the loose soiled clothing of his people, with a tall turban; there was a bag on his back, and he carried boxes of grapes in his hand.

I cannot tell what were my daughter's feelings at the sight of this man but she began to call him loudly. "Ah!" I thought, "he will come in, and my seventeenth chapter will never be finished!" At which exact moment the Kabuliwallah turned, and looked up at the child. When she saw this, overcome by terror, she fled to her mother's protection, and disappeared. She had a blind belief that inside the bag, which the big man carried, there were perhaps two or three other children like her. The pedlar meanwhile entered my doorway, and greeted me with a smiling face.

So precarious was the position of my hero and my heroine that my first impulse was to stop and buy something, since the man had been called. I made some small purchases, and a conversation began about Abdur Rahman, the Russians, the English, and the Frontier Policy. As he was about to leave, he asked: "And where is the little girl, sir?"

And I, thinking that Mini must get rid of her false fear, had her brought out.

She stood by my chair, and looked at the Kabuliwallah and his bag. He offered her nuts and raisins, but she would not be tempted, and only clung the closer to me, with all her doubts increased.

This was their first meeting.

One morning, however, not many days later, as I was leaving the house, I was startled to find Mini, seated on a bench near the door, laughing and talking, with the great Kabuliwallah at her feet. In all her life, it appeared; my small daughter had never found so patient a listener, save her father. And already the corner of her little sari was stuffed with almonds and raisins, the gift of her visitor, "Why did you give her those?" I said, and taking out an eight-anna bit, I handed it to him. The man accepted the money without demur, and slipped it into his pocket.

Alas, on my return an hour later, I found the unfortunate coin had made twice its own worth of trouble! For the Kabuliwallah had given it to Mini, and her mother catching sight of the bright round object, had pounced on the child with: "Where did you get that eight-anna bit?"

"The Kabuliwallah gave it me," said Mini cheerfully.

"The Kabuliwallah gave it you!" cried her mother much shocked. "Oh, Mini! how could you take it from him?"

I, entering at the moment, saved her from impending disaster, and proceeded to make my own inquiries.

It was not the first or second time, I found, that the two had met. The Kabuliwallah had overcome the child's first terror by a judicious bribery of nuts and almonds, and the two were now great friends.

They had many quaint jokes, which afforded them much amusement. Seated in front of him, looking down on his gigantic frame in all her tiny dignity, Mini would ripple her face with laughter, and begin: "O Kabuliwallah, Kabuliwallah, what have you got in your bag?"

And he would reply, in the nasal accents of the mountaineer: "An elephant!" Not much cause for merriment, perhaps; but how they both enjoyed the witticism! And for me, this child's talk with a grown-up man had always in it something strangely fascinating.

Then the Kabuliwallah, not to be behindhand, would take his turn: "Well, little one, and when are you going to the father-in-law's house?"

Now most small Bengali maidens have heard long ago about the father-in-law's house; but we, being a little new-fangled, had kept these things from our child, and Mini at this question must have been a trifle bewildered. But she would not show it, and with ready tact replied: "Are you going there?"

Amongst men of the Kabuliwallah's class, however, it is well known that the words father-in-law's house have a double meaning. It is a euphemism for jail, the place where we are well cared for, at no expense to ourselves. In this sense would the sturdy pedlar take my daughter's question. "Ah," he would say, shaking his fist at an invisible policeman, "I will thrash my father-in-law!" Hearing this, and picturing the poor discomfited relative, Mini would go off into peals of laughter, in which her formidable friend would join.

These were autumn mornings, the very time of year when kings of old went forth to conquest; and I, never stirring from my little corner in Calcutta, would let my mind wander over the whole world. At the very name of another country, my heart would go out to it, and at the sight of a foreigner in the streets, I would fall to weaving a network of dreams, –the mountains, the glens, and the forests of his distant home, with his cottage in its setting, and the free and independent life of far-away wilds.

Perhaps the scenes of travel conjure themselves up before me, and pass and repast in my imagination all the more vividly, because I lead such a vegetable existence, that a call to travel would fall upon me like a thunderbolt.

In the presence of this Kabuliwallah, I was immediately transported to the foot of arid mountain peaks, with narrow little defiles twisting in and out amongst their towering heights. I could see the string of camels bearing the merchandise, and the company of turbaned merchants, carrying some of their queer old firearms, and some of their spears, journeying downward towards the plains. I could see – but at some such point Mini's mother would intervene, imploring me to "beware of that man."

Mini's mother is unfortunately a very timid lady. Whenever she hears a noise in the street, or sees people coming towards the house, she always jumps to the conclusion that they are either thieves, or drunkards, or snakes, or tigers, or malaria or cockroaches, or caterpillars, or an English sailor. Even after all these years of experience, she is not able to overcome her terror. So she was full of doubts about the Kabuliwallah, and used to beg me to keep a watchful eye on him.

I tried to laugh her fear gently away, but then she would turn round on me seriously, and ask me solemn questions.

Were children never kidnapped?

Was it, then, not true that there was slavery in Kabul?

Was it so very absurd that this big man should be able to carry off a tiny child?

I urged that, though not impossible, it was highly improbable. But this was not enough, and her dread persisted. As it was indefinite, however, it did not seem right to forbid the man the house, and the intimacy went on unchecked.

Once a year in the middle of January Rahman, the Kabuliwallah, was in the habit of returning to his country, and as the time approached he would be very busy, going from house to house collecting his debts. This year, however, he could always find time to come and see Mini. It would have seemed to an outsider that there was some conspiracy between the two, for when he could not come in the morning; he would appear in the evening.

Even to me it was a little startling now and then, in the corner of a dark room, suddenly to surprise this tall, loose-garmented, much debagged man; but when Mini would run in smiling, with her, "O! Kabuliwallah! Kabuliwallah!" and the two friends, so far apart in age, would subside into their old laughter and their old jokes, I felt reassured.

One morning, a few days before he had made up his mind to go, I was correcting my proof sheets in my study. It was chilly weather. Through the window the rays of the sun touched my feet, and the slight warmth was very welcome. It was almost eight o'clock, and the early pedestrians were returning home, with their heads covered. All at once, I heard uproar in the street, and, looking out, saw Rahman being led away bound between two policemen, and behind them a crowd of curious boys. There were blood-stains on the clothes of the Kabuliwallah, and one of the policemen carried a knife.

Hurrying out, I stopped them, and enquired what it all meant. Partly from one, partly from another, I gathered that a certain neighbor had owed the pedlar something for a Rampuri shawl, but had falsely denied having bought it, and that in the course of the quarrel, Rahman had struck him. Now in the heat of his excitement, the prisoner began calling his enemy all sorts of names, when suddenly in a verandah of my house appeared my little Mini, with her usual exclamation: "O Kabuliwallah! Kabuliwallah!" Rahman's face lighted up as he turned to her. He had no bag under his arm today, so she could not discuss the elephant with him. She at once therefore proceeded to the next question: "Are you going to the father-in-law's house?" Rahman laughed and said: "Just where I am going, little one!" Then seeing that the reply did not amuse the child, he held up his fettered hands. "Ali," he said, "I would have thrashed that old father-in-law, but my hands are bound!"

On a charge of murderous assault, Rahman was sentenced to some years' imprisonment.

Time passed away, and he was not remembered. The accustomed work in the accustomed place was ours, and the thought of the once-free mountaineer spending his years in prison seldom or never occurred to us. Even my light-hearted Mini, I am ashamed to say, forgot her old friend.

New companions filled her life. As she grew older, she spent more of her time with girls. So much time indeed did she spend with them that she came no more, as she used to do, to her father's room. I was scarcely on speaking terms with her.

Years had passed away. It was once more autumn and we had made arrangements for our Mini's marriage. It was to take place during the Puja Holidays. With Durga returning to Kailas, the light of our home also was to depart to her husband's house, and leave her father's in the shadow.

The morning was bright. After the rains, there was a sense of ablution in the air, and the sun-rays looked like pure gold. So bright were they that they gave a beautiful radiance even to the sordid brick walls of our Calcutta lanes. Since early dawn to-day the wedding-pipes had been sounding, and at each beat my own heart throbbed. The wail of the tune, Bhairavi, seemed to intensify my pain at the approaching separation. My Mini was to be married to-night.

From early morning noise and bustle had pervaded the house. In the courtyard the canopy had to be slung on its bamboo poles; the chandeliers with their tinkling sound must be hung in each room and verandah. There was no end of hurry and excitement. I was sitting in my study, looking through the accounts, when someone entered, saluting respectfully, and stood before me. It was Rahman the Kabuliwallah. At first I did not recognize him. He had no bag, nor the long hair, nor the same vigour that he used to have. But he smiled, and I knew him again.

"When did you come, Rahman?" I asked him.

"Last evening," he said, "I was released from jail."

The words struck harsh upon my ears. I had never before talked with one who had wounded his fellow, and my heart shrank within itself, when I realised this, for I felt that the day would have been better-omened had he not turned up.

"There are ceremonies going on," I said, "and I am busy. Could you perhaps come another day?"

At once he turned to go; but as he reached the door he hesitated, and said: "May I not see the little one, sir, for a moment?" It was his belief that Mini was still the same. He had pictured her running to him as she used, calling "O Kabuliwallah! Kabuliwallah!" He had imagined too that they would laugh and talk together, just as of old. In fact, in memory of former days he had brought, carefully wrapped up in paper, a few almonds and raisins and grapes, obtained somehow from a countryman, for his own little fund was dispersed.

I said again: "There is a ceremony in the house, and you will not be able to see anyone to-day." The man's face fell. He looked wistfully at me for a moment, said "Good morning," and went out. I felt a little sorry, and would have called him back, but I found he was returning of his

own accord. He came close up to me holding out his offerings and said: "I brought these few things, sir, for the little one. Will you give them to her?"

I took them and was going to pay him, but he caught my hand and said: "You are very kind, sir! Keep me in your recollection. Do not offer me money!—You have a little girl; I too have one like her in my own home. I think of her, and bring fruits to your child, not to make a profit for myself."

Saying this, he put his hand inside his big loose robe, and brought out a small and dirty piece of paper. With great care he unfolded this, and smoothed it out with both hands on my table. It bore the impression of a little hand. Not a photograph. Not a drawing. The impression of an ink-smeared hand laid flat on the paper. This touch of his own little daughter had been always on his heart, as he had come year after year to Calcutta, to sell his wares in the streets.

Tears came to my eyes. I forgot that he was a poor Kabuli fruit-seller, while I was—but no, what was I more than he? He also was a father. That impression of the hand of his little Parbati in her distant mountain home reminded me of my own little Mini.

I sent for Mini immediately from the inner apartment. Many difficulties were raised, but I would not listen. Clad in the red silk of her wedding-day, with the sandal paste on her forehead, and adorned as a young bride, Mini came, and stood bashfully before me.

The Kabuliwallah looked a little staggered at the apparition. He could not revive their old friendship. At last he smiled and said: "Little one, are you going to your father-in-law's house?" But Mini now understood the meaning of the word "father-in-law," and she could not reply to him as of old. She flushed up at the question, and stood before him with her bride-like face turned down.

I remembered the day when the Kabuliwallah and my Mini had first met, and I felt sad. When she had gone, Rahman heaved a deep sigh, and sat down on the floor. The idea had suddenly come to him that his daughter too must have grown in this long time, and that he would have to make friends with her anew. Assuredly he would not find her, as he used to know her. And besides, what might not have happened to her in these eight years?

The marriage-pipes sounded, and the mild autumn sun streamed round us. But Rahman sat in the little Calcutta lane, and saw before him the barren mountains of Afghanistan.

I took out a bank-note, and gave it to him, saying: "Go back to your own daughter, Rahman, in your own country, and may the happiness of your meeting bring good fortune to my child!"

Having made this present, I had to curtail some of the festivities. I could not have the electric lights I had intended, nor the military band, and the ladies of the house were despondent at it.

But to me the wedding feast was all the brighter for the thought that in a distant land a long-lost father met again with his only child.

2.1.3 Glossary

Vexed	: annoyed, frustrated
Chattering	: chat, talk, gossip
Embarked	: begin, start
Darting	: look suddenly and rapidly in a particular direction
Anew	: again, once more
Murmured	: complain, grumble
Contrived	: artificial, pretended
Pedlar	: street trader
Precarious	: uncertain, insecure
Clung	: hold tightly
Demur	: objection, protest
Merriment	: cheerfulness, exuberance
Bewildered	: puzzled, confused
Euphemism	: understatement
Formidable	: frightening, alarming
Glens	: a narrow valley
Conjure	: force someone to do something
Dread	: Fearful
Persisted	: remain, keep on
Conspiracy	: plan, scheme
Sordid	: dirty, muddy
Canopy	: cover
Vigour	: effort, strength
Clad	: dressed
Despondent	: discouraged, downhearted

2.1.4 Summary

The story ‘Kabuliwallah’ is written by Rabindranath Tagore and narrated by the father of a five-year-old Mini. Rabindranath Tagore is one of the literary genius of Bengali and English

writings. Kabuliwallah is his famous short story. In this short story the characters such as Kabuliwallah 'Rahman' and the little girl 'Mini' played a great role.

The story opens with the narrator talking about his precocious five-year-old daughter Mini, who learned how to talk within a year of being born and practically hadn't stopped talking since. Her mother often tells her to be quiet, but her father prefers to let her talk, so she talks to him often. One day while the narrator is busy in writing his book, Mini starts crying out "Kabuliwallah, Kabuliwallah!" The man she is shouting about is an Afghan in baggy clothes and carrying boxes of grapes. Mini becomes afraid that the Kabuliwallah actually carries children in his bags, so she runs away, but a few days later; narrator finds that Mini is sitting and talking with the Kabuliwallah. He has given her some grapes and pistachios, so the narrator gives the Kabuliwallah half a rupee. Later, Mini's mother finds her with the half-rupee and asks where she got it, and is displeased to hear she took money from the man.

Mini and the Kabuliwallah develop a close relationship, spending time together every day joking around and talking. The narrator enjoys talking to the Kabuliwallah too, asking him about his home country of Afghanistan, and all about his travels. But Mini's mother is alarmed by her daughter's closeness with the man, worrying that he might try to abduct Mini. The narrator does not agree that there is any danger.

Every year in the middle of the month of Magh, the Kabuliwallah returns home. Before making the trip, he goes around collecting money he is owed. But this year, the Kabuliwallah gets in a scuffle with a man who owes him money and ends up stabbing him. This lands him in jail for the next several years, during which Mini grows up and starts enjoying the company of girls her age. The narrator more or less forgets about the Kabuliwallah.

After his release from the jail, the Kabuliwallah went to Mini's house to meet her. Without a bag or his long hair, he is barely recognizable to the narrator, but he eventually welcomes him in. Mini's father was not happy to see the Kabuliwallah on that day and considered it inauspicious to let him see Mini. He persuaded the Kabuliwallah to go away. Before going away, the Kabuliwallah left a few grapes and raisins for Mini. The Kabuliwallah pulls a small piece of paper out of his coat pocket and shows it to the narrator. It has a handprint in ash and he explains that he has a daughter back home in Afghanistan and that Mini helps him deal with the heartache of being so far from her. Narrator filled with pity for the Kabuliwallah and called Mini. When the Kabuliwallah saw Mini in her bridal dress, he was surprised to find a young woman he could not recognise. Mini was embarrassed when she thought of their long-forgotten companionship and shied away. The Kabuliwallah found it extremely difficult to reconcile with

the reality. He leaves the place with tears in his eyes and also decides to return home. However, Mini's father gave him money for travelling back to his country so he had a chance to see his own daughter. The narrator is uneasy, thinking about how the Kabuliwallah is the only would-be murderer he's ever known, and tells the visitor to leave. But shortly after, the Kabuliwallah returns, bringing a gift of grapes and pistachios for Mini. The narrator doesn't tell him that it's her wedding today, but simply repeats that there's an engagement at their house and he must go. But the Kabuliwallah pulls a small piece of paper out of his coat pocket and shows it to the narrator. It has a handprint in ash and he explains that he has a daughter back home in Afghanistan and that Mini helps him deal with the heartache of being so far from her. The narrator is touched and gets Mini. Mini comes down wearing her wedding clothes, which startles the Kabuliwallah. The wedding sight fills him with a deep nostalgia and he realises that it is also time for his daughter also to get settled in her life.

2.1.5 Character Analysis

Characterization is the use of literary techniques to create a character. Writers use three major techniques to create characters: direct description, portrayal of characters' behavior, and representations of characters' internal states. In this story we have three major characters, one minor character and one passive character.

The Kabuliwallah

The Kabuliwallah is an Afghan Vendor, who comes every year from far-off Afghanistan to sell his ferrying items to India. He is first seen wearing "dirty baggy clothes," which indicates that he is from a lower class. The narrator treats him with suspicion until the man makes friends with the narrator's five-year-old daughter, Mini. Rahman bribes Mini with pistachios to talk to him at first, but He developed a very close friendship with her. He visits the narrator's house every day and brings Mini more nuts, fruits, and raisins and has stock conversation with her. Occasionally, he also talks with the narrator about Afghanistan and what life is like there. He was jailed for stabbing an confessing debtor, and was jailed for twelve years. When Rahman is released from jail and goes straight to the narrator's home to see Mini again, but is shocked to see that she has grown up. This reminds Rahman that his own daughter, Parvati , who still lives in Afghanistan, will have grown up and become a different person and decides to go back to Afghanistan.

Mini

Mini is the only child of the narrator and his wife. She is a very young girl, who plays an important role in the first part of the story. She is a chatty and curious girl, who wants to know

everything and a justification for everything. Whereas her talkative nature is not liked by her mother.

On the other hand, when she meets Kabuliwallah she was different and not as expected. With the Kabuliwallah, she had her own little jokes to share and was shy at first to talk to Kabuliwallah. When the Kabuliwallah is arrested by the police she had her last conversation with him. After years when on the day of her marriage, she meets Kabuliwallah and is shy and is pink due to shyness. Therefore, with her silence, we notice the change in her that from the most talkative girl she is changed into disciplined women.

The Narrator/ Mini's Father

Mini's father is a major character in the story. He is an author by profession. He is a loving father and is quite patient with his daughter. He does not stop her prattle but joins her and has a lively talk with her.

The narrator has good imagination. He writes romantic adventures, as we learn from the contents of his new novel that he is writing. Also, whenever he sees a foreigner, he starts imagining the free and independent life in the distant wilds, mountains, the glens and the forests. He is extremely generous and benevolent. When he gets to know how the Kabuliwallah has remained separated from his daughter for so long, he gives him money by cutting down on the wedding expenses of his daughter, so that he could go back to his country and meet his daughter.

Mini's Mother

Mini's mother is a typical housewife from the aristocratic Bengali family. She is a very timid lady. Whenever she hears a noise in the street, or sees people coming towards the house, she always jumps to the conclusion that they are thieves, robbers, or drunkards. She is paranoid about the Kabuliwallah relationship with mini. She is a significant character in the sense that her superstition about the intentions of Kabuliwallah leads a touch of suspense in the story.

Parvati

The narrator refers to Rahman's daughter back in Afghanistan as "his little mountain-dwelling Parvati," suggesting that that's her name. Rahman only mentions his daughter at the end of the story when he reveals to the narrator that he always carries around a paper with her handprint on it to remind him of her. Mini also reminds Rahaman of Parvati, which is why he makes such an effort to get to know her. Mini becomes a stand-in for Parvati, and the interactions between Rahman and Mini closely resemble a father-daughter relationship. Although she does not make an appearance in the story, Parvati is the reason that the narrator is able to finally form a real, meaningful connection with Rahman.

2.1.6 Theme

Theme is the matter or content of a literary work. The subject matter of this story is very emotional but it has been rendered in a simple and elegant style. The story 'Kabuliwallah' explores mainly two themes; the father-daughter relationship and no bound for a friendship. In the story, we encounter three examples of this filial affection—the narrator and his daughter Mini; the Kabuliwallah "Abdur Rahman" and Mini; and Kabuliwallah and his own daughter in Afghanistan. The narrator loves Mini so deeply. When Mini asks him different strange questions, he remains very patient and tries to give Mini's answer, even when he is working on his novel. In this story, Kabuliwallah comes to India every year to sell dry-fruits and to meet this girl named Mini. He is not Mini's father, he is just a travelling seller, but he always talks to Mini in smile and he also gives Mini gifts and warm regards. The Kabuliwallah encountered a physical confrontation with a person while collecting debts and that's what led the Kabuliwallah to end up in jail. After several years, the Kabuliwallah comes out from prison, the first thing he does is visit Mini. Rahman has a biological daughter 'Parvati', but he cannot go back to his home town. He loves his daughter but cannot meet her. Therefore, to some extent he treats Mini just as his own daughter. Though these two fathers belong to different classes, religions and regions but they pay equal affection to their daughters.

The other theme of the story is 'friendship has no bounds'. Rahman is a grown man and Mini is a little girl. He is an Afghan and she is an Indian, he is an Islamic and she is a Buddhist but they are close friends who always laugh together with their individual jokes. People do not always require familiar things to become friends.

2.1.7 Check Your Progress-I

- a. In which language 'Kabuliwallah' was originally written?
- b. Who is the narrator of the story?
- c. What is the name of the daughter of Kabuliwallah?
- d. Why Kabuliwallah get imprisoned?

2.2 INTRODUCTION: THE EYES ARE NOT HERE

The Eyes are not here (also known as 'The Girl on The Train' and 'The Eyes Have It') is a short story by Ruskin Bond that was originally published in contemporary Indian English stories. It is a marvelous short story in which Ruskin Bond has used first person narrative technique. **The story reveals that people with eyes do not seem to see properly while the**

blind can sense much more than those who can see. The narrator of the story is a blind man, whose eyes are sensitive only to light and darkness. The irony lies in the fact that the narrator of the story learns that his co-passenger was blind only after she had got off the train. There is pathos and irony in the situation. Bond offers us the irony in the ending, adding to the effect of the whole story on the reader.

2.2.1 Ruskin Bond: A Biographical Note

Ruskin Bond was born on 19 May 1934 to British father Alexander Bond and Anglo-Indian mother Edith Clarke in Kasauli. He wrote one of his first short stories, “Untouchable” at the age of sixteen in 1951. He went to United Kingdom for higher education. In London, he wrote his first novel in 1956, “The Room on the Roof” at the age of seventeen and received the John Llewellyn Rhys Prize in 1957. He did various jobs for his living and later returned to India. He sustained himself financially by writing short stories and poems for newspapers and magazines in India. He has written over 500 short stories, essays and novellas (including Vagrants in the Valley and A Flight of Pigeons) and more than forty books for children. He was awarded the Sahitya Award in 1992 for his English novel “Our Trees Still Grow in Dehra”, the Padma Shri in 1999 and the Padma Bhushan in 2004. At present, he is living with his adopted family in Landour, Mussoorie, India.

2.2.2 Text

I had the train compartment to myself up to Rohana, then a girl got in. The couple who saw her off was probably her parents. They seemed very anxious about her comfort and the woman gave the girl detailed instructions as to where to keep her things, when not to lean out of windows, and how to avoid speaking to strangers.

They called their goodbyes and the train pulled out of the station. As I was totally blind at the time, my eyes sensitive only to light and darkness, I was unable to tell what the girl looked like. But I knew she wore slippers from the way they slapped against her heels.

It would take me some time to discover something about her looks and perhaps I never would. But I liked the sound of her voice and even the sound of her slippers.

'Are you going all the way to Dehra? I asked.

I must have been sitting in a dark corner because my voice startled her. She gave a little exclamation and said, I didn't know anyone else was here.

‘Well, it often happens that people with good eyesight fail to see what is right in front of them. They have too much to take in, I suppose. Whereas people who cannot see (or see very little) have to take in only the essentials, whatever registers tellingly on their remaining senses.

I didn't see you either,' I said. 'But I heard you come in.'

I wondered if I would be able to prevent her from discovering that I was blind. Provided I keep to my seat, I thought, it shouldn't be too difficult. The girl said, I am getting off at Saharanpur. My aunt is meeting me there.'

"Then I had better not get too familiar/ I replied.' Aunts are usually formidable creatures.'

'Where are you going?' she asked.

'To Dehra and then to Mussoorie.'

'Oh, how lucky you are. I wish I were going to Mussoorie. I love the hills. Especially in October.'

'Yes, this is the best time,' I said, calling on my memories. "The hills are covered with wild dahlias, the sun is delicious, and at night you can sit in front of a log fire and drink a little brandy. Most of the tourists have gone and the roads are quiet and almost deserted. Yes, October is the best time.'

She was silent. I wondered if my words had touched her or whether she thought me a romantic fool. Then I made a mistake.

'What is it like outside?' I asked.

She seemed to find nothing strange in the question. Had she noticed already that I could not see? But her next question removed my doubts.

'Why don't you look out of the window?' she asked.

I moved easily along the berth and felt for the window ledge. The window was open and I faced it, making a pretence of studying the landscape. I heard the panting of the engine, the rumble of the wheels, and, in my mind's eye I could see telegraph posts flashing by.

'Have you noticed,' I ventured, 'that the trees seem to be moving while we seem to be standing still?'

"That always happens,' she said. 'Do you see any animals?'

'No,' I answered quite confidently. I knew that there were hardly any animals left in the forests near Dehra.

I turned from the window and faced the girl and for a while we sat in silence.

'You have an interesting face,' I remarked. I was becoming quite daring but it was a safe remark. Few girls can resist flattery. She laughed pleasantly—a clear, ringing laugh.'

It's nice to be told I have an interesting face. I'm tired of people telling me I have a pretty face.

'Oh, so you do have a pretty face, thought I. And aloud I said: 'Well, an interesting face can also be pretty.'

'You are a very gallant young man/ she said. 'But why are you so serious?'

I thought, then, that I would try to laugh for her, but the thought of laughter only made me feel troubled and lonely.

'We'll soon be at your station/ I said.

'Thank goodness it's a short journey. I can't bear to sit in a train for more than two or three hours.'

Yet I was prepared to sit there for almost any length of time, just to listen to her talking. Her voice had the sparkle of a mountain stream. As soon as she left the train she would forget our brief encounter. But it would stay with me for the rest of the journey and for some time after. The engine's whistle shrieked the carriage wheels changed their sound and rhythm; the girl got up and began to collect her things. I wondered if she wore her hair in a bun or if it was plaited. Perhaps it was hanging loose over her shoulders. Or was it cut very short?

The train drew slowly into the station. Outside, there was the shouting of porters and vendors and a high-pitched female voice near the carriage door. That voice must have belonged to the girl's aunt.

'Goodbye/ the girl said.

She was standing very close to me. So close that the perfume from her hair was tantalizing. I wanted to raise my hand and touch her hair but she moved away. Only the scent of perfume still lingered where she had stood.

There was some confusion in the doorway. A man, getting into the compartment, stammered an apology. Then the door banged and the world was shut out again. I returned to my berth. The guard blew his whistle and we moved off. Once again I had a game to play and a new fellow traveller.

The train gathered speed, the wheels took up their song, and the carriage groaned and shook. I found the window and sat in front of it, staring into the daylight that was darkness for me. So many things were happening outside the window. It could be a fascinating game guessing what went on out there.

The man who had entered the compartment broke into my reverie.

'You must be disappointed/ he said. 'I'm not nearly as attractive a travelling companion as the one who just left.' 'She was an interesting girl/ I said. 'Can you tell me—did she keep her hair long or short?'

'I don't remember/ he said sounding puzzled. 'It was her eyes I noticed, not her hair. She had beautiful eyes but they were of no use to her. She was completely blind. Didn't you notice?'

2.2.2 Glossary

Anxious	: concerned, worried
Sensitive	: reactive, responsive
Stranger	: unknown person
Slapped	: hit, strike
Startled	: to surprise someone
Formidable	: frightening, terrifying
Deserted	: remote place
Ledge	: shelf, mantel
Panting	: out of breath
Rumble	: resonant sound
Ventured	: journey, travel
Gallant	: brave, bold
Sparkle	: shine brightly with flash of light, glitter
Shrieked	: scream, a high-pitched sound
Tantalizing	: exciting one's senses or desires
Stammered	: speak with hesitation and repeating words or sounds
Groaned	: murmur, moan
Reverie	: a state of being lost in one's imagination, daydream

2.2.3 Summary

'The Eyes Are Not Here' is a marvellous short story of Ruskin Bond who has used first person narrative technique in the story. Here everything is narrated by the person who himself is blind. His eyes are sensitive only to light and darkness. He was travelling to Dehradun by train. Up to Rohana, the narrator was alone in the compartment. A girl gets into the compartment at that station. They seem extra anxious about her well-being in that they tell her exactly where to put her luggage, not to lean out of the window, and not to speak with strangers. Soon, the girl's parents leave and the man and the girl are alone in the train compartment as the journey begins. The narrator strikes up a conversation with the girl, asking if she is going to Dehradun. The voice startles her as she had thought that she was alone in the compartment. The girl told him that she was going to Saharanpur where her aunt would come to receive her. The narrator speaks

about Mussoorie, where he was headed to, presenting a lovely sight of the place in October (the month in which the story takes place).

Throughout the conversation the narrator consciously keeps up the pretense of being a person with complete and perfect sight. Though he is mostly careful in choosing his words, he notes at a few points of time that he had almost given himself up due to some careless comments. After some more interesting talk, the narrator tells her, quite daringly, that she has an interesting face. She replies happily that it was indeed a welcome deviation from the often repeated phrase: "You have a pretty face". Soon the time comes for the girl to bid goodbye as the train arrives at her destination. Then the author hears a commotion near the door of the carriage and a man apologizing.

The man then entered the compartment and apologizes to the narrator too for not being as attractive a traveling companion as the previous one. When the narrator asks him how the girl has worn her hair, the other person replies had not noticed her hair but saw only her eyes, which were beautiful but of no use to her, as she was completely blind. The last question this man asks to the narrator is if he had not noticed it too.

2.2.4 Character Analysis

The Narrator

The narrator of this story, a blind man whose eyes were sensitive to light and darkness, was going to Dehradun by train when he met a girl and had a chit-chat with her. It was only after she left. Although he was blind but took enormous pride in his ability to behave quite normally with fellow passengers behind his eye shade. At Rohana station, a young girl got into the compartment and he was cheered up. The narrator talked to the young girl endlessly and skillfully concealing his blindness and the girl was easily deceived. When the girl got down at her station, another passenger got in. The narrator stands in sharp contrast with the new passenger, who has eye sight but does not see what is in front of him.

The Girl

The girl in the story is co-passenger of the narrator and boards the train at Rohana. The girl was blind too. In spite of her parents' warning, she talked to the narrator. The girl was smarter in keeping her blindness from the narrator. The girl represents women in common who love the safety in the presence of a man and vanish a goodbye because she has reached safely.

The Fellow Passenger

When the girl got down at the station, a man got in the train. The passenger makes the narrator realize that the girl was blind.

2.2.5 Theme

The story is based on the idea that people with eyes do not seem to see properly while the blind can sense much more than those who can see and we can also say that the story seems to deal with issue of human perception. The narrator of the story is blind but during his talk with the girl, he easily judges that the girl has an interesting face. On the other hand, the new passenger who can see does not notice the girl but only see her disability that she is completely blind.

The story is also based on the issue of human perception and perceptiveness. In the story, the narrator failed to perceive that the young girl is blind and the young girl also failed to perceive that the narrator is also blind. Ruskin Bond has managed to create a remarkable complex story about the human perception and perceptiveness.

2.2.6 Check Your Progress-II

1. When did Bond write his first novel?
2. The story ends with a revelation. What is the revelation?
3. Who was the narrator's first co-passenger?
4. What was the narrator's final destination in the story?
5. At which station did the blind girl get in to the train?

2.3 SUMMING UP

In this unit you have examined the deep love that fathers have for their children and ability of the people to do good as well as bad to others. Often, it is easier to side with our fears and suspect someone who is not like us. It can be a different skin color or a different language but if we are patient with people and try to understand their situations and problems then we can find some common ground. **The story 'The Eyes are not Here' gives a moral that it is better to be a real person than to fake yourself. Our eyes show us what is happening in the world. Through our eyes we can perceive the world. Lack of eyes does not mean that one can't see the inner beauty of the other person.**

2.4 SUGGESTED READINGS

Prose Parables (Orient BlackSwan)

2.5 QUESTIONS FOR PRACTICE

2.5.1 Long Answer Questions

1. Give a brief account of the Kabuliwallah's first and last meeting with Mini.
2. Comment on the changing relationship between Mini and Rahman. Why was Rahman so attached to Mini?
3. Write a character-sketch of the Rahman.
4. Give a brief description of the conversation between the young girl and the narrator.
5. Comment on the use of irony in the story 'The Eyes Are Not Here'.
6. Draw a brief sketch of the narrator of 'The Eyes are not Here'.

2.5.2 Short Answer Questions

1. **What shows that Mini was a chatty girl?**
2. **What apprehensions did Mini's mother have about the Afghan?**
3. **What kind of a relationship had blossomed between Mini and Rahman?**
4. **What happened when Mini saw Rahman with the policemen?**
5. Mention the human qualities that you observe in the story.
6. **Why was Mini unable to fathom the term 'in-laws'?**
7. **Who was Mini?**
8. **Draw a brief sketch of the narrator of 'Kabuliwallah'.**
9. What is the revelation of the story "The Eyes Are Not Here"?
10. How far is the title "The Eye Are Not Here" justified?
11. "She had beautiful eyes. But they were of no use to her" – Whose eyes are referred to here? Why were the eyes 'of no use' to her? Explain the irony of situation.
12. What do you know about the girl, who travelled with the narrator?

BACHELOR OF LIBERAL ARTS

SEMESTER-IV

COURSE: ENGLISH COMPULSORY-II

UNIT 3: SHORT STORIES

GRIEF by ANTON CHEKOV

THE SELFISH GIANT BY RUSKIN BOND

STRUCTURE

- 3.0 Objectives**
- 2.6 Introduction: Grief**
 - 2.6.1 Anton Chekov: A Biographical Note**
 - 2.6.2 Text**
 - 2.6.3 Glossary**
 - 2.6.4 Summary**
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- 2.7 Introduction: The Selfish Giant**
 - 2.7.1 Oscar Wilde: A Biographical Note**
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- 2.8 Summing Up**
- 2.9 Suggested Readings**
- 2.10 Questions for Practice**
 - 2.10.1 Long Answer Questions**
 - 2.10.2 Short Answer Questions**

3.0 OBJECTIVES

The stories 'Grief' and 'The Selfish Giant' are very simple and interesting. But stories are full of inner meaning and moral message. Most of the people are selfish and do not bother about others. The stories advise us not to be selfish.

3.1 INTRODUCTION: GRIEF

The story 'Grief' is written by Anton Chekov and was published in 1886. It deals with an experience that touches all of us at some point in our lifetime. This is a story of a father and his grief over the death of his only son. The grief is inside him and he desperately wants to speak about it. But no one is ready to listen to him. He continuously tries to find a compassionate audience but he finds no one with whom he can share his agony. The grief is over the loss of his son and misery is not finding a single person to unburden his grief.

3.1.1 Anton Chekov: A Biographical Note

Anton Pavlovich Chekov was a Russian short story writer and playwright who is considered to be the greatest writer of short fiction in history. He was born on 29 January 1860 in Russia. He died at the early age of forty four, because had a disease in which he could live only for a few years. Several of Chekhov's short stories were adapted as episodes of the 1986 Indian anthology television series *Katha Sagar*. Another Indian television series titled *Chekhov Ki Duniya* aired on DD National in the 1990s, adapting different works of Chekhov.

3.1.2 Text

The twilight of evening. Big flakes of wet snow are whirling lazily about the street lamps, which have just been lighted, and lying in a thin soft layer on roofs, horses' backs, shoulders, caps. Iona Potapov, the sledge-driver, is all white like a ghost. He sits on the box without stirring, bent as double as the living body can be bent. If a regular snowdrift fell on him it seems as though even then he would not think it necessary to shake it off. . . His little mare is white and motionless too. Her stillness, the angularity of her lines, and the stick-like straightness of her legs make her look like a halfpenny gingerbread horse. She is probably lost in thought. Anyone who has been ton away from the plough, from the familiar gray landscapes, and cast into this slough, full of monstrous lights, of unceasing uproar and hurrying people, is bound to think.

It is a long time since Iona and his nag have budged. They come out of the yard before dinnertime and not a single fare yet. But now the shades of evening are falling on the

town. The pale light of the street lamps changes to a vivid color, and the bustle of the street grows noisier.

"Sledge to Vyborgskaya!" Iona hears. "Sledge!"

Iona starts, and through his snow-plastered eyelashes sees an officer in a military overcoat with a hood over his head.

"To Vyborg kaya," repeats the officer. "Are you asleep? To Vyborg kaya!" In token of assent Iona gives a tug at the reins which sends cakes of snow flying from the horse's back and shoulders. The officer gets into the sledge. The sledge-driver clicks to the horse, cranes his neck like a swan, rises in his seat, and more from habit than necessity brandishes his whip. The mare cranes her neck, too, crooks her stick-like legs, and hesitatingly sets off. . . . "Where are you shoving, you devil?" Iona immediately hears shouts from the dark mass shifting to and fro before him. "Where the devil are you going? Keep to the r-right!"

"You don't know how to drive! Keep to the right," says the officer angrily. A coachman driving a carriage swears at him; a pedestrian crossing the road and brushing the horse's nose with his shoulder looks at him angrily and shakes the snow off his sleeve. Iona fidgets on the box as though he were sitting on thorns, jerks his elbows, and turns his eyes about like one possessed as though he did not know where he was or why he was there.

"What rascals they all are!" says the officer jocosely. "They are simply doing their best to run up against you or fall under the horse's feet. They must be doing it on purpose." Iona looks at his fare and moves his lips. . . . Apparently he means to say something, but nothing comes but a sniff.

"What?" enquires the officer.

Iona gives a wry smile, and straining his throat, brings out huskily: "My son . . . er . . . my son died this week, sir."

"H'm! What did he die of?"

Iona turns his whole body round to his fare, and says:

"Who can tell! It must have been from fever. . . . He lay three days in the hospital and then he died. . . . God's will."

"Turn around, you devil!" comes out of the darkness. "Have you gone cracked, you old dog? Look where you are going!"

"Drive on! drive on! . . ." says the officer. "We shan't get there till tomorrow going on like this. Hurry up!"

The sledge-driver cranes his neck again, rises in his seat, and with heavy grace swings his whip. Several times he looks round at the officer, but the latter keeps his eyes shut and is apparently disinclined to listen. Putting his fare down at Vyborg kaya, Iona stops by a restaurant, and again sits huddled up on the box. . . . Again the wet snow paints him and his horse white. One hour passes, and then another. . . .

Three young men, two tall and thin, one short and hunchbacked, come up, railing at each other and loudly stamping on the pavement with their galoshes. "Cabby, to the Police Bridge!" the hunchback cries in a cracked voice. "The three of us, . . . twenty kopecks!"

Iona tugs at the reins and clicks to his horse. Twenty kopecks is not a fair price, but he has no thoughts for that. Whether it is a rouble or whether it is five kopecks does not matter to him now so long as he has a fare. . . . The three young men, shoving each other and using bad language, go up to the sledge, and all three try to sit down at once. The question remains to be settled: Which are to sit down and which one is to stand? After a long altercation, ill-temper, and abuse, they come to the conclusion that the hunchback must stand because he is the shortest.

"Well, drive on," says the hunchback in his cracked voice, settling himself and br~athing down Iona's neck. "Cut along! What a cap you've got, my friend! You wouldn't find a worse one in all Petersburg. . . ."

"He-he! . . . he-he! . . ." laughs Iona. "It's nothing to boast of!"

"Well, then, nothing to boast of, drive on! Are you going to drive like this all the way? Eh? Shall I give you one in the neck?"

"My head aches," says one of the tall ones. "At the Dukrnavovs' yesterday Vaska and I drank four bottles of brandy between us."

"I can't make out why you talk such stuff," says the other tall one angrily.

"You lie like a brute."

"Strike me dead, it's the truth! . . ."

"It's about as true as that a louse coughs."

"He-he !" grins Iona. "Me-er-ry gentlemen!"

"Tfoo! the devil take you!" cries the hunchback indignantly. "Will you get on, you old plague, or won't you? Is that the way to drive? Give her one with the whip. Hang it all, give it her well."

Iona feels behind his back the jolting person and quivering voice of the hunchback. He hears abuse addressed to him, he sees people, and the feeling of loneliness begins little

by little to be less heavy on his heart. The hunchback swears at him, till he chokes over some elaborately whimsical string of epithets and is overpowered by his cough. His tall companions begin talking of a certain Nadyezhda Petrovna. Iona looks round at them. Waiting till there is a brief pause, he looks round once more and says:

"This week. . . er. . . my. . . er. . . son died!"

"We shall all die, . . ." says the hunchback with a sigh, wiping his lips after coughing.

"Come, drive on! drive on! My friends, I simply cannot stand crawling like this! When will he get us there?"

"Well, you give him a little encouragement . . . one in the neck!"

"Do you hear, you old plague? I'll make you smart. If one stands on ceremony with fellows like you one may as well walk. Do you hear, you old dragon? Or don't you care a hang what we say?"

And Iona hears rather than feels a slap on the back of his neck.

"He-he! . . .," he laughs. "Merry gentlemen God give you health!"

"Cabman, are you mamed?" asks one of the tall ones.

"I? He he! Me-er-ry gentlemen. The only wife for me now is the damp earth. . . . He-ho-ho!. . . .The grave that is! . . . Here my son's dead and I am alive. . . . It's a strange thing; death has come in at the wrong door. . . . Instead of coming for me it went for my son. ."

And Iona turns round to tell them how his son died, but at that point the hunchback gives a faint sigh and announces that, thank God! they have moved at last. After taking his twenty kopecks, Iona gazes for a long while after the revelers, who disappear into a dark entry. Again he is alone and again there is silence for him. . . . The misery which has been for a brief space eased comes back again and tears his heart more cruelly than ever. With a look of anxiety and suffering Iona's eyes stray restlessly among the crowds moving to and fro on both sides of the street: can he not find among those thousands someone who will listen to him? But the crowds flit by heedless of him and his misery. . . . His misery is immense, beyond all bounds. If Iona's heart were to burst and his misery to flow out, it would flood the whole world, it seems, but yet it is not seen. It has found a hiding-place in such an insignificant shell that one would not have found it with a candle by daylight.

Iona sees a house-porter with a parcel and makes up his mind to address him. "What time will it be, friend?" he asks.

"Going on for ten. . . . Why have you stopped here? Drive on!" "

Iona drives a few paces away, bends himself double, and gives himself up to his misery. He feels it is no good to appeal to people. But before five minutes have passed he draws himself up, shakes his head as though he feels a sharp pain, and tugs at the reins. . . . He can bear it no longer.

"Back to the yard!" he thinks. "To the yard!"

And his little mare, as though she knew his thoughts, falls to trotting. An hour and a half later Iona is sitting by a big dirty stove. On the stove, on the floor, and on the benches are people snoring. The air is full of smells and stuffiness. Iona looks at the sleeping figures, scratches himself, and regrets that he has come home so early. . . .

"I have not earned enough to pay for the oats, even," he thinks. "That's why I am so miserable. A man who knows how to do his work, . . . who has had enough to eat, and whose horse has had enough to eat, is always at ease. . . ." In one of the corners a young cabman gets up, clears his throat sleepily, and makes for the water-bucket.

"Want a drink?" Iona asks him.

"Seems so."

"May it do you good. . . . But my son is dead, mate. . . . Do you hear? This week in the hospital. . . . It's a queer business. . . ."

Iona looks to see the effect produced by his words, but he sees nothing. The young man has covered his head over and is already asleep. The old man sighs and scratches himself. . . . Just as the young man had been thirsty for water, he thirsts for speech. His son will soon have been dead a week, and he has not really talked to anybody yet He wants to talk of it properly, with deliberation. . . . He wants to tell how his son was taken ill, how he suffered, what he said before he died, how he died. . . . He wants to describe the funeral, and how he went to the hospital to get his son's clothes. He still has his daughter Anisya in the country. . . . And he wants to talk about her too. . . . Yes, he has plenty to talk about now. His listener ought to sigh and exclaim and lament. . . . It would be even better to talk to women. Though they are silly creatures, they blubber at the first word.

"Let's go out and have a look at the mare," Iona thinks. "There is always time for sleep. . . . You'll have sleep enough, no fear. . . ."

He puts on his coat and goes into the stables where his mare is standing. He thinks about oats, about hay, about the weather. . . . He cannot think about his son when he is alone. . . . To talk about him with someone is possible, but to think of him and picture him is insufferable anguish. . . .

"Are you munching?" Iona asks his mare, seeing her shining eyes. "There, munch away, munch away. . . . Since we have not earned enough for oats, we will eat hay. . . . Yes, . . . I have grown too old to drive. . . . My son ought to be driving, not I. . . . He was a real cabman. . . . He ought to have lived. . . ." Iona is silent for a while, and then he goes on:

That's how it is, old girl. . . . Kuzma Ionitch is gone. . . . He said good-by to me. . . . He went and died for no reason. . . . Now, suppose you had a little colt, and you were own mother to that little colt. . . . And all at once that same little colt went and died. . . . You'd be sorry, wouldn't you? . . ."

The little mare munches, listens, and breathes on her master's hands. Iona is carried away and tells her all about it.

3.1.3 Glossary

Twilight	: gloom, half-light
Whirling	: spinning, revolving
Sledge	: a long vehicle pulled by horses or mares for traveling over ice and snow
Snowdrift	: a mound of snow driven together by the wind
Slough	: a soft wet area of land
Nag	: horse, especially one which is old or ill
Budged	: move, shift
Brandishes	: flourish, wave, shake
Pedestrian	: walker
Fidgets	: make small movements, wiggle
Possessed	: have as belonging to one, own
Jocosely	: humorously, playfully
Sniff	: an act or sound of sniffing
Huskily	: throaty or low-pitched sound
Huddled	: crowd
Hunchbacked	: a person with a hump on his back
Galoshes	: a waterproof overshoe
Kopecks	: a unit of money in Russia; one-hundredth of a rouble
Rouble	: Russian currency
Shoving	: push someone roughly
Altercation	: argument, quarrel

Brute	: monster, beast
Whimsical	: playful, quaint
Epithet	: nickname, byname
Revelers	: merry making persons, especially after alcoholic drinks trotting
Blubber	: cry noisily
Munching	: eat (something) steadily

3.1.4 Summary

It describes the plight of a Russian Cab driver who wants to share his grief with someone but does not find a sympathetic listener. Cab driver namely Iona has lost his son. Iona was in search of some man before whom he can unburden his heart and thus find an outlet for his grief, so he was waiting for some passenger at the cab station.

Iona's first passenger was an Officer. When Iona tells him that he lost his only son a few days ago, the Officer simply asks him what he had died of. After this his interest flags and he curses and swears at Iona for his bad driving.

Iona waits for another passenger. A little later three young men hire his carriage at a very low fare. Iona does not mind the fare. One of them gives Iona a blow on the neck. Iona wants to tell them the story of his grief, but as soon as he begins, they reach their destination. The listeners are so disconnected and disinterested that Iona is left alone.

His Grief makes him feel that death had gone to the wrong door. As he was alive and his son was dead. Iona's heart is full of grief; he wants to unburden his heart. So when he sees the hall porter, he decides to go to him and speak to him. In order to engage him in talk, he asks the hall porter what time it was. The porter tells the time and Iona is again left alone.

After his bad experience with people, Iona decides to go to the stables. Finally, he decides to tell the complete story to his horse. The real purpose is that Iona must unburden his heart before someone.

3.1.5 Character Analysis

Iona Potapov

Grief can weigh heavily on people. To relieve the burden, people often seek out others with whom to share or talk about their feelings. Iona Potapov attempts to talk to others

about his recent loss in *Misery* by Anton Chekhov. Iona Potapov's misery stems from the sudden death of his son one week ago. The story tells of his attempts to talk to others about his misery over the course of one evening.

Iona Potapov is an older man. As the story begins, he is described as 'all white like a ghost.' He sits alone in his horse-driven sleigh waiting for a fare. Snow is falling, and he lets it cover him while he sits 'bent as double as the living body can be bent.' Based on his body language and description, the reader can discern that Iona is suffering. He waits in silence for someone to talk to.

3.1.6 Theme

Grief by Anton Chekhov is one of the most famous works of the author and one of the saddest short stories written in the twentieth century. The title of the story does justice to the theme of the story, which is of loneliness, misery, and the need to communicate one's feelings. The grief is over the loss of his son and misery is not finding a single person to unburden his grief.

the story is about "how one man's grief is ignored by the public, just when he needs someone's attention the most". This is true as Iona is struggling to find a person to talk to about his deceased son but is ignored by the rude public.

The saddest part of the story is that people continue to ignore even after he tells them that his son has died. It is one thing when a person does not know, but deciding to ignore Iona even after knowing about his misery brings forth the dark side of humans. The story shows the other side of humans, which is of ignorance, which is something that we don't like to acknowledge. The way Iona decides to relieve himself from the burden of his grief is indeed a "pathetic relief" as he started talking to a horse. Though it is not a bad thing to converse with animals, the reason why Iona does is different.

He encountered many people, none of them were willing to listen to the sled driver. The brutality and rudeness of people toward Iona are rather horrifying, heartbreaking, and deeply felt by the reader. The saddest part remains that this ignorance was not involuntary, but a well thought reaction.

3.1.7 Check Your Progress-I

1. How did Iona React to the insult of the young Man?
2. Who is Iona's first fare and how does he react to Iona's attempt at communication in "Grief"?

3. What happened to Iona's son?
4. What is the irony of "grief"?

3.2 INTRODUCTION: THE SELFISH GIANT

The Selfish Giant is a fairy tale, written by Anton Chekov. It was first published in 1888 with other stories "The Nightingale and the Rose", "The Devoted Friend", "The Remarkable Rocket" and "The Happy Prince". The *Selfish Giant* is a short story with the elements of fairy tales and fantasy. The story illustrates the perils of isolation and the negative consequences of selfishness, but it also teaches us that it is never too late for redemption and for love. At the edge of the village was a large lovely garden with soft green grass and beautiful flowers like stars. And every afternoon, as they were coming from school, the children use to go and play in the garden. But the garden belonged to a giant who has been away for seven years. Upon returning he is outraged to see the children enjoying themselves on his land and he builds a big wall to keep them out and puts up a notice that reads: "TRESPASSERS WILL BE PROSECUTED." But without the children, the garden falls into perpetual winter and the Selfish Giant finds himself isolated and all alone. The story advises us to not to be selfish. We should always be kind and generous to others.

3.2.1 Oscar Wilde: A Biographical Note

Oscar Fingal O'Flahertie Wills Wilde was an Irish playwright, poet, and author of numerous short stories, and one novel. He was born on 16 October 1854 in Ireland. His mother was a poet and journalist and father was a doctor. Oscar Wilde's style of writing is, in many ways, just as important and rich as the content. Elements such as tone, diction, imagery, irony, allusion, symbolism, metaphor, personification, etc. are always part of his writings. Known for his biting wit, and a plentitude of aphorisms, he became one of the most successful playwrights of the late Victorian era in London, and one of the greatest celebrities of his day. Several of his plays continue to be widely performed, especially *The Importance of Being Earnest*. After writing in different forms throughout the 1880s, he became one of the most popular playwrights in London in the early 1890s.

3.2.2 Text

Every afternoon, as they were coming from school, the children used to go and play in the Giant's garden.

It was a large lovely garden, with soft green grass. Here and there over the grass stood beautiful flowers like stars, and there were twelve peach-trees that in the spring-time broke out into delicate blossoms of pink and pearl, and in the autumn bore rich fruit. The birds sat on the trees and sang so sweetly that the children used to stop their games in order to listen to them. "How happy we are here!" they cried to each other.

One day the Giant came back. He had been to visit his friend the Cornish ogre, and had stayed with him for seven years. After the seven years were over he had said all that he had to say, for his conversation was limited, and he determined to return to his own castle. When he arrived he saw the children playing in the garden.

"What are you doing here?" he cried in a very gruff voice, and the children ran away.

"My own garden is my own garden," said the Giant; "anyone can understand that, and I will allow nobody to play in it but myself." So he built a high wall all round it, and put up a notice-board.

TRESPASSERS WILL BE PROSECUTED

He was a very selfish Giant.

The poor children had now nowhere to play. They tried to play on the road, but the road was very dusty and full of hard stones, and they did not like it. They used to wander round the high wall when their lessons were over, and talk about the beautiful garden inside. "How happy we were there," they said to each other.

Then the Spring came, and all over the country there were little blossoms and little birds. Only in the garden of the Selfish Giant it was still winter. The birds did not care to sing in it as there were no children, and the trees forgot to blossom. Once a beautiful flower put its head out from the grass, but when it saw the notice-board it was so sorry for the children that it slipped back into the ground again, and went off to sleep. The only people who were pleased were the Snow and the Frost. "Spring has forgotten this garden," they cried, "so we will live here all the year round." The Snow covered up the grass with her great white cloak, and the Frost painted all the trees silver. Then they invited the North Wind to stay with them, and he came. He was wrapped in furs, and he roared all day about the garden, and blew the chimney-pots down. "This is a delightful spot," he said, "We must ask the Hail on a visit." So the Hail came. Every day for three hours he rattled on the roof of the castle till he broke most of the slates,

and then he ran round and round the garden as fast as he could go. He was dressed in grey, and his breath was like ice.

“I cannot understand why the Spring is so late in coming,” said the Selfish Giant, as he sat at the window and looked out at his cold white garden; “I hope there will be a change in the weather.”

But the Spring never came, nor the Summer. The Autumn gave golden fruit to every garden, but to the Giant’s garden she gave none. “He is too selfish,” she said. So it was always Winter there, and the North Wind, and the Hail, and the Frost, and the Snow danced about through the trees.

One morning the Giant was lying awake in bed when he heard some lovely music. It sounded so sweet to his ears that he thought it must be the King’s musicians passing by. It was really only a little linnet singing outside his window, but it was so long since he had heard a bird sing in his garden that it seemed to him to be the most beautiful music in the world. Then the Hail stopped dancing over his head, and the North Wind ceased roaring, and a delicious perfume came to him through the open casement. “I believe the Spring has come at last,” said the Giant; and he jumped out of bed and looked out.

What did he see?

He saw a most wonderful sight. Through a little hole in the wall the children had crept in, and they were sitting in the branches of the trees. In every tree that he could see there was a little child. And the trees were so glad to have the children back again that they had covered themselves with blossoms, and were waving their arms gently above the children’s heads. The birds were flying about and twittering with delight, and the flowers were looking up through the green grass and laughing. It was a lovely scene, only in one corner it was still winter. It was the farthest corner of the garden, and in it was standing a little boy. He was so small that he could not reach up to the branches of the tree, and he was wandering all round it, crying bitterly. The poor tree was still quite covered with frost and snow, and the North Wind was blowing and roaring above it. “Climb up! little boy,” said the Tree, and it bent its branches down as low as it could; but the boy was too tiny.

And the Giant’s heart melted as he looked out. “How selfish I have been!” he said; “now I know why the Spring would not come here. I will put that poor little boy on the top of the tree, and then I will knock down the wall, and my garden shall be the

children's playground for ever and ever." He was really very sorry for what he had done.

So he crept downstairs and opened the front door quite softly, and went out into the garden. But when the children saw him they were so frightened that they all ran away, and the garden became winter again. Only the little boy did not run, for his eyes were so full of tears that he did not see the Giant coming. And the Giant stole up behind him and took him gently in his hand, and put him up into the tree. And the tree broke at once into blossom, and the birds came and sang on it, and the little boy stretched out his two arms and flung them round the Giant's neck, and kissed him. And the other children, when they saw that the Giant was not wicked any longer, came running back, and with them came the Spring. "It is your garden now, little children," said the Giant, and he took a great axe and knocked down the wall. And when the people were going to market at twelve o'clock they found the Giant playing with the children in the most beautiful garden they had ever seen.

All day long they played, and in the evening they came to the Giant to bid him good-bye.

"But where is your little companion?" he said: "the boy I put into the tree." The Giant loved him the best because he had kissed him.

"We don't know," answered the children; "he has gone away."

"You must tell him to be sure and come here to-morrow," said the Giant. But the children said that they did not know where he lived, and had never seen him before; and the Giant felt very sad.

Every afternoon, when school was over, the children came and played with the Giant. But the little boy whom the Giant loved was never seen again. The Giant was very kind to all the children, yet he longed for his first little friend, and often spoke of him. "How I would like to see him!" he used to say.

Years went over, and the Giant grew very old and feeble. He could not play about any more, so he sat in a huge armchair, and watched the children at their games, and admired his garden. "I have many beautiful flowers," he said; "but the children are the most beautiful flowers of all."

One winter morning he looked out of his window as he was dressing. He did not hate the Winter now, for he knew that it was merely the Spring asleep, and that the flowers were resting.

Suddenly he rubbed his eyes in wonder, and looked and looked. It certainly was a marvellous sight. In the farthest corner of the garden was a tree quite covered with lovely white blossoms. Its branches were all golden, and silver fruit hung down from them, and underneath it stood the little boy he had loved.

Downstairs ran the Giant in great joy, and out into the garden. He hastened across the grass, and came near to the child. And when he came quite close his face grew red with anger, and he said, "Who hath dared to wound thee?" For on the palms of the child's hands were the prints of two nails, and the prints of two nails were on the little feet.

"Who hath dared to wound thee?" cried the Giant; "tell me, that I may take my big sword and slay him."

"Nay!" answered the child; "but these are the wounds of Love."

"Who art thou?" said the Giant, and a strange awe fell on him, and he knelt before the little child.

And the child smiled on the Giant, and said to him, "You let me play once in your garden, to-day you shall come with me to my garden, which is Paradise."

And when the children ran in that afternoon, they found the Giant lying dead under the tree, all covered with white blossoms.

3.2.3 Glossary

Giant	: an imaginary or mythical being of human form but superhuman size
Delicate	: elegant, subtle, soft
Castle	: fort
Gruff	: rough, harsh
Trespassers	: a person entering someone's land or property without permission
Blossoms	: bloom
Frost	: ice
Cloak	: something serving to hide or disguise something
Linnet	: sparrow
Ceased	: come to an end
Crept	: move slowly and carefully in order to avoid being heard or noticed
Twittering	: chirp
Delight	: charm, please greatly

Frightened	: scare, terrified
Wicked	: sinful, evil
Underneath	: situated below
Hastened	: hurry, be quick to do something
Slay	: kill, murder
Awe	: wonder, amazement
Knelt	: fall to one's knees

3.2.4 Summary

The story starts with the children playing in the garden of the Giant every afternoon after coming from school. The garden was lovely, large, with soft grass, and fruit trees. The trees bore rich fruits and birds sang sweetly sitting on them. One day after seven years the giant came back. He was staying with his friend, the Cornish Ogre. The children were scared to see him. He saw the children playing and said that he would not allow anyone to play here as it was his own garden. He built a wall around it and also put a notice board. The notice board displayed a warning on it, 'Trespassers will be prosecuted'. The children became sad as they had no other place to play. They would wander around the high walls of the garden and remember the beautiful garden inside them.

The spring season came and there were blossoms and little birds all around. But it was winter in the giant's garden and there were frost and snow. In the absence of children birds also did not sing. Once a flower bloomed out of the grass but after seeing the notice board, it also went back to sleep. Then the North Wind and the hailstorm came. Due to the giant's selfishness, autumn's golden fruits also did not come to his garden. Then one morning, the giant heard sweet and lovely music. It was a linnet singing outside his window. The hail and the North Wind stopped and he could feel the spring. He saw that the children came into his garden through a little hole. The children were sitting on the branches of trees and the trees were blossoming. He also saw the birds flying and hear them chirping. The flowers had also come up.

But, to his surprise, in one corner there was still winter. He saw that there a young boy was standing and he was not able to reach the branches of trees. The tree lowered its branches but still, he could not climb. At this scene, his heart melted. He realized that he was really very selfish. He decided to put that boy on the top of the tree, pull down the walls, and allow children to play here forever. But when the children saw him, they ran

away and the garden became winter again. However, that little boy did not run as he was weeping. The giant put him on the top of the tree and the tree blossomed at once. He kissed the giant. The other children realizing that the giant is not wicked came back. The spring came back with them. The giant used to play with the children ever afternoon but that little boy was nowhere to be seen. As the years went by, he grew very weak.

One winter morning, he saw a lovely tree with white blossoms in a corner. The branches of the tree were golden and the little boy stood under it. The boy was wounded which made the giant very angry. He told the boy that he will slay the man who has harmed him. The boy told him that these were the wounds of love. The boy smiled and asked the giant to come to his garden. Later, the children found the giant dead under the tree covered with white blossoms

3.2.5 Character Analysis

The Giant

The main character of the story, the selfish giant owns a garden where local children have taken to playing while he is away on an extended vacation. At the beginning of the story, the Giant is selfish and hardhearted. He drives the children out of his garden upon discovering them there, and he builds a high wall to keep them out. Spring, Summer, and Autumn leave the garden as well, repulsed by the Giant's selfishness, leaving only the forces of Winter—the North Wind, the Snow, the Frost, and the Hail—to inhabit it year-round. For months thereafter, the Giant is miserable, unable to understand why Spring will not come. The Giant realizes that he brought the winter upon himself with his selfishness, and immediately he wishes to make amends. His first gesture of kindness is to a little boy in the far corner of the garden, who is crying because he can't climb the tree there. The Giant raises the boy up into the tree, which at once bursts into bloom as the child embraces the Giant, kissing him. With this act, the Giant warms the rest of the children to him, and he knocks down the wall so as to share his garden with them forevermore. In the years that follow, as the Giant ages, his heart softens further still. He comes to cherish the children far more than the garden itself. Even so, he wishes that he could once again meet the little boy who kissed him, whom he loves, best of all. The Giant's wish is granted only in his twilight years, when he is very old and feeble—the boy appears in the corner of the garden, transfigured, revealing himself to be the Christ Child. He then welcomes the Giant into heaven as

reward for his kindness. The Giant's character is meant to teach this moral lesson as simply and straightforwardly as possible

The Little Boy

The little boy in the story is Christ in disguise, and he assumes this form so as to offer the Giant a chance at redemption. The Christ Child first appears among the many children who sneak back inside the Giant's garden through the hole in the wall, anonymous in the crowd. He is singled out not by his divine nature, which he conceals, but by the fact that he is the only child not enjoying the springtime. He huddles in the farthest corner of the garden, where the winter weather remains, crying because he is too small to climb the nearby tree. The Giant, eager to atone for his hardheartedness, raises the boy up into the tree—which at once bursts into bloom, as the child kisses his newfound friend. At the end of the story, the Christ Child reveals his true identity—the wounds of the Crucifixion appear on his hands and feet, and the tree he had once tried to climb, symbolic of the cross, is transfigured in gold and silver. This is how he shows the Giant that his kindness to the children has redeemed his soul, and after this he welcomes the Giant into Paradise.

3.2.6 Theme

The story *The Selfish Giant* is full of inner meaning and different themes. It throws light on selfishness, friendship, eternal happiness, love and salvation. The story tells about a giant who was really selfish. In fact, *The Selfish Giant* moves around a person who is very selfish by nature but he evolves into a kind person who shares and does not hoard so he achieves salvation in the end.

Selfishness is the main theme with a variety of sub themes. People who are selfish do not want to share their things with others like the Giant did not want to share his garden with children. The selfish people want to keep everything for themselves. But when they do that, they quickly find themselves all alone. As the Giant was left alone desperately waiting for the Spring.

Another theme in the story is the importance of friendship and of little act of kindness, in human life. A little act of kindness can build bridges between people and these bonds can bloom friendships which pave a way towards a person's salvation. The boy in the story was Jesus Christ in disguise. He came to the Giant once again to take him to his garden, Paradise, as a reward for letting him play once in his garden. The Giant was redeemed by Jesus. He was absolved of all his sins. His soul became pure and sacred.

The 'white blossoms' symbolize the purity and sacredness that the Giant's soul attained and the ever-lasting peace that he obtained after death.

Love is another theme in the story, is a great virtue, but it is difficult to cultivate. For the sake of love (which is the image of God) one has to sacrifice a lot. But once love is enthroned in one's mind, one is lifted up to heaven as a reward. This was learnt by the Giant as he learnt to share his possession to attain love.

The ending of the short story is very religious as Wilde uses the presence of Jesus to help end the story and assist the moral. The giant who had sinned had been sent to heaven, purely because he had realized that he was selfish and that he was going to be lonely unless he was more kind. Thus, another theme is to be kind and more humane towards one another.

3.2.7 Check Your Progress-II

1. Why did the children go to the Giant's garden?
2. Where do Giant go for seven years?
3. What did the Giant do to stop the entry of children?
4. How did the Giant realise that spring has visited in his garden?

3.3 SUMMING UP

The story "grief" gives an authentic portrayal of human nature that remains unaffected by the sorrows of the world so long as they do not impinge on it at a personal level and 'The Selfish Giant' is a story which teaches unselfishness and love. After reading the story, we feel the change in our heart also.

3.4 SUGGESTED READINGS

Prose Parables (Orient BlackSwan)

Contemporary English Prose (OUP) edited by K.P.K. Menon

3.5 QUESTIONS FOR PRACTICE

3.5.1 Long Answer Questions

1. What impression of the character of Iona do you get from his story?
2. How does the horse serve as a true friend and companion to Iona?
3. The good always win over evil'. Describe in your words by using hurts from the story "The Selfish Giant".
4. 'Service for welfare of other should be the aim of human deeds'. Elaborate.

3.5.2 Short Answer Questions

1. Why didn't the people listen to Iona?
2. Why does Iona tell the story of his son's death to the horse?
3. How does Iona get rid of his grief at the end of the story?
4. Why spring did not enter the Giant's garden?
5. Who was roaring in the garden and why?
6. 'The Giant's heart melted'. How did he become a changed person?

BACHELOR OF LIBERAL ARTS
SEMESTER-IV
COURSE: ENGLISH COMPULSORY-II

UNIT 4:
‘MOTHER’S DAY’, BY J.B. PRIESTLEY;
‘RIDERS TO THE SEA’ BY JOHN MILLINGTON SYNGE

STRUCTURE

4 A. 0: Objectives

4 A.1 Introduction

4 A.2.About the author

4 A. 3 Check Your Progress I:

4 A.4 About the Play: Mother’s Day

4. A.4.1 Summary of The Play: Mother’s Day

4. A. 5 Check Your Progress II:

4. A.6 Theme of the Play ‘Mother’s Day’

4 A. 6.1Check your Progress III:

4 A.7 Mother’s Day as a Comedy

4 A 7.1 Check Your Progress IV:

4. A.8 Summing Up

4. A. 9 Suggested Readings

4. A. 10.1Long Answer Questions:

4 A. 10.2Short Answer questions

Part B

4 B. 1About the Author

4. B.2Check Your Progress: I

4. B. 3 Riders to the Sea: Summary of the Play

4 B. 4 Check Your Progress: II

4 B. 5. Riders to The Sea As A Tragedy

4 B.6 Check Your Progress: III

4.B. 7 Supernatural Elements In Riders To The Sea

4.B. 8 Check Your Progress: IV

4.B.9 Use of Symbols

4b.10 Check Your Progress: V.

4.B. 11 Summing Up

4.B12. Suggested Readings

4B.13. Questions for Practice

4B.13.1 Long Answer Questions

4B.13.2 Short Answer Questions

4A. 0: OBJECTIVES

This unit is aimed to enable the students to analyze different aspects of the plays. The study of the two one act plays is supposed to demonstrate how to study and examine a play.

4A.1 INTRODUCTION

This unit discusses two one act plays: J.B. Priestley's 'Mother's Day', and 'John Millington Synge's 'Riders to the Sea'. We will explain the salient features of both these plays. As the play 'Mother's Day' is a comedy and 'Riders to the Sea' is a tragic play, the discussion of these plays will enable the students to mark the special features of a comic and a tragic drama. The summary of each play has been given to provide an overview of the happenings in the plays and help you to mark the significant incidents and characters in these plays. Some of the aspects of these works have been analyzed to provide you with the examples which can be used to answer more questions on the plays.

You can see the correct answers to the 'Check Your Progress' exercises at the end of the unit.

Note: The unit has been divided into two parts A and B.

4A.2 ABOUT THE AUTHOR

J. B. Priestley (full name John Boynton Priestley) was born on 13 September 1894 in England. His father Jonathan Priestley was a headmaster. His mother's name was Emma. His father remarried after the death of Priestley's mother when he was two years old. J.B. Priestley was a multifaceted personality. He wrote novels, essays and plays. During the World War I, he served in Infantry, later he graduated from Trinity College Cambridge and then worked as a journalist also. He achieved enormous success with *The Good Companions* (1929), which was about a group of traveling performers.

Priestley achieved early recognition with comedies such as *Laburnum Grove* (1933) and *When We Are Married* (1938). Many of his plays have domestic settings. He uses mysterious concepts of time in a number of his plays. He wrote more than 120 books. He was

an expert radio speaker. In 1934 he published the travelogue titled *English Journey*, an account of what he saw and heard while travelling through the country in the depths of the Great Depression.

Dangerous Corner (1932) was his first play and his best known play is *An Inspector Calls*. (1945). Some of his plays show the influence of J.W. Dunne's theory of time on him. It is clear from the plots of *Dangerous Corner* (1932) and *Time and the Conway's*. He was a founding member of the Campaign for Nuclear Disarmament in 1958.

The University of Bradford awarded Priestley the title of honorary Doctor of Letters in 1970, and he was awarded the Freedom of the City of Bradford in 1973. The University of Bradford named its library as J. B. Priestley Library which he officially opened in 1975. After his death, his statue was installed in front of the Museum. Priestley was married three times. In 1921, Priestley married Emily "Pat" Tempest, a music-loving Bradford librarian. In September 1926, Priestley married Jane Wyndham-Lewis. In 1953, Priestley divorced his second wife to marry the archaeologist and writer Hawkes. Priestley died of pneumonia on 14 August 1984.

4 A. 3 CHECK YOUR PROGRESS I:

Choose the correct answer:

- i. J. B. Priestley's father was a) a headmaster b) a Priest c) a doctor d) a poet
- ii. The title of his first play was: a) Mother's Day b) *Dangerous Corner* c) *When We Are Married*.
- iii. Priestley was influenced by J.W. Dunne's theory a) of drama b) of magic c) of time d) of novel writing
- iv. State whether the following information is true or false:
J.B. Priestley did not marry throughout his life (True/ False)

4A.4 ABOUT THE PLAY: MOTHER'S DAY

J.B. Priestley's 'Mother's Day' is a drawing room comedy in which the whole action takes place in the drawing room of the house. It is a hilarious comedy with a significant message highlighting practical problems faced by housewives like Mrs. Pearson. The play dramatizes the way women's contribution in the household is ignored and they are treated like mere domestic helps. It forms an earnest appeal for women's rights and a message to all women that they should not accept their oppression passively.

4. A.4.1 SUMMARY OF THE PLAY: MOTHER'S DAY

In the play, Mrs. Pearson suffers neglect and indifference of her family despite working for her son, daughter, and her husband for the whole day. She is disappointed and frustrated over her condition in her own house. She wants recognition of her work and appreciation of her family. Nobody in the house bothers about her and all the members of her family take her for granted.

Her neighbour, Mrs. Fitzgerald is a fortune teller and knows magic tricks also. She tells Mrs. Pearson that she had learned these things when her husband was posted in some country in the East. When Mrs. Pearson shares her woes with this woman and she suggests a solution. She knows that being docile and humble; Mrs. Pearson cannot be harsh and rude to her children or her husband and can never tell them about their terrible behaviour with her. Mrs. Fitzgerald tells Mrs. Pearson about her plan to exchange personalities with the help of her skills in magic. It would provide Mrs. Fitzgerald an opportunity to bring a change in Mrs. Pearson's family as Mrs. Fitzgerald would appear in Mrs. Pearson's body after the exchange of personalities has taken place. After initial hesitation, Mrs. Pearson agrees and they exchange personalities. Their personalities undergo change but their appearance remains the same. After the exchange of personalities Mrs. Fitzgerald turns docile and modest, but Mrs. Pearson becomes aggressive, bold and dominating. Mrs. Pearson is seen drinking and smoking as Mrs. Fitzgerald used to do. On the other hand Mrs. Fitzgerald looks calm and passive like Mrs. Pearson.

In Mrs. Pearson's body, Mrs. Fitzgerald is at the Pearson house. Mrs. Pearson's daughter Doris enters and asks her mother to iron her dress. She does not realize that it is Mrs. Fitzgerald in her mother Mrs. Pearson's body. She wants the dress ironed as she has to go with her boyfriend Charlie Spence. She notices her mother smoking and playing cards by herself. As Doris does not realize that in fact it is Mrs. Fitzgerald, she objects to it and feels shocked. Mrs. Pearson tells her to do her work herself and talks to her rudely. She calls Doris's boyfriend stupid and makes fun of his outlook and appearance. She says that at the age of Doris she could find a much better boy than Charlie Spence for a date. Doris is shocked and feels miserable. She leaves the room weeping.

As soon as Doris leaves, Mrs. Pearson's son Cyril comes. He asks his mother for tea. He too fails to know that it is Mrs. Fitzgerald in the body of his mother Mrs. Pearson. She tells Cyril that she did not make tea for him as she does not bother about making tea. She rather advises him to make the tea himself. The boy is surprised as he had not expected this from his mother. The change in her makes him comment if she is alright. She tells him that she has never felt better in her life. When he says that he is short of time and wants tea soon, Mrs. Pearson, who

has now taken the personality of Mrs. Fitzgerald, says that he can make the tea himself. This situation amuses the audience but it confuses and astounds Cyril. He then asks if his mother has got his clothes ready, Mrs. Pearson tells him that she has not done so. Cyril asks what will happen if all of them start talking like this. Mrs. Pearson speaks in the arrogant style of Mrs. Fitzgerald that Cyril, his sister and their father have always talked to her like that only. He is shocked at his mother's behaviour and seeing his sister in tears.

Doris again appears before her mother, but Mrs. Pearson having the personality of Mrs. Fitzgerald makes fun of her dress. She talks about Doris' shabby looks. Doris says that she does not look good as Mrs. Pearson has made her cry with her rude behaviour. Mrs. Pearson asks for some drink and it shocks Cyril. He fails to understand the reason of the change that has come in the behaviour of his mother as he does not know that it is actually Mrs. Fitzgerald in the body of Mrs. Pearson.

Mrs. Pearson goes to the kitchen to get some stout for herself. Cyril and Doris find this opportunity to talk about her behaviour. They are worried about the change in her conduct and attitude towards them. Cyril says that something has hit her head and caused this change in her behaviour. Doris tells him how she behaved in a strange manner with her also. Both of them laugh thinking how their father would react to her behaviour.

Mrs. Pearson scolds her children and asks them to behave like grown up adults instead of children depending on their mother only. The children are so surprised and startled that they ask her if they had done something wrong to her that she was behaving like that with them. Mrs. Pearson then tells Doris and her brother that they never bother about her and they always want her to work for them without a word of praise or show of concern for her. Their father and they themselves work for forty hours a week and enjoy two days off every week whereas she has to work for all the seven days without any break. She tells them that she would work on Saturday and Sunday only if she is thanked for it. When they tell her about getting exhausted after work, she tells them that they too will have to work like her. She declares that she won't work on weekends as she plans to enjoy with her friends.

Mrs. Pearson's husband Mr. George Pearson enters the house. He is a pompous looking man of fifty. He is astonished to see his wife smoking and drinking. He finds his daughter Doris crying. It confuses him a lot. Mr. Pearson informs Mrs. Pearson, actually Mrs. Fitzgerald in Mrs. Pearson's body, that he plans to have his supper at the club and he won't take tea. Mrs. Pearson informs him that she has not prepared any tea for him. Mr. Pearson expresses his annoyance that she has not got the tea ready. She asks him if he does not want tea then what was the reason of his annoyance for the tea not being ready. It bewilders him as he has not

expected such a wry and curt response from his docile and gentle wife. When he objects to her drinking, she says if he can drink, why she cannot do so. He is flabbergasted when she tells him that people at the club make fun of him. George wants to know the truth from his son. He too explains that it was true. It hurts George to know all this. He feels disappointed and shocked. Mrs. Pearson says that sometimes hurting someone's feelings proves something good.

By this time Mrs. Fitzgerald has chastised Mrs. Pearson's family a lot through the exchange of personalities. The actual Mrs. Pearson in the appearance of Mrs. Fitzgerald comes and stands at the door of the Pearson house. Cyril does not know that it is actually his mother in Fitzgerald's body, and calls her a stupid old woman. Mrs. Pearson asks him to mind his language, and feels concerned for her daughter Doris on finding her in tears. George shouts at his wife as he does not know that she is actually Mrs. Fitzgerald. He is shocked to see her unexpectedly offensive behaviour. She says that she would slap his big, fat, and silly face. The behaviour of Mrs. Fitzgerald as Mrs. Pearson hurts the real Mrs. Pearson. She takes Mrs. Fitzgerald aside and asks her not to treat her children and husband in an insulting way. Mrs. Fitzgerald tells her that she was just teaching the Pearson family to behave in a respectful and decent manner. The real Mrs. Pearson requests Mrs. Fitzgerald to give her personality back. Mrs. Fitzgerald agrees on the condition that she would not turn humble and soft on her family again as it would spoil them. They get their original personalities and Mrs. Fitzgerald leaves. A change is noticed in the Pearson house when we find all of them smiling and getting ready to have dinner together and play a game of rummy that Mrs. Pearson likes. Thus the play ends at a happy note.

4. A. 5 CHECK YOUR PROGRESS II:

Choose the correct answer:

- i. Mrs. Pearson is :
 - a) humble and docile b) dominating and rude c) aggressive and bold d) none of these
- ii. Mrs. Fitzgerald is :
 - a) authoritative and harsh b) kind and humble c) passive d) none of these
- iii. After the exchange of personalities:
 - a) The real Mrs. Pearson treats her children rudely. b) Mrs. Fitzgerald in Mrs. Pearson's body treats the real Mrs. Pearson's family in a bitter and harsh way. c) Mr. Pearson beats up his wife d) Cyril is happy to see his mother in her changed role.

Choose the correct answer: At the end of the play :

iv. a) A change in the Pearson family is visible b) Mrs. Pearson undergoes complete change forever c) Mrs. Fitzgerald does not agree to exchange the personalities and go back to their original selves.

4. A.6 THEME OF THE PLAY ‘MOTHER’S DAY’

In a work of art, theme is related to the idea or the message that it carries. Some of these ideas are prominent and can be easily traced. They form the predominant or the central theme. These ideas come out from the incidents, behaviour of different characters, their speeches or dialogues, and descriptions of the atmosphere developed in a work of art. The theme of a story or a play is usually not directly stated by the writer and has to be deduced from these elements. Therefore, it becomes possible to locate different ideas or themes in a work.

The play ‘Mother’s Day’ shows a housewife, Mrs. Pearson suffering at the hands of her own family as no one realizes her pain. She talks about her marginalized position in the family to her neighbour. The friend exercises exchange of personalities and brings a change in Mrs. Pearson’s family. She makes the Pearson family realize their mistake and all of them start cooperating with the lady of the house.

The playwright expresses the theme of the play in these words, “*the family must treat wives and mothers with full respect and be after them instead of throwing orders*”. All the incidents, situations and behaviour of the characters depicted in this play are directed to bring out this idea. The exchange of personalities used in the play is also meant to serve this purpose.

There are other related ideas that come out in different ways. One such idea is that motherly affection and humility should be exercised carefully. If it is not done, the children are likely to be spoiled like Doris and Cyril in this play.

Mother’s Day dramatizes its theme in an amusing and successful way.

4 A. 6.1 Check your Progress III:

Fill in the blanks with suitable answers given in the brackets:

1. Mother’s Day is about the problems of (housewives, men, children)
2. The play teaches us that we should havefor women. (respect, dislike , pity)
3. The playwright uses exchange of personalities as a device to (amuse only, to express the theme of the play, to make Mrs. Pearson look more beautiful)
4. The theme has been presented in a (comic way, tragic way)

4 A.7 MOTHER’S DAY AS A COMEDY

A comedy is a form of drama aimed to amuse us. There are different types of comedies. The play ‘Mother’s Day’ can be considered a social comedy. It conveys a powerful social message.

Instead of satirizing the social practice of women's oppression, the play tries to give a strong message that people should not ignore women and their contribution to the family and society. The message has been dramatized in an amusing and hilarious way. The playwright has used dialogues, situations, incidents, character traits, and the element of surprise to arouse laughter.

Note: The students can mark the elements that amuse us and result in laughter to discuss the play as a comedy.

For this purpose, they can:

Explain the change in the character and behaviour of Mrs. Pearson, and Mrs. Fitzgerald after the exchange of personalities.

Analyze the reactions of Doris, Cyril, and George Pearson.

Discuss the dialogues that result in amusement of the audience.

4A 7.1 Check Your Progress IV:

Choose the correct answer:

- i. 'Mother's Day', is: a) a satire b) a tragedy c) a social comedy.
- ii. The purpose of this comedy is to: a) amuse us only b) to teach us a social message only c) to amuse and teach us.
- iii. The exchange of personalities in this play : a) frightens us b) amuses us c) only surprises us.
- iv. Fill in the blank with a suitable option out of the ones given in the bracket:

Mrs. Fitzgerald's harsh behaviour with the Pearson family adds the element of to the play. : (a tragedy b comedy c pity)

4. A.8 SUMMING UP

1. The play 'Mother's Day' is a one-act play focusing on the problems of neglected and ignored housewives.
2. It carries an important message that we must be sensitive to the problems of the women like Mrs. Pearson who work hard for their family without appreciation or reward.
3. The play is a hilarious comedy that amuses us and gives us wise ideas.
4. The device of exchange of personalities used in the play makes it interesting and amusing.
5. The main characters in the play are Mrs. Pearson and Mrs. Fitzgerald

4. A. 9 SUGGESTED READINGS

- Gray, Dulcie. J.B. Priestley Stroud, England: Sutton 2000
- Klein Holger. J.B. Priestley's Plays. New York: St. Martin's Press, 1988

4. A. 10 QUESTIONS FOR PRACTICE

4. A. 10.1 Long Answer Questions:

- i. Discuss the relevance of the title of the play 'Mother's Day'.
- ii. Bring out the comic elements in the play 'Mother's Day'.
- iii. Explain the ending of the play.
- iv. Write a character-Sketch of Mrs. Pearson.
- v. Bring out the contrast between the characters of Mrs. Fitzgerald and Mrs. Pearson.
- vi. How does Mrs. Fitzgerald persuade Mrs. Pearson for the exchange of personalities and for what purpose?
- vii. Bring out the major ideas presented in the play.
- viii. Write a note on Mrs. Pearson's encounter with Mr. George Pearson after the exchange of personalities.

4A. 10.2 Short Answer Questions

- i. Who is Mrs. Pearson and why is she worried at the beginning of the play?
- ii. What was the proposal given by Mrs. Fitzgerald to Mrs. Pearson?
- iii. Why was Doris angry with her mother? How did Mrs. Pearson react to it?
- iv. Who is Doris and what astonishes her when she asks for tea?
- v. How is Cyril treated by Mrs. Fitzgerald in Mrs. Pearson's body?
- vi. Why does Mrs. Pearson start smoking in front of her children?

4B. 1 ABOUT THE AUTHOR

John Millington Synge, born on 16 April 1871 was an Irish playwright and prominent figure among the writers of the Irish Literary Revival. His father was a barrister. Synge, and his mother had to move to the house of his maternal grandfather after the death of his father in 1872. Synge was initially interested in music and joined the Royal Irish Academy of Music. Later he joined Trinity College Dublin and graduated in 1892. He went to Germany to study music but came back to Ireland. He went to Paris in 1895 to study literature and languages. During this time he proposed a girl Cherries Matheson twice but she rejected his proposals. In 1896, Synge met a famous poet W.B. Yeats who asked him to go and live in the Aran Islands, learn about the life of the people there and then write about them. In 1899, Synge joined the Irish National Theatre Society and it later established the Abbey Theatre.

His first play *When the Moon Has Set*, was rejected by Lady Gregory a prominent figure associated with the Abbey Theatre. He completed his first book on the life in the Aran Islands in 1901. It was published in 1907 with the title *The Aran Islands*. Most of his later works are

also based on the forms of life he observed during his stay in the Aran Islands. His dramatic works include the following: In the Shadow of the Glen (1903), Riders to the Sea (1904), The Well of the Saints (1905), The Playboy of the Western World (1907), The Tinker's Wedding (1908), and Deirdre of the Sorrows (1910).

His 'The Playboy of the Western World,' considered to be his master piece was the most controversial of his writings. It resulted in riots as the audience considered the use of some of the words in it immoral, and did not like his presentation of the Irish life which they considered was against the spirit of Irish nationalism. He died in Dublin in 1909.

4.B.2CHECK YOUR PROGRESS: I

Choose the correct answer:

- i. After the death of his father, J.M. Synge went to live with his : a) uncle b) Brother c) Friend d) maternal grandfather
- ii. Apart from literature, Synge had great interest in : a) games b) magic c) music d) dance.
- iii. State whether true or false : Synge got married to Cherries Matheson (True \False)
- iv. Fill in the blank with the correct answer given in the bracket: Synge metwho advised him to go to Aran Islands and live there. a) Lady Gregory b) W.B. Yeats c) Sean O Casey d) Cherries Matheson
- v. Fill in the blank with the correct answer:
Synge went to Paris to study
- i. the art of drama b) music c) languages and literature d) philosophy

4. B. 3 RIDERS TO THE SEA: SUMMARY OF THE PLAY

Riders to the Sea is about the miserable and sorrow stricken life of the islanders living at the Western part of Ireland known as Aran Islands. It brings out the way Maurya, an old woman suffers due to the death of a number of male members of her family at the hands of the sea.

As the play begins we see Nora and her sister Cathleen in a Cottage kitchen. The things in the cottage show that it is a poor family at some remote rural place on the islands. While Cathleen is busy in household chores like kneading cake and spinning, Nora enters and asks about Maurya. Cathleen tells her that Maurya may be sleeping if she can. It shows that the old woman Maurya is restless for some reason that does not allow her to sleep. Nora takes out a bundle of clothes that the Priest had given her. He had told her about a dead body of a man found at a place called Donegal. The Priest had said, "If it's Michael's they are.... You can tell herself he's got a clean burial by the grace of God, and if they are not, let no one say a word about them, for she will be getting her death". The girls are afraid that dead man could

be their young brother Michael who had been missing for a week. The young sisters do not want their mother Maurya to know about the bundle of clothes and hide the bundle in the turf loft.

At this time , Bartley, the last surviving son, and the brother of these young girls is getting ready to go to the sea and sell horses in the fair at Galway. The weather is rough and it is dangerous to go and cross the sea. Bartley's mother hopes that the Priest would not allow her son to go in such horrible tides. Cathleen and Nora are eager to have a look at the clothes in the bundle to know if they belong to their brother Michael. They plan to have a look at the clothes when their mother is away to see if the dead body of her son Michael had come floating in the sea. Maurya is almost certain that her son has died. Her only hope is to give him a decent burial.

Bartley comes and searches for a new piece of rope as he would need it on his way to Galway. Maurya does not want him to go and asks him to have a look at the white boards they had purchased for Michael's coffin. She tells him, "It's a hard thing they'll be saying below if the body is washed up and there's no man in it to make the coffin, and I after giving a big price for the finest white boards you'd find in Connemara." But Bartley does not bother and changes his clothes to go. He instructs his sister Cathleen to look after the household affairs in his absence. He goes away without receiving blessings from his mother which is customary. A man's going without blessings is considered an ill omen in this society.

He goes to the sea with a red mare and a grey pony tied behind. When he has gone away from the house, Cathleen finds that her brother had not taken the cake she had prepared for him. He did not carry any food for his journey. It worries his sister and she asks her mother Maurya to go after Bartley and hand over the cake to him. She asks Maurya to get this opportunity and give her blessings to him. Maurya gets ready to go and takes a stick to help her walk quickly. The stick that Maurya gets was brought by her son Michael who she believes to be dead. It makes her comment, " In the big world the old people do be leaving things after them for their sons and children, but in this place it is the young men do be leaving things behind for them that do be old". These words bring out ironical situation prevailing in this island where young boys are taken away by the sea.

Maurya goes out to hand over the cake to her son and give him her blessings. In her absence, Cathleen and Nora hurriedly try to open the bundle and have a look at the clothes. They want to ascertain if the clothes belong to their brother Michael. They talk about the shirt in the bundle of clothes to find if it belonged to Michael. They cannot use the shirt as Bartley had put on Michael's shirt when he left home. They also believe that the same kind of shirt could

belong to anyone. They do not use the shirt in the bundle to identify their brother. They have a look at the stockings. Nora recognizes the stitching on the stockings that she had done and realizes that they were the same. Nora points out, "It's the second one of the third pair I knitted, and I put up three score stitches, and I dropped four of them".

After some time they find Maurya coming back. Cathleen and Nora try to hide their sorrow from her. They believe that Maurya has given her blessings to Bartley and plan not to tell her about Michael as long as Bartley is 'on the sea'. They hide the bundle of clothes into a hole in the chimney corner. Maurya enters the house in a very pensive mood, still carrying the bread she was to give to Bartley. Cathleen asks her why she did not give the bread to Bartley. Maurya starts sobbing. Cathleen wants to know if her mother saw Bartley going away. Maurya does not respond and keeps sobbing. On her asking repeatedly, Maurya says that she had seen the 'fearfulest' thing, "I've seen the fearfulest thing any person has seen, since the day Bride Dara seen the dead man with the child in his arms." The girls ask her to explain the fearfulest thing she had seen. She tells them that there was Bartley on the red mare and she tried to say, "God speed you," but she could not utter the words and he went by. After this it was rather Bartley who said, "the blessing of God on you". After this, she saw Michael (who is already dead), wearing fine clothes, new shoes, and riding the gray pony. Cathleen tells her mother that she had not seen Michael as he is already dead and he has been given a decent burial. But she believes that the things Maurya claims to have seen are an indication that Bartley too would be killed. Nora then reminds her that the young priest had said that God would not leave their mother 'destitute with no son living.'

Maurya starts mourning the loss of all the male members of her family at the sea. She has already lost six sons, her husband, and husband's father also. She vividly remembers the way the bodies of some of them were found and brought home. When she talks about her dead sons and other members of her family, Nora and Cathleen hear the voice of someone weeping. Maurya continues wailing and weeping for the dead. As she opens the door, there are women in their red petticoats weeping in a low voice. Cathleen and Nora think that the people are bringing the dead body of Michael. Maurya in her sorrow says that how those women could be certain that it was the dead body of Michael as it is difficult to identify the body after it has remained in the sea for several days. Cathleen reveals to her mother that the body was of Michael as his clothes had already been sent to them which were kept in a bundle by them. But the dead man turns out to be Bartley, the last surviving son of the old woman. One of the women tells how Bartley was pushed into the sea by the gray pony.

On hearing about the death of her son Bartley, Maurya reacts in a strange way. She says, “They’re all gone now, and there isn’t anything more the sea can do to me”. It speaks of her endless and repeated sorrows. She bends down near Bartley’s body and prays after sprinkling holy water on it. The whiteboards bought for Michael’s coffin are now to be used for Bartley. Cathleen says her mother forgot to bring nails for the coffin as she was broken because of the death of her sons and her old age. But the last line she utters shows her spirit to defy pain and face the onslaughts of death boldly. She says, “No man at all can be living for ever, and we must be satisfied”. Thus, she may be defeated but like a great tragic hero, she is not broken in her spirits.

4 B. 4 CHECK YOUR PROGRESS: II

I. Fill in the blank with the correct answer:

The play *Riders to the Sea* is based on the life of the people living in a) Aran Islands b) Dublin c) in Irish villages d) in forests

II. Fill in the blank with the correct answer :

The setting of the play is a) banks of a river b) sea shore c) city d) an imaginary place.

iii. Read the summary given above and complete the following :

Cathleen and Nora hide the bundle of clothes from The had given the bundle to and told that the clothes perhaps

iv. complete the following by selecting the correct option

The girls Cathleen and Nora come to know about the death of their brother Michael

a) from the Priest b) from the clothes in the bundle c) Maurya talks about his death d) a villager brings his dead body home.

v. Maurya buys expensive white dash boards for Michael’s coffin:

a) as she is informed that he has died b) much before she comes to know about his death c) as the Priest has asked her to do so d) because Bartley gives her the money

4 B. 5. RIDERS TO THE SEA AS A TRAGEDY

John Millington Synge’s play is a tragedy in one act. It makes this play highly significant and artistically rich. The playwright has successfully deployed a number of elements of tragic drama to achieve the tragic effect. *Riders to the Sea* creates highly serious atmosphere suitable for a tragedy in a gripping manner.

Of course, it does not have the features of Greek tragic drama that Aristotle discusses in his *Poetics*. In the Greek tragedies, the protagonist or the hero is a man of outstanding character, he is neither too good nor a villain. His fall or punishment is brought by some tragic flaw or moral depravity in his character. The protagonist fights boldly and struggles hard but fails to

overpower the forces hostile to him and is ultimately killed or defeated. Another significant feature of the tragedies considered to be the model for others to follow was that the hero or the tragic protagonist was usually a god or uncommon person or someone having supernatural or more than human powers. Seen from these perspectives, 'Riders to the Sea' may not be treated as a good tragedy. But the way Synge has presented the tragic tale of Maurya makes this play an excellent tragic drama.

The protagonist in the play is an old woman Maurya. She is a poor woman and her life moves from happiness to misery. Unlike the Greek tragic plays Maurya's tragedy is not the result of any fault or drawback or moral flaw in her. The sea takes away all the male members of her family and makes her life sorrowful and tragic. She suffers without committing any wrong. Her tragedy is the result of the circumstances and the place where she has to live and struggle for livelihood. Her struggle against nature takes the toll of her sons and other males in the family. As a tragic protagonist Maurya seems to acquire the greatness of tragic heroes of the Greek tragedy in her stoic resistance to sufferings and sorrows. Instead of showing signs of despair, or regretting her helplessness she seems to challenge the sea. Her capacity to bear pain, loss and sufferings raises her to the height of a great personality. When all the male members of her family are dead, she expresses her feelings in these words, "They're all gone now, and there isn't anything more the sea can do to me". Only a person who has achieved more than human resistance to sorrow can think and feel like this. Her reaction to her sufferings makes her a great tragic figure.

In a tragic play, conflict is considered essential to further the action and ensure the movement of the plot. In 'Riders to the Sea', the conflict takes place between the sea and human beings. Sea as a hostile force of nature destroys the young men who venture to go across the sea. The tragedy takes place for their riding the sea. They survive as long as they ride the waves, but the sea knocks them down and causes their end.

The play 'Riders to the Sea', may not have all the characteristic qualities of a Greek tragedy and fall short of Aristotle's understanding of a tragedy, it turns out to be great tragedy it succeeds in having a tragic impact on the audience. The way it universalizes the feelings of sorrow and sufferings of an island community makes it a great work of art.

4 B.6 CHECK YOUR PROGRESS: III

Answer the following questions by selecting the correct answer:

i. How many acts are there in this play?

a) one . b) two . c) five d) three

ii. Riders to the Sea is a : a) comedy b) tragedy c) historical play d) interlude

iii. Choose the correct answer:

This play is similar to \different from Greek tragedies.

iv. Who is the tragic protagonist of the play?

a)Bartley b) Michael c) Maurya d) Nora

v. The conflict in this play is between:

a) The sea and animals b) Sea and the tragic protagonist Maurya c) The sea and Bartley d) Nora and Cathleen

4.B. 7 SUPERNATURAL ELEMENTS IN RIDERS TO THE SEA

The play 'Riders to the Sea' is the outcome of Synge's experiences among the islanders. He tried to capture the beliefs, superstitions, religious thoughts and other traditions of the natives in his writings. This play is set in the Aran Islands and the life of the characters depicted by Synge shows different aspects of their culture and tradition. One prominent aspect of these people's life is their acceptance of the role of supernatural in life. In the play, there are different incidents, situations, and descriptions that have supernatural implications.

The word supernatural refers to those things which defy logical and rational interpretation. There are incidents, phenomena, situations, scenes, and descriptions which are beyond our rational and natural understanding of life. These supernatural elements often tend to be more powerful and, mysterious in nature. Sometimes there is no explanation of these processes. We have to accept them as a part of the belief system of the people. Such things are just believed to be possible. The supernatural often do not appear in human and natural surroundings and circumstances. And their use also results in creating mysterious, suspicious and fearful atmosphere in a work of art.

The use of supernatural is not something new or particularly linked to the ancient times. We find several works of art produced centuries ago in which supernatural elements have been used. There are modern writings in which these elements also appear. However, we can see a marked difference between the supernatural in ancient Greek tragedies and the supernatural elements in this play. For example, in Greek literature supernatural elements like Gods and demigods move among human beings impacting their lives. But the supernatural in Riders to the Sea appears in the form of different incidents, happenings, circumstances and situations. In Riders to the Sea, supernatural elements can be traced in different forms. There are happenings, descriptions, co-incidents, situations, utterances having prophetic significance, and beliefs of different characters having supernatural implications. These things cause a sense of disbelief, wonder and mystery for the audience. They prompt us to think, 'How did

it happen so?’ ‘Is it possible’? But the way these things take place we have to suspend our sense of disbelief.

As the play progresses, we find Maurya all the times worried that her son Bartley would die at the sea. In the beginning of the play, Bartley is getting ready to go across the sea to sell the horse. Maurya expresses her fears, “He’s gone now, God spare us, and we’ll not see him again. He’s gone now , and when the back night is falling I’ll have no son left me in the world.” It is something strange that what she says much earlier comes out true at a later stage. Her fears indicate something strange, mysterious and supernatural about her. It seems as if she already knows the future.

Another incident that becomes a powerful supernatural element in the play is Maurya’s failure to give blessings and hand over a cake to her son Bartley going to the sea. Cathleen and Nora want their mother to give her blessings to the departing young man. It is a custom among these people. When they find Maurya failing in doing so and giving the cake to him, they fear that their brother would die. Surprisingly, the same thing happens after some time. Despite the fact that Maurya’s blessings too could have failed in saving her son, everything happens in such a way that the audience tend to associate Bartley’s death to Maurya’s failure to bless him and give him the cake.

There are other incidents in the play having obvious supernatural overtones. They instill a feeling of fear and surprise among the audience. When Maurya goes to bless her son and hand over the cake to him she finds her son Michael riding the grey pony. In fact, he is already dead. Maurya’s vision of Michael is something supernatural, strange and frightening. The role of the supernatural becomes more significant here when Bartley is reported to have been knocked by the gray pony. It also implies that Michael’s spirit took him away.

As mentioned earlier, we can associate supernatural with something extraordinary or abnormal and strange. In this context, the thoughts, behaviour and the beliefs of these islanders can be considered strange and different from the ordinary. Their circumstances, thoughts and belief system intensify the role of the supernatural in the play. Maurya talks about the white planks bought to make a coffin for her son Michel. But they are not yet sure of his death and receiving his dead body. Ultimately, these planks are used to make coffin for Bartley’s dead body, it indicates that getting the boards beforehand is something ominous and what happens later adds supernatural thoughts to it.

The supernatural happenings demand strange and mysterious circumstances for them to take place. This aspect of the supernatural is evident in the play also. ‘Riders to the Sea’ presents different characters who behave in a way that suits the supernatural to take place. Maurya’s

thoughts about the dead, her fears, the ideas of her daughters and the islanders provides suitable atmosphere in the play for the presentation of the supernatural in it.

4.B.8 CHECK YOUR PROGRESS: IV

Choose the correct answers:

i. The people living in the Aran Islands as presented in this play :

a) believe in the existence of the supernatural b) don't believe in the supernatural c) have no ideas about the supernatural d) do not experience anything supernatural in the play .

ii. The supernatural elements in the play indicate that the beliefs of the people are

: a) Superstitious b) scientific c) religious d) rational

iii. State whether true or false:

Synge was the first writer to use supernatural elements in a play: True \False

iv. The supernatural elements in the play generate a feeling of :

a) joy b) fear c) love d) pity

4.B.9 USE OF SYMBOLS

In literary writings, the objects, incidents, characters, and situations etc., that have some other meaning than their primary or referential meaning are considered symbols. The elements in a work of art which indicate something else function as symbols. They have some implied meaning which is not directly related to the words or the descriptions etc. These hidden meanings are not clearly expressed, one has to discover them. Sometimes these meanings remain unknown to the readers. The use of symbols adds to the complexity in a work of art and makes it difficult for the readers to understand its full significance.

In Synge's play *Riders to the Sea*, we can trace a number of important and meaningful symbols. These symbols are helpful in expressing the beliefs of the islanders and the way different things affect them. The symbols used by the playwright also point out different significances of the objects, natural phenomenon, incidents, and utterances of different characters.

Sea is a powerful symbol in the play '*Riders to the Sea*'. It stands for the cruel and relentless nature that causes endless harm to human life. It appears as something cruel and unsympathetic. But sea also provides livelihood to these people. It stands for the one who provides these people their livelihood. Therefore one of Maurya's daughters says that it is the fate of the young people to go to the sea.

We can find a number of objects, incidents, and situations having symbolic significance in the play. For example horse symbolizes strength, white dash boards stand for death, Bartley's

putting on Michael's coat indicates his coming death. In the same way the spinning wheel stands for repeated struggle and sorrows

4B.10 CHECK YOUR PROGRESS: V.

Fill in the blank with suitable answers given in the bracket:

- i. Symbols are the words, incidents etc., which have :
(a. One meaning only b. have more than their primary meaning, c. no meaning.
- ii. Select the correct answer: In the play, horse symbolizes :
a) Weakness b) speed c) strength.
- iii. Select the correct answer: Cathleen's spinning the wheel stands for
a) Hard work b) love for spinning c) continuous sufferings.
- iv. Select the correct answer:
Sea is the symbol of: a) water b) Maurya's life c) power of nature

4.B. 11 SUMMING UP

- i. 'Riders to the Sea' is a grim tragedy.
- ii. Is it different from the Greek tragedy.
- iii. It focuses on Maurya's sorrows and the relentless power of the sea.
- iv. The play uses supernatural elements that reveal the people's belief in traditional and superstitious way of living.
- v. Synge's use of symbols adds more meanings to the play.
- vi. Maurya emerges as the tragic heroine of the play.

4.B12. SUGGESTED READINGS

*Ashok Sen Gupta, Ed. *Riders to the Sea*. Orient Black Swan: 2010

*Siddhartha Biswas, Ed. *Riders to the Sea*. Books Way: 2009

4. B.13 QUESTIONS FOR PRACTICE

4B.13.1 Long Answer Questions

- i. Discuss 'Riders to the Sea' as a tragedy.
- ii. Write a detailed essay on Maurya's sufferings.
- iii. Give a character-sketch of Cathleen.
- iv. Explain Synge's use of Symbols.
- v. Discuss the supernatural elements in the play.
- vi. Write the summary of the play in your own words.

4B.13.2 Short Answer Questions.

- i. Who is Nora in the play, 'Riders to the Sea'?

- ii. Where do Cathleen and Nora hide the bundle of clothes and why?
- iii. What did the priest tell Nora about the clothes?
- iv. Why do Cathleen and Nora want to send their mother away from the house?
- v. Did Maurya succeed in giving her blessings and the bread to her son Bartley? Why?
- vi. Write a brief note on Maurya's reaction at the death of her last surviving son?

CHECK YOUR PROGRESS EXERCISES

A. Check Your Progress I:

- i. a ii. b iii. c iv. False

Check Your Progress II:

- i. a ii. a iii. b iv. a

CHECK YOUR PROGRESS III:

- i. housewives ii. respect iii. to express the theme of the play iv. comic way

CHECK YOUR PROGRESS IV:

- i. c ii. c iii. b iv. b

.B. CHECK YOUR PROGRESS: I

- i. d ii. c iii. False iv. b vi. C.

CHECK YOUR PROGRESS: II

- i. a ii. b iii. Maurya, the Priest , Nora , belonged to Michael. Iv. b. v. b.

CHECK YOUR PROGRESS: III

- i.a ii.b iii. different iv. c v. b

CHECK YOUR PROGRESS: IV

- i. a ii. a iii. False iv. b

CHECK YOUR PROGRESS: V.

- i. b ii.c iii. c iv c

BACHELOR OF LIBERAL ARTS
SEMESTER-IV
COURSE: ENGLISH COMPULSORY-II

UNIT 5 TYPES OF SENTENCES: SIMPLE, COMPOUND AND COMPLEX

STRUCTURE

5.0 Objectives

5.1 Introduction:

5.2. Simple Compound and Complex Sentences

5.2.1 Types of Clauses

5.2.1.1 Main/Principal Clause

5.2.1.2 Subordinate/Dependent Clause

5.2.1.3 Co-ordinate Clause

5.3 Simple Sentence

5.4 Check Your Progress I

5.5 Compound sentence

5.6 Check Your Progress: II

5.7 Complex Sentence

5.8 Check Your Progress: III

5.8.1 Exercise

5.9. Transformation of Sentences I

5.9.1 Review Exercises

5.9.1.1 Exercise

5.9.1.2 Exercise 2

5.9.1. 3 Exercise 3

5.9.1.4 Exercise 4

5.9.1.5 Exercise 5

5.9.1.6 Exercise 6

5.9.2 Transformation Of Sentences II

5.9.2 .1 Review Exercise 1

5.9.3 Transformation of Sentences III

5.9.3.1 Review Exercise 1

5.9.3.2 Exercise 2

5.9.3.3 Exercise 3

5.10 Summing Up

5.11 Further Readings

5.12 Questions for Practice

5.12.1 Long Answer- Questions

5.12.2 Short Answer Questions

5.0 OBJECTIVES:

The purpose of this unit is to explain different types of sentences in English. It also strives to enable the students to identify them, write different types of sentences and change one form of the sentence into the other.

5.1 INTRODUCTION:

The unit discusses simple, complex, and compound sentence in English language. The difference between clause and phrase has been explained to help the students in marking the structure of different types of sentences. The study of this unit will show the way different types of sentences are formed and the way they can be re-written in another form or the way they can be transformed. The interactive exercises, it is believed, will make the process of learning interesting and easy.

Check your progress exercises will help you in having an idea about your progress in learning different types of sentences at different stage of this unit.

5.2 SIMPLE COMPOUND AND COMPLEX SENTENCES

On the basis of structure, there are three types of sentences i.e. simple, compound, and complex.

Before studying these forms of sentences it is important to identify their constituent parts known as phrases and clauses. The following discussion about the features of a phrase and a clause will be helpful for this purpose.

Let us read the following sentences:

- (i) Mohan was standing *in the class*.
- (ii) *Feeling uneasy*, they left the meeting.
- (iii) Sarah wanted *to play cricket*.
- (iv) *Watching T.V.* is his pastime.
- (v) *Attracted by her beauty*, Rajesh sought her hand.

The italicized groups of words in the sentences above are called phrases. In each of these phrases we find the following:

- (i) It forms a part of the sentence.

- (ii) It makes some, but not complete sense.
- (iii) It has no subject of its own.
- (iv) It has no finite verb of its own, a verb which is limited by the subject in a sentence. Instead, it has Present Participle (v₁ + ing), as in sentence (ii) and (iv), Infinitive Verb (to + v₁), as in sentence (iii) and past participle (v₃) as in sentence (v).

Therefore, a phrase can be defined as *a group of words which has no Subject and no Finite Verb of its own.*

Now look at the following sentences:

- (i) The boy *who is on the top floor* is my brother.
- (ii) He told me *that I should read this story*.

In sentences (i) and (ii), the italicized groups of words are parts of sentences. In sentence (i) the group of words *who is on the top floor*, and in sentence ii. the group of words, *that I should read this story* have their own subjects and predicates (*should read this story*). It is a **clause**.

A clause, therefore, may be defined as a group of words having its own subject and predicate.

5.2.1 TYPES OF CLAUSES

5.2.1.1 Main/Principal Clause

Read the following sentences:

- (i) *Walk slowly*, or you will fall.
- (ii) *I do not know* what he is reading.
- (iii) *They asked* who he was.

The groups of words in italics in the above sentences express the main facts, though they may or may not stand on their own.

Such groups of words are called **main clauses**.

5.2.1.2 Subordinate/Dependent Clause.

Look at the following sentences:

- (i) I do not know *what he is reading*.
- (ii) They asked *who he was*.
- (iii) He said *that he would definitely come*.
- (iv) *If it rains*, the farmers will be happy.

The groups of words in italics in the above sentences do not express the complete sense and have to depend upon the other groups of words for their meaning. Such groups of words are known as **Subordinate or Dependent Clauses**. These are introduced by subordinate conjunctions/subordinators (before, after, what, who, that, if, so, that, because, as, since, etc.)

5.2.1.3 Co-ordinate Clause

Consider the following sentences:

1. He is sleeping and she is reading.
2. Joy helped me but Tonny cheated me.

Each of these sentences has two clauses joined by a co-coordinating conjunction/co-coordinator (and, but). Such clauses are called co-ordinate clauses. They are complete in meaning and can stand on their own.

Note: The information about clauses and phrases is essential for us to mark different types of Sentences.

5.3 SIMPLE SENTENCE: A simple sentence consists of only one main clause i.e. –a subject and a verb. But it may have one or more phrases.

Look at the sentences given below:

- (i) This house is vacant.
- (ii) Birds fly in the sky, near this river.
- (iii) The man in green coat is his brother.
- (iv) Walking carelessly, he fell headlong.
- (v) Having parked the car, they went in .
- (vi) Swimming in the canal, is good for health.
- (vii) To learn English, requires patience.
- (viii) Being lazy, he did not come.
- (ix) He will not come at this time.
- (x) Tired of hard work, he went to bed early in the evening.

Note: All these sentences are simple sentences. We can see that they consist of only one independent or main clause each and one or two phrases. Sentences ii., and x. have two phrases, while rest of them have only one phrase.

5.4 CHECK YOUR PROGRESS: I

- i. How many types of sentences are there in English on the basis of structure?
a) five b) four) c three)

ii. A group of words without a subject and a verb of its own is called :

a) Clause b) subordinate clause c) phrase d) simple sentence

iii. A group of words having a subject and a verb of its own is known as :

a) a phrase b) clause c) conjunction d) complex sentence

iv. A simple sentence may have:

a) more than one phrases in it b) a subordinate clause in it c) two independent clauses in it d) a main clause and a subordinate clause.

5.5. COMPOUND SENTENCE

Read the following sentences carefully:

- (i) *He is reading and his brother is sleeping.*
- (ii) *They are poor but they are honest.*
- (iii) *They did not work hard, consequently all of them failed.*
- (iv) *He is mad or he pretends to be mad.*
- (v) *She was ill, so she did not come to school.*
- (vi) *He is fat; therefore, he cannot climb this tree.*
- (vii) *Jenny needs our help for he is poor.*
- (viii) *Either Rita will come or she will send a letter.*
- (ix) *She is a known actress; still she is poor.*
- (x) *She must weep, or she will die.*

OBSERVATION: The study of the above sentences shows that a compound sentence has at least two main clauses joined by a co-coordinating conjunction. It is also called a *double Sentence*.

Note: For the purpose of making compound sentences different types of conjunctions are used to serve different purposes Making compound sentences using cumulative conjunctions, for example: *and, as well as, both and, not only but also*. These conjunctions are used to join two ideas similar in nature.

Examples:

- (i) Mr. Kapasi went to the city *and* bought a scooter.
- (ii) Manohar *as well as* Rathore was present there.
- (iii) He is *both* a singer *and* a writer.
- (iv) He *not only* got good marks *but also* won the first prize in sports.

(b) Making compound sentences using Adversative conjunctions. These conjunctions are used to join the ideas dissimilar in nature.

Examples:

- (i) Jonathan abused Jacky *yet* he remained silent.
- (ii) Dora is dull at studies *but* sharp in making toys.
- (iii) My younger brother is ill, *still* he goes to college.
- (iv) It was raining *nevertheless* he came in time.

(c) Making compound sentences using *Alternative conjunctions*. These conjunctions are used to join sentences expressing a choice or an alternative between the two.

Examples:

- (i) Answer the question, *or* I will make you stand on the bench.
- (ii) Work hard *otherwise* you will fail.
- (iii) *Either* Mr. Cook should sit silently *or* he will be fined.

(d) Making compound sentences by using *Illative conjunctions*. These conjunctions join sentences in which the second sentence is the inference or result of the first.

Examples:

- (i) I am not feeling well, *so* I will not play today.
- (ii) He walked slowly; *therefore* he could not catch the train.
- (iii) We liked this place; *hence* we bought a house here.
- (iv) She will not go there, *for* she does not know the way.

Note: The following list of the conjunctions used in complex and compound sentences will be quite helpful to you in identifying and making different types of sentences:

Complex Sentences

who, whom, whose,
that, which, when,
while, after, before
as, since, because
where, what, wherever
whenever, if, whether,
unless, till, until,
so that, such that, lest,
though, although, even if,

Compound sentences

and, but, or, nor, for,
neither.....nor, either..... or,
not only.... but also, so,
therefore, hence, otherwise
consequently, still.

5.6. CHECK YOUR PROGRESS: III

Choose the correct answer:

- i. A sentence having two or more independent clauses is :
a) simple sentence b) compound sentence c) complex sentence
- ii. The sentence , ‘Either he or his friend has stolen my book’, is :
a) simple sentence b) complex sentence c) compound sentence

iii. Choose the correct answer to identify the following sentence: ‘We are happy to find you here in the park enjoying your lunch with your friends’.

a) simple sentence b) complex sentence c) compound sentence.

5.6.1 EXERCISE

A. Identify the subordinate clauses in the following sentences:

1. Roma came to me when I was writing this letter.
2. The book will be ready if you write regularly.
3. The town in which he was born was very small.
4. The instructor explained to me how the typewriter could be used.
5. The telephone rings when it receives a call.

B. Classify the following sentences into simple, complex and compound:

6. Though Smith is rich, he is very generous.
7. He is so poor that he cannot help you.
8. It is still a secret.
9. The sun is a planet but the moon is not.
10. Either you or I must quit this place.

5.7 COMPLEX SENTENCE:

Read the following complex sentences carefully.

- (i) He said that he was honest.
- (ii) That he is an officer is well known.
- (iii) It is true that he is carefree and careless.
- (iv) The girl, who is in a red shirt, is a dancer.
- (v) They met the teacher whom you had recommended.
- (vi) If they know you, they will be lucky.
- (vii) Come because it is not too late.
- (viii) He was so weak that he could not walk.
- (ix) Although he is poor, he is honest.
- (x) He is as good as Ram is.

Observation: The coloured parts of the above sentences are subordinate clauses which cannot convey complete meaning. They depend on the main clauses to express complete meaning. All

these sentences are complex. A complex sentence has one main clause and at least one subordinate/dependent clause.

Exercise: Identify the main clause and the subordinate clause in each of the following sentences:

1. The English paper *which students got this year* was a difficult one.
2. Kapil won't pay attention *to what you say*.
3. No one expected *that Kamal would get through the examination*.
4. He has a son *who obeys none*.
5. The conjuror felt annoyed *when someone made fun of him*.
6. Shakespeare *who wrote plays* was a great poet also.
7. God helps *those who help themselves*.
8. Come to me *when you see the sun at night*.
9. We know *that you dislike this job*.
10. Have you informed the teacher *where you have kept the books*?

Answer: The Italicized parts of the sentences are subordinate clauses. We can see that these parts of the sentences above do not make complete sense. The parts not italicized make complete sense. They are the main clauses.

5.8. CHECK YOUR PROGRESS: II

State whether true or false:

- i. A complex sentence has a main clause and one or more subordinate clauses : (True \False)
- ii. A complex sentence has a verb and a phrase only: (True \False)
- iii. A complex sentence must have a main clause: (True \False)
- iv. Two independent or main clauses joined together form a complex sentence: (True \False)

5.8.1 EXERCISE

Make complex sentences using the subordinate clauses given below:

1. what the student said
2. who was absent yesterday
3. after the meeting was over
4. when they could meet the Principal
5. where this book is available
6. who wore red sweater
7. where our forefathers lived
8. when the boss was to come

9. that you enjoy good health
10. that you shall say so

5.9 TRANSFORMATION OF SENTENCES I

We can re-write simple sentences as complex sentences. There are different ways to do this. Look at the following sentences and see how they have been changed from simple to complex ones.

(A) By expanding Nouns\Noun phrases into Subordinate clauses :

1. **Simple:** Rakesh admits his *crime*.
Complex: Rakesh admits *that he is a criminal*.
2. **Simple:** I am sure of her *innocence*.
Complex: I am sure that *she is innocent*.
3. **Simple:** He hopes *to get good marks*.
Complex: He hopes *he will get good marks*.
4. **Simple:** *The planes' collision in the air* was shocking.
Complex: *That the planes collided in the air* was shocking.
5. **Simple:** I heard of *your father's success*.
Complex: I heard *that your father was successful*.

5.9.1 REVIEW EXERCISES

5.9.1.1 EXERCISE

Transform the following simple sentences into complex sentences:

1. He was confident of my success. (... confident that I...)
2. I am sure of her arrival today. (.... sure that she...)
3. Rupa thought of her marriage with Rajveer.(... thought that she would...)
4. I hear of his son's sudden death.(..... hear that his son.....)
5. Their failure in the examination surprised us .(That they failed.....)
6. Her making good coffee was a wonder. (How she made.....)
7. Your silence reveals your guilt. (..... that you are.....)
8. His son has proved his capability. (... that he is)
9. They expect to see you soon. (..... that they will.....)
10. My father hopes to get a promotion.(..... that he will.....)

(B) By expanding Adjectives/Adjective phrases into Subordinate clauses:

1. **Simple:** The *thin* men are the divers.
Complex: The men *who are thin* are the divers.

2. **Simple:** I met a *blue-eyed* girl.
 Complex: I met a girl *whose eyes were blue*.
3. **Simple:** The pan *with a broken handle* is his.
 Complex: The pan *which has a broken handle* is his.
4. **Simple:** The boy *sitting near me* is his cousin.
 Complex: The boy *who is sitting near me* is his cousin.

5.9.1.2 EXERCISE 2

Rewrite the following simple sentences into complex sentences:

1. *Hard-working* people often succeed. (People who are...)
2. They live in *wooden* houses. (...houses which are...)
3. She wore a *purple* cloth. (... a cloth that was ...)
4. We passed through a *deserted* village.(.... a village which was...)
5. She wore a crown *made of gold*. (....a crown which was...)
6. The man *standing behind you* looks tired.(The man who is...)
7. We saw an elephant *with a white skin*.(...an elephant which had...)
8. We rarely meet men *of sound character*.(...men who have...)
9. That was the reason *of his coming late*.(.....reason why he.....)
10. Here you can have anything *of your liking*.(...anything that you....)

(C) By expanding Adverbs/Adverb phrases into Subordinate clauses:

1. **Simple:** Politics is *thoroughly* bad.
 Complex: Politics is as bad *as it could be*.
2. **Simple:** They arrived *unexpectedly*.
 Complex: They arrived *although their arrival was unexpected*.
3. **Simple:** She is too lazy *to get up early*.
 Complex: She is so lazy *that she cannot get up early*.
4. **Simple:** We were too poor *to help them*.
 Complex: We were so poor *that we could not help them*.
5. **Simple:** This was done *in her absence*.
 Complex: This was done *when she was absent*.

5.9.1.3 EXERCISE 3

Transform the following simple sentences into complex sentences:

- | | | |
|-------|---|-----------------------------|
| 1. | <i>On being caned</i> she wept. | (When she was...) |
| 2. | He was too tired <i>to walk</i> . | (He was so tired that...) |
| 3. | <i>Being ill-treated by his step-mother</i> he ran away. | (As he was...) |
| 4. | Wait here <i>till his arrival</i> . | (... till he ...) |
| 5. | <i>For all his weakness</i> he is very intelligent. | (Although he is ...) |
| 6. | She lay in bed <i>as if in sleep</i> . | (...as if she were...) |
| 7. | We never set out <i>without a steady wind</i> . | (...until there was |
| a...) | | |
| 8. | His father was surprised <i>to see him behave like this</i> . | (...when he saw him...) |
| 9. | Eat to your heart's content. | (...as much as you like...) |
| 10. | You must work hard <i>to pass</i> . | (...if you want....) |

(D) By expanding Participle phrases into subordinate clauses:

(a participle phrase is a group of words consisting of a participle(words formed of verbs but functioning as adjectives) and a noun or pronoun.

- Simple:** *Being poor*, Henry could not help us.

Complex: *As he was poor*, Henry could not help us.
- Simple:** *Tired of hard work* , she went to bed early.

Complex: *As she was tired of hard work*, she went to bed early.
- Simple:** *Having parked the car*, he entered the hall quietly.

Complex: *After he had parked the car*, he entered the hall quietly.
- Simple:** *Having been punished by the teacher*, she felt humiliated.

Complex: *After she had been punished by the teacher*, she felt humiliated.
- Simple:** *Walking in the garden*, he found a rare old coin.

Complex: *When he was walking in the garden* ,he found a rare old coin.

5.9.1.4 EXERCISE 4

Transform the following simple sentences into complex sentences:

- Being late*, Susan was afraid to be caned.(As Susan was...)
- Worn out by the strain*, Pasteur took a few days' holiday. (As Pasteur was ...)

3. *Bitten by mad dogs*, human beings often get rabies. (When human beings are...)
4. *Having arranged for the patrol*, the officer went in search of the journalist. (After the officer had...)
5. *Climbing the hill*, they came face to face with a few monkeys. (After they had...)
6. *Having been dismissed*, he thought of suicide. (After he had been...)
7. *Having nothing to do*, we listened to radio news (As we had...)
8. *Sensing danger*, they immediately turned back. (... because they sensed...)
9. *Going towards the hall*, they exchanged furtive glances. (When they were...)
10. *Leaving Spain*, I do not feel unhappy. (...after leaving...)

(E) By expanding Absolute phrases into subordinate clauses:

(An absolute phrase is a group of words that modifies the whole main clause.

1. **Simple:** *The sun having set*, the fishing boats came back to the shore.
Complex: *As the sun had set*, the fishing boats came back to the shore.
2. **Simple:** *The air being unsteady*, the boat went out of control.
Complex: *As the air was unsteady*, the boat went out of control.
3. **Simple:** *The tide having slackened*, he swam fast .
Complex: *When the tide had slackened*, he swam fast.
4. **Simple:** *The helicopter having arrived*, they packed him into it.
Complex: *When the helicopter had arrived*, they packed him into it.
5. **Simple:** *It being Monday*, Tom thought of staying home from school.
Complex : *As it was Monday*, Tom thought of staying home from school.

5.9.1.5 EXERCISE 5

Transform the following simple sentences into complex sentences:

1. The bear having gone, Malcolm rose to his feet. (When the bear had...)
2. Weather permitting, we shall go on picnic. (If weather permits...)
3. The teacher having left, the boys made a lot of noise. (When the teacher had left.....)
4. The brake having failed, the car struck against a tree. (When the brake had failed.....)
5. The sun having risen, the fog disappeared. (When the sun had risen.....)
6. The plane being very late, we decided to take rest. (As the plane was very late....)
7. The clock being faulty, we got late, (As the clock was.....)
8. The battle having been won, they felt very happy. (After the battle had been)
9. Their job being over, they left for home. (When their job.....)
10. Time being very precious, we should not waste it. (As time is)

(F) By expanding Appositive word or phrase into a subordinate clause :

1. **Simple :** My father, *a teacher*, is very honest.

Complex : My father *who is a teacher* is very honest.

2. **Simple :** This book , a *gift from my friend*, is very dear to me.

Complex : This book, *which is a gift from my friend*, is very dear to me .

3. **Simple :** They helped the man, *a retired school master*.

Complex : They helped the man *who is a retired school master*.

4. **Simple :** The shark, *a large sea fish*, is a terror to the swimmers.

Complex : The shark, *which is a large sea fish*, is a terror to the swimmers.

5. **Simple :** We ,*the natives of an ancient country* ,are simple and honest.

Complex : We, *who are the natives of an ancient country*, are simple and honest.

5.9.1.6 EXERCISE 6

Transform the following simple sentences into complex sentences:

1. The penguins, strange sea-birds, made them laugh.
2. His father, a well-known engineer, was working on the chemical composition of explosives.
3. Nobel settled in San Remo, then a peaceful seaside resort.
4. Mihir Sen was able to swim the English Channel, the sea between England and France.
5. They looked at the tank, their temporary home.
6. Tolstoy, a Russian novelist, is highly respected in India.
7. The Anarchist, in the cabin, was nervous.

5.9.2 TRANSFORMATION OF SENTENCES II

While converting simple sentences into a compound sentence, one part of the simple sentence is used as the Principal clause, others are converted into co-ordinate clauses with the help of their connectives and joined with the Principal clause.

(a) Making compound sentences using cumulative conjunctions, such as— *and, as well as, both and, not only but also*. These conjunctions are used to join two ideas similar in nature.

Examples :

- (i) Mr. Kapasi went to the city *and bought a scooter*.
- (ii) Manohar *as well as* Rathore was present there.
- (iii) He is *both* a singer *and* a writer.

- (iv) He *not only* got good marks *but also* won the first prize in sports.

(b) Making compound sentences using Adversative conjunctions. These conjunctions are used to join the ideas dissimilar in nature.

Examples :

- (i) Jonathan abused Jacky *yet* he remained silent.
- (ii) Dora is dull at studies *but* sharp in making toys.
- (iii) My younger brother is ill, *still* he goes to college.
- (iv) It was raining *nevertheless* he came in time.

(c) Making compound sentences using Alternative conjunctions. These conjunctions are used to join sentences expressing a choice or an alternative between the two.

Examples :

- (i) Answer the question, *or* I will make you stand on the bench.
- (ii) Work hard *otherwise* you will fail.
- (iii) *Either* Mr. Cook should sit silently *or* he will be fined.

(d) Making compound sentences by using Illative conjunctions. These conjunctions join sentences in which the second sentence is the inference or result of the first.

Examples:

- (i) I am not feeling well, *so* I will not play today.
- (ii) He walked slowly; *therefore* he could not catch the train.
- (iii) We liked this place; *hence* we bought a house here.
- (iv) She will not go there, *for* she does not know the way.

5.9.2.1 REVIEW EXERCISE 1

Transform the following simple sentences into compound sentences:

- (i) You should work hard to get first division.
- (ii) Having finished their work, they went out for a walk.
- (iii) Besides being rude, he is a cheat.
- (iv) In spite of being so young, he is wise.
- (v) To his great surprise, he won the first prize.
- (vi) On being caught, the thief started weeping.
- (vii) Being an obedient student, Jill was praised by the teachers.
- (viii) Failing prompt payment, you will be punished.
- (ix) He is too weak to walk.

5.9.3 TRANSFORMATION OF SENTENCES III

(A) By replacing “ but “ with “though/although” :

- 1. Compound :** Mathilde was poor, but she was highly ambitious.

Complex : Though Mathilde was poor , she was highly ambitious.

2. **Compound :** My penance pained everybody, but it cleared the atmosphere.

Complex : Although my penance pained everybody, it cleared the atmosphere.

- (B) **By replacing “and” with “ when”, “as”, “because,” “if”, “that“ etc.**

1. **Compound :** She would be caned and she had no excuse.

Complex : She would be caned as she had no excuse.

2. **Compound :** Spare the rod and spoil the child.

Complex : If you spare the rod, you will spoil the child.

3. **Compound :** His son passed ,and he was surprised.

Complex : He was surprised that his son had passed.

4. **Compound :** No ailment was found, and Tom investigated his system again.

Complex : When no ailment was found, Tom investigated his system again.

5. **Compound :** Jonas could not find a shelter, and he felt sorry.

6. **Complex :** Jonas felt sorry because he could not find a shelter.

- (C) **By replacing “or” with “if” or “unless” :**

1. **Compound :** Walk slowly or you will slip.

Complex : If you do not walk slowly, you will slip.

2. **Compound :** Send for the doctor at once, or he will die soon.

Complex : Unless you send for the doctor at once, he will die soon.

OR

If you do not send for the doctor at once, he will die soon.

5.9.3.1 CHECK YOUR PROGRESS IV

Answer the following questions:

- When a phrase is changed into a clause the sentence becomes: a) simple b) compound c) complex.
- An adverb can be transformed into a subordinate clause: True \False
- Identify these sentences: a) Work hard or you will fail. b) If you do not work hard you will fail.
- a) The boy in uniform is my younger brother. b) The boy ,who is in uniform, is my younger brother.

5.9.3.2 REVIEW EXERCISE 1

Transform the following compound sentences into complex sentences :

1. Pull in a bit and let us see them. (Pull in a bit so that we may)
2. Hurry up or you will be late. (If you don't hurry up.....)
3. This is a tempting idea but we cannot go so far.(Though this is)
4. Susan felt like a queen and invited them all. (As Susan felt.....)
5. It is not poisonous but will cause sores.(Though it is not.....)
6. Either pay the fine or leave the school.(Leave the school if you don't want.....)
7. Go there at once, otherwise you will be dismissed.(If you do not go there.....)
8. He understood but shook his head in despair. (Though he understood.....)
9. It was the time of calm, but the sea was still rough.(Though it was the time.....)
10. I shall see her soon, this is my last hope.(It is my last hope that I.....)

5.9.3.2 EXERCISE 2

Transform the following sentences into compound sentences :

1. The thin men are the divers.
2. The real danger is from the creatures below.
3. There was a shark's fin, drawing nearer and nearer.
4. This is a tiny copy of the Koran, the Arab's Bible.
5. His main work seems to be to roll cigarettes.
6. They, being the hardest workers, have the best treatment.
7. Having completed his work Mangal went to sleep.
8. On seeing a lion, he ran away.
9. As soon as I put my foot in the stirrup, I went down.
10. The long day being over the sun disappeared into the sea.

5.9.3.3 EXERCISE 3

Transform the following sentences into compound sentences:

1. My friends live in a wooden house like the hosts themselves.
2. There was a little pool fenced round.
3. The actors don't seem to think so.
4. On the way home, there were many things to see.
5. The service itself was very interesting, because the clergyman was a Maori.
6. It was made of panels of flax, beautifully hand-woven.
7. On my sniffing appreciatively, my host and hostess smiled.
8. A wooden house does not cause so much damage.
9. She was pointing to a little boiling pool at the corner of the gravestone
10. People find these things very useful.

5.10 Summing up:

*There are three types of sentences on the basis of structure.

*The sentences with only main or principal clause and a phrase or more than one phrases is called a simple sentence.

*The sentence with one main clause and one or more subordinate clauses are known as complex sentences.

*Sentences having more than one independent clause are considered compound sentences.

* One kind of sentence can be transformed into another type in different ways.

5.11 Further Readings:

* Murphy Raymond , Murphy's English Grammar Cambridge University Press: Delhi, Third Ed. Rpt. 2010

*Greenbaum Sidney, and Randolph Quirk, A University Grammar of English, Pearson 16th impression 2016

*Sharma, Ghanshyam, Essentials of English Grammar and Effective Writing. Dixit Publishing House: Jalandhar, 2012

5.12 Questions for Practice

5.12.1 Long Answer- Questions:

- i. Discuss different types of sentences in English on the basis of structure.
- ii. Explain the way complex sentences are formed. Illustrate your answer with the help of examples.
- iii. Bring out the difference between a complex, and a compound sentence with the help of at least four examples.
- iv. Give examples of at least three conjunctions used for compound sentences. Also explain the type of ideas they express.
- v. Write a detailed essay on the types of sentences.

5.12.2 Short Answer Questions:

- i. How many types of sentences are there on the basis of structure?
- ii. Explain the difference between a phrase and a clause.
- iii. What is the difference between main clause and subordinate clause? Give at least two examples each of a main clause and a subordinate clause.
- iv. Write two complex sentences using the conjunctions i. when ii. why.
- v. Explain two main features of a simple sentence.

Answers to Check Your Progress Exercises :

CHECK YOUR PROGRESS: I

- i. c ii. c iii. b iv a

CHECK YOUR PROGRESS: II

- i. True ii. False iii. True iv False

CHECK YOUR PROGRESS: III

- i.b ii. c iii. a

CHECK YOUR PROGRESS IV

i. c ii. True iii. (a) Compound (b) complex iv. (a) simple (b) complex

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

COURSE: ENGLISH COMPULSORY-II

UNIT 6: COMMON ERRORS

STRUCTURE

6.0 Objectives

6.1 Introduction

6.2 Errors in the use of articles

6.2.1 Check your progress: I

6.2.2. Review exercise

6.3. Errors in the use of nouns

6.3.1. Check your progress: II

6.3.2 Review exercise

6.4. Errors in the use of pronouns

6.4.1. Check your progress: III

6.4.2 Review exercise

6.5. Errors in the use of verbs

6.5.1. Check your progress IV

6.5.2. Review exercise

6.6. Errors in the use of adjectives

6.6.1. Review exercise

6.7. Errors in the use of adverbs

6.7.1 Check your progress v

6.7.2 Review exercise

6.8. Errors in the use of conjunctions

6.8.1. Review exercise

6.9 Errors in the use of preposition

6.9.1 Check your progress: VI

6.9.2. Review exercise

6.10 Summing up

6.11. Suggested Readings

6.12 Questions for practice

6.12.1 Long answer questions

6.12.2 Short answer questions

6.0 OBJECTIVES:

This unit is aimed to help you find the kind of errors often committed in the use of English language and the way you can avoid them.

6.1. INTRODUCTION:

Common Errors is a very significant part of using English language in a correct and effective way. In order to facilitate you in making correct use of English we have given different types of sentences related to different grammatical elements. Instead of giving emphasis on rules , we have tried to make this unit more practice oriented. However, certain essential rules have also been given for your guidance and for the explanation of the errors to be avoided.

Check Your Progress exercises are given to help you mark your progress in the process of learning.

It is advised that you attempt these exercises first and then verify the correct answers from the ones given at the end of the unit.

The study takes up different grammatical concepts separately so that it becomes easier for you to concentrate on the types of errors that occur related to these specific elements. The study starts from the errors we usually commit in the use of articles.

6.2. ERRORS IN THE USE OF ARTICLES

A and **An** are called indefinite articles, while **the** is called definite article. **A** is used before a singular, countable noun, with the initial consonant (b, c, d...) sound. **An** is used before a singular, countable noun, with the initial vowel sound (a, e, i, o, u). **The** is used while referring to a specific or particular thing or object.

Incorrect Sentences

1. He wanted a egg.
2. They saw an one-eyed beggar.
3. He is an European.
4. She is a M.A.
5. The game came to end.

(**Note** : The word 'one-eyed' and 'European' begin with a consonant sound, while the abbreviation 'M.A.' with a vowel sound.)

6. We can help needy.
7. He is Jinnah of India.
8. Sun sets in west.
9. Taj is a great monument.
10. I have read Gita.
11. Higher you go, cooler it is.
12. Boy in red shirt is his brother.
13. You are in wrong.
14. English speaks English.
15. Cow is a sacred animal.
16. Earth moves round sun.
17. Day follows night.
18. Have you been to Agra fort ?
19. What beautiful view !
20. Go, and have good time !
21. He watches the television a lot.

(**Note** : We use 'the' before radio and not before **television**.)

22. Listen to radio for a while.
23. Get ready for the breakfast.

Correct Sentences

- He wanted an egg.
- They saw a one-eyed beggar.
- He is a European.
- She is an M.A.
- The game came to an end.

- We can help the needy.
- He is the Jinnah of India
- The sun sets in the west.
- The Taj is a great monument.
- I have read the Gita.
- The higher you go, the cooler it is.
- The boy in red shirt is his brother.
- You are in the wrong.
- The English speaks English.
- The cow is a sacred animal.
- The earth moves round the sun.
- The day follows the night.
- Have you been to the Agra fort ?
- What a beautiful view !
- Go, and have a good time.
- He watches television a lot.

- Listen to the radio for a while.
- Get ready for breakfast.

24.They had the lunch here.

They had lunch here.

25.What time was the dinner ?

What time was dinner ?

(**Note :** We do not generally use 'the' before names of meals -breakfast, lunch and dinner.)

26.The Rajdhani leaves from the platform 4.

The Rajdhani leaves from platform 4.

27.Open your book at the page 28.

Open your book at page 28.

28.We go to the school at 9.

We go to school at 9.

29.They were arrested and are in the jail.

They were arrested and are in jail.

30.We went to school to meet your Principal.

We went to the school to meet your Principal.

31.We went to jail to meet the warden.

We went to the jail to meet the warden.

(**Note :** We do not use 'the' before institutions—school, jail, hospital, etc. —when they are used for the purpose for which they are set up.

32.The man is mortal

Man is mortal.

33.Man standing there knows me.

The man standing there knows me.

34.Gold we bought was pure.

The gold we bought was pure.

35.The gold is a precious metal.

Gold is a precious metal.

(**Note :** We do not use 'the' before a thing used in general sense.)

36.He is in park.

He is in the park.

37.Turn on light, please ?

Turn on the light, please ?

38.Would you have apple ?

Would you have an apple ?

39.He was singing song.

He was singing a song.

40.There is hair in my soup.

There is a hair in my soup.

(**Note :** We do not use 'a' before **hair** as uncountable noun : He has grey hair.)

41.The Raman is my friend.

Raman is my friend.

42.I don't know but there is Raman in my class.

I don't know but there is a Raman in my class.

(**Note :** We can use 'a' before a proper noun in case the person/thing is unknown or of no importance.

6.2.1 CHECK YOUR PROGRESS: I

Fill in the blanks with the correct answers :

- i. The is known as a :
a. definite article, b. indefinite article, c. a consonant
- ii. Article the is used to refer to a. common things b. particular and unique things c. before the words beginning with a vowel sound.
- iii. We article 'the' before the names of meals, before television.
a) use b) don't use
- iv. Article 'a' is used before the words having consonant sounds. (True /False)

6.2.2. REVIEW EXERCISE

Correct the following sentences:

- 1. It is the unreasonable decision.
- 2. He was an Nato general.
- 3. It is an eucalyptus tree.
- 4. What do you think of table?
- 5. Each new word has different meaning.
- 6. In a middle of her speech she broke down.
- 7. The teachers like having long holidays.
- 8. Books you ordered are yet to arrive.
- 9. A bicycle is a good means of transport.
- 10. Novel is very popular these days.

6.3. ERRORS IN THE USE OF NOUNS

A noun is a word that names a person, place, thing, idea or state of mind. We have singular and plural forms of nouns (book : books; knife : knives). Countable nouns refer to the things we can count, while uncountable nouns refer to those things we do not count, (**book** is a countable noun; **milk** is an uncountable noun).

Incorrect Sentences

- 1. He keeps his words.
- 2. Sell your old furnitures.

Correct Sentences

- He keeps his word.
- Sell your old furniture.

- | | |
|---------------------------------|-----------------------------|
| 3. I like his poetries. | I like his poetry/poems |
| 4. These news are true. | This news is true. |
| 5. They have no female issues. | They have no female issue. |
| 6. Her hairs are grey. | Her hair is grey. |
| 7. The clock is beyond repairs. | The clock is beyond repair. |
| 8. Politics are bad. | Politics is bad. |
| 9. We must help the poors. | We must help the poor. |
| 10. I have a five rupees note. | I have a five rupee note. |

(**Note :** In sentence number 10 the words *rupees* is an adjective and not a noun, and need to be in the singular. In all the other cases, there is a wrong use of plurals for singulars.)

- | | |
|---|---|
| 11. Her circumstances is bad. | Her circumstances are bad. |
| 12. Riches has wings. | Riches have wings. |
| 13. Don't give alm to beggars. | Don't give alms to beggars. |
| 14. You deserve my thank. | You deserve my thanks. |
| 15. I have lost my spectacle. | I have lost my spectacles. |
| 16. Take your meal at home. | Take your meals at home. |
| 17. Their wage is low. | Their wages are low. |
| 18. I am a man of small mean. | I am a man of small means. |
| 19. Give us two tea. | Give us two teas. (teas = cups of tea). |
| 20. The box was full of tin.
containers) | The box was full of tins. (tins = metal food
containers) |

6.3.1. CHECK YOUR PROGRESS: II.

i. Pick out the countable nouns from the following:

a. chair b. air c. box d. water.

ii. Choose the correct answer:

A. He has ten rupees in his pocket. B. He has a ten rupee note in his pocket.

a. A. b. B. c. both A & B are correct

iii. The word hair always takes plural verb: (True / False)

iv. The word tea is a countable /uncountable noun.

6.3.2 REVIEW EXERCISE

Correct the following sentences :

1. We want good accommodations.
2. Pack up your luggages now.
3. I cannot cope with such nonsenses.
4. The container is made of irons.
5. I would spare no pain to help them.
6. Riches has wings.
7. The teacher wanted chalk.
8. We are seeking for a job.
9. All my relations are poor.
10. Avoid bad comapnies.

6.4. ERRORS IN THE USE OF PRONOUNS

A pronoun is a word that is used in place of noun. Personal pronouns are *I/my/me; we/us/our; you/your; he/him/his*, etc. *Who, which, that*, etc. are relative pronouns.

Incorrect Sentences

1. Let you and I go there.

(**Note :** We use objective case after 'let').

2. It was her who broke it.

3. I, he and you are good friends.

(**Note :** Use the second person first, and then the third and the first person).

4. He ran faster than me.

5. She is a neighbour of us.

6. Distribute these between children.

Correct Sentences

Let you and me go there.

It was she who broke it.

You, he and I are good friends.

He ran faster than I.

She is a neighbour of ours.

Distribute these among children.

7. If I were him, I would be happy.	If I were he, I would be happy.
8. His house is now my.	His house is now mine.
9. None of these two boys knows it.	Neither of these two boys knows it.
10. Neither of these fifty men were fit for the job.	None of these fifty men was fit for the job.
11. He is the person which came yesterday.	He is the person who came yesterday.
12. Chandigarh who is our capital is a beautiful city.	Chandigarh which is our capital is a beautiful city.

(**Note :** We use 'who' with a person and 'which/that' with a thing/place. In certain cases 'that' is used in preference to 'who' with a person : He is the same man *that* he has been. Man is the only animal *that* can talk.)

13. Here are two books, choose any.	Here are two books, choose either.
14. This is our's.	This is ours.
15. This my house is spacious.	This house of mine is spacious.
16. He was old, wasn't it ?	He was old, wasn't he ?
17. It is good, isn't he ?	It is good, isn't it ?
18. We should avail of his offer.	We should avail ourselves of the offer.
19. Nobody but he was present.	Nobody but him was present.
20. We take your leave now.	We take leave of you now.

6.4.1 CHECK YOUR PROGRESS: III

Answer the following questions:

- i. The relative pronoun who is used : a) for persons b) for animals only c) for books only
 - ii. The pronouns we and I are (personal pronouns, demonstrative pronouns, nouns)
 - iii. His scooter is now my. Correct this sentence.
 - iv I ,you and he are good colleagues. This sentence is incorrect because.....
- a) The arrangement of pronouns is incorrect b) the number of persons is not mentioned c) The use of article is incorrect.

6.4.2 REVIEW EXERCISE

Correct the following sentences :

1. I and you met him last year.
2. Any of the two books would do.
3. Everyone of they wanted me to sing.
4. The two sisters love one another.
5. Yours book is on the shelf.
6. The boss is not here, shall I call ?
7. The climate of Shimla is better than Delhi's.
8. She has made your mention.
9. He did not absent from school anyday.
10. Do you feel yourself better ?

6.5. ERRORS IN THE USE OF VERBS

A verb is a word that denotes action or describes a state :

- (i) He is *swimming*. (action)
- (ii) He *is* happy. (state)

A transitive verb denotes an action that passes over to somebody/something else. An intransitive verb denotes an action that remains limited to the doer.

- (i) They *helped* us. (Transitive)
- (ii) He *wept* bitterly. (Intransitive)

Verbs have four forms : Present (go), Present Participle (going), Past (went), and Past Participle (gone).

Incorrect Sentences

Correct Sentences

Noun-Verb Agreement

- | | |
|--|---------------------------------------|
| 1. Ram and his brother has come. | Ram and his brother have come. |
| 2. A fool and his money is soon parted. | A fool and his money are soon parted. |
| 3. The girl were right. | The girl was right. |
| (Note : The verb should agree with its subject in number.) | |
| 4. Time and tide wait for none. | Time and tide waits for none. |

5. Bread and butter are my favourite food. Bread and butter is my favourite food.

(**Note :** The verb is singular when two subjects joined by 'and' together expresses one idea.

6. The poet and philosopher are dead. The poet and philosopher is dead.

7. The poet and the philosopher is dead. The poet and the philosopher are dead.

(**Note :** In 6, two subjects refer to the same person; in 7, the subjects refer to two different persons.)

8. Each of these boys were rewarded. Each of these boys was rewarded.

9. Either of these workers are corrupt. Either of these workers is corrupt.

10. Neither of your answers are correct. Neither of your answers is correct.

11. Many a girls have passed. Many a girls has passed/Many girls have passed

(**Note :** We use a singular verb with *each, everyone, either, neither, many a.*)

12. Either he or I are to go out. Either he or I am to go out.

13. Neither health nor wealth were Neither health nor wealth was
important for him. important for him.

(**Note :** The verb should agree with the second in case of two subjects joined by *either, or/neither.... nor.*)

14. The Principal, along with the teachers, The Principal, along with the teachers was
present.
were present.

15. The Principal, as well as the teachers, The Principal, as well as the teachers, was
present.
were present.

16. I, and not he, is to be blamed. I, and not he, am to be blamed.

(**Note :** In 14-16, the verb should agree with the first subject.)

17. Not only the teachers but the Principal Not only the teachers but the Principal
are also present. is also present.

18. Not only he but his brothers is Not only he but his brothers are

also to be blamed.

also to be blamed.

(**Note :** The verb agrees with the second/the nearest subject when the subjects are joined by *not only.... but also.*)

19. Five miles are a long distance.

Five miles is a long distance.

20. Ten rupees are not big sum.

Ten rupees is not a big sum.

(**Note :** When a plural noun denotes a quality or quantity considered as a whole, the singular verb is used.)

21. My scissor is missing.

My scissors are missing.

22. Alms were given to the beggars.

Alms were given to the beggars.

23. My trouser needs mending.

My trousers need mending.

24. Give my thank to him.

Give my thanks to him.

(**Note :** Nouns such as scissors, alms, trousers, thanks, breeches, pants, socks, billiards, riches, tidings, circumstances, etc. are plurals and have no singular form.)

25. No news are good news.

No news is good news.

26. The wages of sin are death.

The wages of sin is death.

27. Measles are a disease.

Measles is a disease.

(**Note :** Nouns such as *news, measles, mathematics, statistics, summons, ethics, physics*, etc. are singular in meaning, and take singular verbs.)

28. The cattle is grazing.

The cattle are grazing.

29. The city folk is good.

The city folk are good.

(**Note :** Nouns such as *cattle, folk, people, public, poultry* are singular in form but take a plural verb.)

6.5.1 CHECK YOUR PROGRESS IV.

i. Choose the correct answers ;

The verb (should \ may not) agree with the number of the subject.

ii. The nouns like scissors, alms, are used in plural form. (True \ False)

iii. Nouns like physics, ethics, take plural verb. True / False.

iv. We use singular verb with 'many'. True / False

6.5.2. REVIEW EXERCISE

Correct the following sentences :

1. They talk English fluently.
2. She has never and will never invite you.
3. Either she or he were in the wrong.
4. Ten miles are a long distance.
5. He does not know who is he.
6. Rice and dal are his favourite food.
7. Rakesh with all his friends have come.
8. She said that he will do it in no time.
9. It is I who has committed the wrong.
10. One of my friends were there.

6.6 ERRORS IN THE USE OF ADJECTIVES

An adjective is a word which is used to describe somebody or something– *clever* boy, *five* apples, *little* time, etc. It is used in three ways :

- (i) He is a *clever* boy.
- (ii) The apples we bought were only *five*.
- (iii) He considers me *foolish*.

Incorrect Sentences

1. He is the cleverer of all the boys in our class.
2. You two are the best than us.
3. The Taj is as better as any other monument.

Correct Sentences

- He is the cleverest of all the boys in our class.
- You two are better than us.
- The Taj is as good as any other monument.

(**Note :** We use comparative degree while comparing two things/persons and superlative degree while more than two things/persons are involved in comparison. The positive degree simple refers to the existence of a quality.)

4. Ram is the best of those two boys. Ram is the better of those two boys.
5. Of these two books, this is most readable. Of these two books, this is more readable.

6. She is a best player in school. She is the best player in school.

(**Note :** We use 'the' before the superlative degree of comparison.)

7. It is much cold today. It is very cold today.

8. He is the eldest man in our village. He is the oldest man in our village.

9. I have not got much novels. I have not got many novels.

10. He is junior than me. He is junior to me.

11. My car is more superior than yours. My car is superior to yours.

12. He is comparatively weaker in He is weaker in English than in Science.

English than in Science /He is comparatively weak in English than in Science.

13. He is rather very smart. He is rather smart. / He is very smart.

14. I need a few fuel I need a little fuel.

15. There are few boys in our class. There are a few boys in our class.

16. Give me little milk. Give me a little milk.

(**Note :** 'a little' and 'a few' are positive in sense and denote some little quantity and number, while 'little' and 'few' are negative in sense.)

17. Give me any milk. Give me some milk.

18. He does not have some money. He does not have any money.

19. Do you have some doubt ? Do you have any doubt ?

I think you have. I think you have.

20. Have you got any money ? Have you got some money ?

Give me a few rupees. Give me a few rupees.

(**Note :** We use *some* in affirmative sentences and in questions when we expect positive response, and *any* in negative sentences and in questions when we do not expect positive response.)

21. What is the last news ? What is the latest news ?

22. She is tall for her age. She is taller for her age.

23. My all efforts have failed. All my efforts have failed.

24. I have no other friend except you. I have no other friend than you.

25. The rose smells sweetly.

The rose smells sweet.

6.6.1. REVIEW EXERCISE

Correct the following sentences :

1. It tasted bitterly.
2. I need no fewer than two litres of oil.
3. Open the book at ten page.
4. Bring me any water, please.
5. I made no farther remarks.
6. She is senior than me.
7. Rakesh is the eldest of the two brothers.
8. She is a cleverer girl.
9. They are richer than any trader.
10. He gets less salary.

6.7 ERRORS IN THE USE OF ADVERBS

An adverb is a word which qualifies a verb, an adjective, another adverb or the whole sentence :

- (i) She runs *fast*.
- (ii) He is *very* happy.
- (iii) She runs *very* fast.
- (iv) *Surely*, they are happy today.

Incorrect Sentences

1. He finally had his say.
2. They sing always beautifully.
3. He always is right.
4. They came never back.

Correct Sentences

- Finally, he had his say.
- They always sing beautifully.
- He is always right.
- They never came back.

(**Note :** Adverbs like *finally*, *certainly*, *undoubtedly* are generally placed in mid position, i.e. before the main verb, and after the auxiliary. Adverbs of manner are often placed at the end.)

- | | |
|----------------------------------|-------------------------------|
| 6. They came yesterday here. | The came here yesterday. |
| 7. We shouted here today loudly. | We shouted loudly here today. |

(**Note :** The usual order of adverbs is : adverb of manner, adverb of place and adverb of time.)

- | | |
|---|---|
| 8. It is very hot to stay here. | It is too hot to stay here. |
| 9. We very agree with your decision. | We very much agree with your decision. |
| 10. I am very much disturbed to
hear the news. | I am very disturbed to
hear the news. |
| 11. No sooner he entered the room
when it started raining. | No sooner did he enter the
room than it started raining. |
| 12. Hardly she had entered when the
lights went out. | Hardly had she entered when the
lights went out. |
| 13. Scarcely the film had begun when
the lights went out. | Scarcely had the film begun when
the lights went out. |

(**Note :** In sentences 11-13, note the inversion. We use *did/had* before the subject even in an assertive sentence, but only when the sentence begins with 'no sooner'/'hardly'/'scarcely', etc. consider the following sentences :

- (i) I had no sooner entered the room than it started to rain.
- (ii) He had hardly begun singing when the lights went out.

- | | |
|-----------------------------------|-------------------------------|
| 14. He is enough rich to help us. | He is rich enough to help us. |
| 15. He is respected greatly. | He is greatly respected. |

6.7.1 CHECK YOUR PROGRESS V

- i. An adverb is a word which qualifies a noun or pronoun. (True\False)
- ii. An adjective qualifies an adverb. (True \False)
- iii. An adjective can qualify a verb. (True \False)
- iv. An adverb can qualify a verb, an adjective , and another adverb. (True) False)

6. 7.2 REVIEW EXERCISE

Correct the following sentences :

1. Ramesh explained briefly my idea.
2. We go there frequently.
3. He is very weak to walk.
4. They come never late.
5. Fast food is terrible harmful to our health.
6. They make mistakes seldom.
7. He was thrown against the door violently.
8. Never he has seen such a coward.
9. No sooner it started to rain when we ran for shelter.
10. They reached rather lately.

6.8. ERRORS IN THE USE OF CONJUNCTIONS

A conjunction is a word that connects two or more words or sentences, such as *and, or, as, since, because, for, when, if, unless, so that, last*, etc.

- (i) Rakesh *and* Sudha are good friends.
- (ii) Work hard, *or* you will not pass.

Incorrect Sentences	Correct Sentences
1. It is between you or me.	It is between you and me.
2. You have no choice than to obey us.	You have no choice but to obey us.
3. No sooner did he come when the lights went out.	No sooner did he come than the lights went out.
4. She walks if she were a queen.	She walks as if she were a queen.
5. I cannot behave like you do.	I cannot behave as you do.
6. Though he is rich, but he is miserly.	Though he is rich, yet he is miserly./ Though he is rich, he is miserly.
7. As he is contented, so he is happy.	As he is contented, he is happy.
8. I doubt that the train will arrive in time.	I doubt whether the train will arrive in time.
9. They work hard because they may pass.	They work hard that they may pass.

	/They work hard so that they may pass.
10. She is either rich nor poor.	She is neither rich nor poor.
11. That is as bad, if not worse than this.	That is as bad as, if not worse than this.
12. You are intelligent and he is dull.	You are intelligent but he is dull.
13. There are not only rich but generous.	They are not only rich but generous also.
14. He can neither speak Hindi nor English.	He can speak neither Hindi nor English.
15. We do not succeed without we work hard.	We do not succeed unless we work hard.

6.8.1. REVIEW EXERCISE

Correct the following sentences :

1. Take care of her until she is with you.
2. The reason why he is rich is because he is hard working.
3. Directly they come, we will leave.
4. We not only got good marks but also scholarships.
5. She is either mad nor foolish.
6. We had no choice than to yield.
7. Without he apologizes we shall punish him.
8. I shall not go without she does.
9. He speaks like his brother does.
10. No sooner had they returned but it started raining.

6.9 . ERRORS IN THE USE OF PREPOSITION

A preposition, placed before a noun or pronoun, shows the relation between its object and another thing. Simple prepositions are : at, in, on, of, off, up, down, for, from, by, etc. Compound prepositions are : about, across, along, around, before, behind, below, between, beside, etc. Phrase prepositions are : according to, due to, in place of, in spite of, in order to, instead of, etc. These prepositions reveal relationship of time, place, manner, possession, etc.

Incorrect Sentences

1. She is jealous at me.
2. He has been suffering with fever.

Correct Sentences

1. She is jealous of me.
2. He has been suffering from fever.

- | | |
|---|--|
| 3. He stood with himself. | He stood by himself. |
| 4. The guests arrived on 9 a.m. | The guests arrived at 9 a.m. |
| 5. We live on 30 Cool Road. | We live at 30 Cool Road. |
| 6. The temple is at Cool Road. | The temple is on Cool Road. |
| 7. We work in Infosys. | We work at Infosys. |
| 8. We live at Mumbai. | We live in Mumbai. |
| 9. They are to play in Wembley Stadium. | They are to play at Wembley Stadium. |
| 10. A mist hung above the houses. | A mist hung over the houses. |
| 11. Our house is set in the mountains
over the town. | Our house is set in the mountains
above the town. |
| 12. They walked on the road. | They walked along road. |
| 13. He invited us on tea. | He invited us to tea. |
| 14. The beggar is blind in one eye. | The beggar is blind of one eye. |
| 15. I met my brother in the way. | I met my brother on the way. |
| 16. Put off your socks. | Take off your socks. |

(**Note :** *put off* means to postpone, while *take off* means to remove.)

- | | |
|---|---|
| 17. We shall dispose off our car. | We shall dispose of our car. |
| 18. She was surprised for my remarks. | She was surprised at my remarks. |
| 19. What are the differences among
the three teams ? | What are the differences between
the three teams ? |

(**Note :** Talking about comparisons and relationship we use *between*, not *among*.)

- | | |
|---|---|
| 20. Between other things, we enjoy singing
and dancing | Among other things, we enjoy singing
and dancing.. |
| 21. She has not been here in all morning. | She has not been here all morning. |
| 22. We will go there on next Friday. | We will go there next Friday. |

(**Note :** Before the words *all*, *next*, *last*, *any*, *some*, *this*, *that*, etc. we do not use *at/in*)

- | | |
|-----------------------------------|-----------------------------|
| 23. He succeeded with will power. | He succeeded by will power. |
|-----------------------------------|-----------------------------|

24.They cut it by a knife.

They cut it with a knife.

25.We shall travel by a car.
car.

We shall travel in a car./We shall travel by

26.I made the payment with cheque.

I made the payment by cheque.

27.They ordered it by the phone.

They ordered it on the phone.

28.Our job is to think of the safety of
the passengers.

Our job is to think about the safety of
the passengers.

29.What do you think about our house ?

What do you think of our house ?

(**Note :** We use 'think about' when we refer to concentrating on something, and 'think of' when we give opinion and ask about it.)

30.I agree to him.

I agree with him.

31.We agree with your scheme.

We agree to your scheme.

32.He is a Brahmin in caste.

He is Brahmin by caste.

33.She sat besides her mother.

She sat beside her mother.

34.Beside a car, he demanded a flat.

Besides a car, he demand a flat.

(**Note :** 'Beside' means *by the side of*; 'besides' means *in addition to*.)

35.She has not met us for last month.

She has not met us since last month.

36.She has not met us since four weeks.

She has not met us for four weeks.

37.He met an accident.

He met with an accident.

38.How are you related with her?

How are you related to her ?

39.He prevented us to go there.

He prevented us from going there.

40.He is bent to seek revenge.

He is bent on seeking revenge.

41.I am good in singing.

I am good at singing.

42.We must abstain to drink.

We must abstain from drinking.

43.I resemble with my sister.

I resemble my sister.

44.She shirks from cooking.

She shirks cooking.

(**Note :** We do not use any preposition with *resemble, shirk, fear, discuss, reach, attack*, etc.)

- | | |
|--------------------------------------|-------------------------------|
| 45. Do not quarrel on a trifle. | Do not quarrel over a trifle. |
| 46. He beat her by a stick. | He beat her with a stick. |
| 47. She avenged herself against him. | She avenged herself on him. |
| 48. They jumped in the canal. | They jumped into the canal. |
| 49. We deal with paper. | We deal in paper. |
| 50. Get rid from his company. | Get rid of his company. |

6.9.1 CHECK YOUR PROGRESS : VI

Answer the following questions by choosing the correct option :

- i. The words neither nor, either or , and , but are:
a) prepositions b) conjunctions c) adverbs
- ii. Conjunctions are used to join: (a verbs only (b words only c words and sentences.
- iii. When we compare something we use among \between.
- iv. We use the preposition 'at' with the verbs like discuss, next and attack. (True \False)

6.9.2. REVIEW EXERCISE

1. I took a fancy for this hat.
2. We burst in tears.
3. She was charged of abduction.
4. Send the email on this address.
5. I aim to be a teacher.
6. He caught me from the arm.
7. Success consists of hard work.
8. He interferes in my work.
9. The sword was hanging above his head.
10. They work at a shoe shop.
11. Please accede my request.

12.They are blind of his defects.

13.They are sitting at the floor.

14.I am innocent from the crime.

15. He is vexed on me.

6.10 SUMMING UP:

- Common errors should be avoided to make correct use of language.
- The knowledge of grammar is necessary to avoid committing these errors.
- These errors usually are the result of the wrong use of different parts of speech like article, noun, pronoun , verb etc.
- Apart from these errors sometimes the improper understanding and the use of different expressions also result in errors.
- Practicing the use of correct rules of grammar helps in avoiding common errors.

6.11. SUGGESTE READINGS:

* Murphy Raymond , Murphy's English Grammar Cambridge University Press: Delhi, Third Ed. Rpt. 2010

*Greenbaum Sidney, and Randolph Quirk, A University Grammar of English, Pearson 16th impression 2016

*Sharma, Ghanshyam, Essentials of English Grammar and Effective Writing. Dixit Publishing House: Jalandhar, 2012

6.12 QUESTIONS FOR PRACTICE

6.12.1 LONG ANSWER QUESTIONS:

- i. Discuss the errors usually committed in the use of articles a, an , and the. Illustrate your answer with examples.
- ii. Explain the proper use of verb and adverb to avoid common errors.
- iii. What is an adjective? Write a note on the correct use of adjectives with the help of examples.
- iv. Write an essay on the correct use of prepositions. Give some examples also.
- v. Explain the meanings or the following:
 - a. article, noun, pronoun, verb, adverb. Conjunction.

6.12.2 SHORT ANSWER QUESTIONS:

- i. Explain the difference between the use of a, an , and the.
- ii. What do you understand by a verb.
- iii. Bring out the difference between adjective and adverb
- vi. What is conjunction? Use at least two conjunctions in sentences of your own.

ANSWERS TO CHECK YOUR PROGRESS EXERCISES:

CHECK YOUR PROGRESS I

Answers: i. a ii. b iii. b iv. True

CHECK YOUR PROGRESS II

Answers: i. a&b ii. c iii. False iv Uncountable

CHECK YOUR PROGRESS III

Answers: i. a ii. personal iii. This scooter is now mine iv. a

CHECK YOUR PROGRESS IV

Answers: i. should ii. True iii. False iv. False

CHECK YOUR PROGRESS

Answers: i. False ii. False iii. False iv. True

CHECK YOUR PROGRESS VI

Answers: i. b ii. c iii. between iv. False

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

COURSE: ENGLISH COMPULSORY-II

UNIT 7:

MODALS: CAN COULD, MAY MIGHT, WILL WOULD, SHALL SHOULD, AND MUST

STRUCTURE

7.0 Objectives

7.1 Introduction

7.2. What Are Modals Or Modal Auxiliaries?

7.2.1 Salient Features of Modals

7.3 Check Your Progress I

7.4 Can\Could

7.4.1 Can

7.4.2 Could

7.4.3 Check Your Progress: II

7.4.4 Exercises for Practice

7.5 May /Might

7.5.1 May

7.5.2 Might:

7.5.3 Check Your Progress III

7.6 Will/Would

7.6.1 Will:

7.6.2 Would:

7.6.3 Check Your Progress: IV

7.6.4 Exercises for Practice

7.7 Shall /Should

7.7.1 Shall

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7.8. Must:

7.8.1 Check Your Progress VI.

7.8.2 Exercises for Practice

7.9 Summing Up

7.10 Suggested Readings

7.11 Questions for Revision

7.11.1 Long Answer-Type Questions:

7.11.2 Short Answer-Type Questions

7.0 OBJECTIVES:

The main objective of this unit is to familiarize the students with different forms and uses of modals. The unit is aimed to enable the students to make use of modals and mark the situations in which a particular modal is used. .

7.1 INTRODUCTION

The unit discusses modals as a form of auxiliary verbs. You will find the important features of modals explained in the first part of the study. In the subsequent sections the use of different modals has been discussed to help you identify and observe the way modals are used.

We have given a number of exercises for practice. The examples illustrating the use of modals are given to enable the students to mark the way these models different modes. A study of the examples given for each modal will show how to use modals.

You are advised to attempt the ‘Check Your Progress Exercises, before consulting their solutions’ given at the end of the unit.

7.2. WHAT ARE MODALS OR MODAL AUXILIARIES?

We use modals like can, could, may, might etc., without bothering to know what these forms of modals actually do and what they are.

It is interesting to see that modals are a form of auxiliary verbs. These auxiliary verbs are actually functional verbs. Their meaning is not as important for a sentence as their role in sentence structure.

Look at the following sentences:

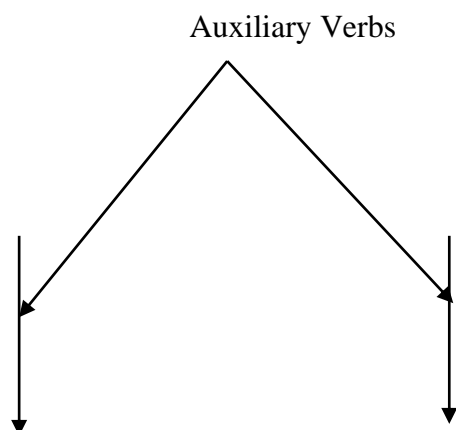
He is going there. We can do this work.

*In these sentences, the auxiliary verbs *is* and *can* are not essential for the meaning of the sentence. The meaning depends on the main verbs ‘going’, and ‘do’.

*These auxiliary verbs convey either tense, as in case of *is* going (present continuous), and mode or mood, as in the case of the auxiliary ‘can’. The modal *can* also conveys the voice i.e. active in this sentence.

*The auxiliary verbs convey tense, voice or mode.

Modals form one type of the auxiliary verbs as shown below:



Primary Auxiliaries

be (is, am, are, was, were, been , being),
will,
do(does, did, done , doing) ,
dare,

Modal Auxiliaries (Modals)

can, could, may, might , shall, should,
would, must, ought to, used to , need,
have to, has to , had to .
have(has, had, having)

7.2.1 SALIENT FEATURES OF MODALS

- *They are limited in number. .
- * They have the same form for all persons , numbers and in the active and passive voice.
- * Modals are used to express mode or attitude.
- *One modal can be used to express a variety of modes and attitudes.
- *Modals form negatives by adding not after them:
- *They form questions when placed in the initial position in a sentence: *
- *They have their contracted forms: (can't, mustn't, won't etc.)
- *Modal verbs appear before the main verbs: (He may go . She can do his work.)
- * Modals do not change according to tense, person and voice
- *A modal cannot be used alone. It has to accompany some main verb

Note: Modal auxiliaries need and dare sometimes behave like main verbs, and can appear alone:

We need your advice. (main verb) We need not go there. (modal)

*Modal auxiliaries do not have infinitive (to) or participle (ing) forms.

7.3 CHECK YOUR PROGRESS I

Fill in the blanks with suitable answers:

- i. Auxiliary verbs (are/ are not)important for the meaning of sentences.
- ii. Modals are (limited /unlimited) in number .
- iii. Modal auxiliaries come (after /before) the main verb.
- iv. Modals (change/do not change) with the change in number or tense.

7.4 CAN\COULD

7.4.1 Can

1. My father is seventy-five, but he can read and write without glasses. (Ability) ...
2. John can swim across this river. (Ability)
3. You can be fined for coming late. (Possibility)
4. Anuj can go home after he has finished his work here. (Permission)

Observation: Can is used to express ability, possibility, and permission.

We use can to indicate that something is possible or allowed. The modal can is used to say that someone has the ability to do something.

- i. We can solve our problems ourselves.
- ii. Anyone can reach that roof through this window.
- iii. The boss told the peon that he could go home after finishing his work.

Note: The negative of can is cannot /can't: Jonny says he cannot come as he is busy in office.

The negative is can't (= cannot): I'm afraid I can't come to the party on Friday

Ability is sometimes expressed by using be +able +to instead of can.

For example: I have not been able to meet my parents for some time.

The candidates for this job must be able to speak English fluently.

Can / be able to :

a) We should prefer to use can , instead of able to , while using in the present tense.

i.. She is able to dance /She can dance (She can dance is more acceptable and should be preferred).

b) With to infinitive and a modal , we always use be able to instead of can:

It is good to be able to help others

They might be able to climb the mountain.

c) For the future tense we can use either can or be able to :

I can come tomorrow.

I will be able to come tomorrow.

7.4.2 COULD

Could is the past of can. We use could particularly with: see, hear, smell, taste, feel, remember, and understand:

Look at the sentences given below to mark the use of could and could not. as the past form of can:

- i. The moment we saw Ronny, we *could* recognize him.
- ii. I was sitting in the far corner of the room and *could not* hear what the teacher said.
- iii. When we entered the kitchen , we *could* smell gas.
- iv. Tinny saw me after seven years, but she *could* still remember my words said on our departure.
- v. Robert did not know Hindi , still he *could* understand what we said about him.

vi. Could you help me in solving this sum?

Could is also used to express permission, ability and possibility.

i. My uncle *could* speak five languages.

ii. The students were totally free. They *could* do what we wanted. (= They were allowed to do)

Could and was able to

But when we have to say that someone did/could do , something in a particular situation , we use was/were able to or managed to, instead of using could :

i. The river was flooded, but fortunately all the villagers were able to/managed to escape.

ii. We didn't know where David was, but we managed to find / were able to find him in the end.

Note:

The modal could is used express ability in the past in general. But *could manage to /was able to* , is used to indicate the ability shown in some specific situation. It shows that the ability resulted in an action which happened in certain circumstances. In the two sentences given above, the ability indicated is related to the particular situations given in them. The negative couldn't /could not, and managed to or was able to can be used. in all situations. There is no need to use was able to or managed to in negative sentences. Look at the following examples:

a) My grandfather couldn't swim.

b) We looked for David everywhere, but we couldn't find him.

c) Andy played well, but he couldn't beat Jacky.

7.4.3 CHECK YOUR PROGRESS: II

Answer the following questions:

i. to be able to or was able to do are used to express.....

ii. We can use to give permission

iii.is used to express ability in the past.

iv. The interrogative form ofis used to express polite request.

The following exercise will show the difference between the situations in which we use can and able to.

7.4.4 EXERCISES FOT PRACTICE

Exercise1

Complete the sentences using can or (be) able to. Use can if possible; otherwise use (be) able to.

1 Gary has travelled a lot. He speak five languages.

2 I haven't sleep very well recently.

- 3 Nicole..... drive, but she doesn't have a car,
 4 I used tostand on my head, but I can't do it anymore.
 5 I can't understand Mark, i've never. understand him.
 6 I can't see you on Friday, but Imeet you on Saturday morning.

Choose the word out of the bracket that you will use in the following situations:

- i. If you have to say that you have the ability to do something. (could , was able to, can)
- ii. You are to tell your friends about your ability to dance when you were a child (can, could, managed to , will)
- iii. It is difficult for you to drink five cups of tea. You will say that you (can, cannot , could not)
- iv. You want to tell your mother about the possibility of your getting a job. (can , could, could not , cannot)
- v. You want to seek someone's permission. (can , cannot , could not in the interrogative)
- vi. Suppose you are to grant permission to your junior to use your computer. (could, could not , can)

Exercise 2

Fill in the blanks with can, cannot or be able to:

- i. All the applicants should to operate latest software in this computer.
- ii. Susan says that she reach her office in thirty minutes on a bicycle.
- iii. After she has attended these classes for a month she..... to speak Spanish very well.
- iv. I to persuade my friend to accompany me to watch a movie.
- v. They have never visited this city. Theylocate your place easily.
- vi. Wedo such a difficult sum.
- vii Ihelp you in this matter.
- viii.Can you come to my place today? I can't, I'm suffering from bad cold. (can, cannot , be able to)
- ix. If you tell her your problem , she might to solve it. (be able to, can , cannot)
- x.. Tom has neverlearn English pronunciation. (can, been able to, cannot)
- xi. I have spent two years in this area. I Understand the language the locals. (can , be able to, cannot)
- xii. Mandy is at home, but Itell her my problem at this time. (cannot, can , be able to)

Exercise 3

Choose the correct word can or could to complete the sentences:

- i. I use your table , please?
- ii. No. You take it. I have to use it myself.
- iii. Harry sing very well.
- iv. Tomrecite long poems when he was just four years old.
- v. My brother speak French.
- vi. you please , shut that window?

vii. When she was at school , shemake beautiful drawings.

Exercise 4

Write sentences five about yourself using the ideas in brackets.

1 (something your brother used to be able to do)

Example : My brother used to be able to dance very well.

ii. My brother used to

iii. My brother used to

iv. My brother used to

v. My brother used to

We usually do not use was able to or managed to with verbs like hear, smell,

Exercise 5

Complete the following sentences with can /cannot , could , couldn't , managed to , was able to and the words given below:

walk , wait, sleep, swim, find speak, meet, escape

i. Do you want to go home? No. I..... for you.

ii. When my grandmother was young, she without using a stick.

iii. The dog was well trained , yet it Find trace the bag full of explosives.

iv. There was a lot of noise, wesleep at all.

v. He was quite tired, but he swim across the canal.

vi. Rohit has taken the English speaking course, he English now.

vii. My aunt was in hurry but I her before she left for the station.

viii. The thief when the police men were busy talking to the people.

7.5 MAY /MIGHT

7.5.1May

- a. Permission : May I come in sir?
- b. Possibility : He may be late today?
- c. Wish : May you live long!
- d. Greater possibility: He may get this job.

7.5.2 Might:

- a. Past permission : You might take a day off.
- b. Purpose : He went home so that he might have rest.
- c. Past Possibility: They might have been fined.
- d. Request for permission: Might I go now?
- e. Suggestion for behaviour : He might have asked for help.

When someone says : The boy may be reading in his room.

Or

The boy might be writing a book

These sentences indicate possibility using may or might.

And the use of may and might in the negative too has a similar meaning:

They may not be helpful in this matter.

Your friends might not come today.

The following sentences can be written using may or might :

He may be in his office : He might be in his office.

Harry may be home at present . Harry might be home at present.

Sam may not be there at present. Sam might not be there at present.

7.5.3 CHECK YOUR PROGRESS III

Answer the following questions:

i. Can we use might to express a wish?’

ii. They may not come now. This sentence expresses

: a) possibility b) permission c) request.

iii. Might we take these things home?

This sentence indicates : a) permission b) possibility c) request for permission.

iv. In certain situations we can use either may or might : (True \False)

EXERCISE 1

Complete the following sentences using may or might and a suitable form of the verb:

i. Do you know the man sitting over there. He Sorry.

ii. The boyshaving dinner at presnt.

iii. She come tomorrow.

iv.I come in Sir?

v. Do you have a notebook. No, but Timmy might one.

NOTE : May and Might express the past sense with have , and third form of the verb :

He might have done his work in time yesterday.

She may have gone there.

When we say he could not have got your message. Or

He may/might not have your message.

*There is a different sense conveyed by the use of could. It shows that there is a greater possibility that the message did not reach. On the other hand, may/might express only possibility without any sense of greater possibility.

*The use of the modal could, conveys the sense may and might. But in their negative use, could and could not have express a different meaning from may not and might not.

EXERCISE1

Complete the sentences using might not have or couldn't have using your own ideas.

i. My friend has not replied to my letters. It means hegot any. He would have come to meet me.

ii. Nobody knows how the house got the fire. People say ita case of short circuit only.

iii. Jerry says he tried hard to contact me. Heas I was at home only.

iv. Kuki was not in the party. Perhaps she did not receive the invitation . It is possible. She got it.

EXERCISE 2

Make sentences using might with the following words:

break disturb slip need cause

- i. You should be careful of that sudden turn on the road , it an accident.
- ii. Handle the cups with care, you them.
- iii. Don't speak loudly , you the students in the next room.
- iv. We cannot throw these things away. We them later.
- v. Walk carefully, you and fall on the wet road.

EXERCISE 3

Make sentences using might not The first sentence is given as an example.

i. My uncle is busy today , he *might not* come to the party

ii.....

iii.....

iv.....

v.

7.6 WILL/WOULD

7.6.1 Will

Usually we think of the following situations while using the modal will.

- a. Intention, Promise etc.: I will take him to task if he comes late.
- b. Possibility: The book you want will be in the library.
- c. Hope, Certainty, and Likelihood: The boy will come first.
- d. Capacity: This room will be sufficient for two guests.

Now look at the following situations expressed using the modal 'will'.

7.6.2 Would:

- a. Imaginary Condition: If he worked hard, he would pass.
- b. Past condition unlikely to be fulfilled: He would have met you if he had come earlier.
- c. Past habit: He would go and sit in the park.
- d. Polite request: Would you close the door, please?
- e. Choice: I would rather die than beg.

It would be pleasing to have a motor boat here, but it is not possible at present.

I would like to spend a few days in a five-star hotel.

No.I wouldn't do this.

Note: These sentences show that we use would or wouldn't for imaginary situations or actions. We use would when we think of certain situations or actions. The imagined actions that would have been done are also expressed using would have and third form of the verb.

i. We would have helped them in their need.

ii. I did not tell him about his loss, he wouldn't have been liked it.

In certain situations, 'would' is similar to 'used to':

i. He would come and sit under this tree. He used to come and sit under this tree.

ii. His father would scold him. His father used to scold him.

7.6.3 CHECK YOUR PROGRESS: IV.

Choose the correct option :

i. I will visit your parents when they come back home.

In this sentence will expresses : a) intention b) hope c) capacity

ii. This man will carry this heavy bag. In this sentence will is used to indicate : a) permission
b) capacity or ability c) imaginary condition

iii. That man would come and sit in the part every day.

In this sentence would shows : a) possibility b) repeated action in the past c hope

iv If he had helped me I would have cleared the test.

This sentence states a situation in which a) the imagined situation did not happen b) The
imagined situation happened c) The imagined situation is supposed to happen.

7.6.4 EXERCISES FOR PRACTICE

EXERCISE:1

Choose the correct option from the brackets :

i.I will make him pay for the book he has lost. (possibility , determination, request)

ii. Your friends will be there when you reach the party. (promise, possibility, request)

iii. He will come out of this difficult situation. (determination, hope, promise)

iv. This car will take four passengers only. (hope, capacity, request)

v. Would you like to go with us? (hope, question, offer)

vi. Would you help me change the disk in this machine? (offer, promise, request)

EXERCISE 2

Complete the sentences using ‘would ‘with the correct form of the words given below:

take liked enjoy have talk

i. You should go and watch the show. You it.

ii. If you had come to the party, you it.

iii. We walked on foot and got late. It a taxi.

iv.In my dream world allequal opportunities.

v. My friend was not looking at me when I passed by him. Otherwise, he to me.

7.7 SHALL/SHOULD

7.1 Shall

Suggestion : Shall I bring tea for you?

b. Intention : You shall go if you so desire.

c. Warning : You shall not do this again.

d. Order\Command: All students shall attend the function.

e. Preference\choice\ opinion : Which subjects shall I take in this class.

7.7.2 Should :

a. Imaginary or supposed action in the past: If I were a soldier I should wear this uniform.

b. Expectation: I want that you should behave properly.

c. Possibility: The effect of the medicine should be felt soon.

d. Unlikely thing to happen in future: If he should come you will ask him to wait.

e. Obligation \Moral duty: We should respect our elders.

f. Advice : You should work hard to pass the examination.

***Should do and should have:**

You should complete your work before nine a.m. (advice, suggestion to do something it refers to present or future, likely to be done)

You should have completed your work before nine a.m. (something which was right to be done but was not done. It refers to past..)

7.7.3 .CHECK YOUR PROGRESS: V

Write a sentence to express:

i. choice (using shall)

ii. warning (using shall)

iii. moral obligation (using should)

iv. advice (using should)

7.7.4 EXERCISES FOR PRACTICE

Exercise: 1

Make sentences using shall to express the following:

i. to make a suggestion

ii. to express obligation

iii. warning

vi. Order or command

v. Preference

Exercise 2

Fill in the blanks with the correct option :

i. Youobey the rules.(will, would should)

ii. you lend me your scooter? (shall, should, will)

iii. I go now? (will, would shall)

iv. We leave now or we will miss the last train.(would, will, should)

- v. Iprobably spend the holidays with my friends. (should, will, would)
vi. The news will spread soon. *Simple future* (shall, should , will)

Exercise 3

Fill in the blanks with suitable modal:

- i. My brother is not feeling well today. Henot go to office.
- ii. I take your book?
- iii. The weather is rough today. The flights.....be delayed today
- iv. you help me to lift this heavy box?
- v. Ronny youwait for the doctor here. Hebe here in half an hour.
- vi. Yougo home now.
- vii. Itrain today. (possibility)
- viii. You visit the Red Fort during your visit to Delhi.(suggestion)
- ix. Inever repeat this mistake. (promise)
- x. when you are attending the class, yoube attentive.
- xi. I was tired yesterday , still Inot sleep.
- xii. Hebe able to help you, but he does not know this.
- xiii. His storybe true. But I don't know.
- xiv. It is important toto help others.
- xv. When he was young, helift those stones easily.

7.8. MUST:

- a. Compulsion on the part of the speaker: I must inform the Manager first.
- b. Moral duty: We must help the poor.
- c. Strong possibility: They must have won the match.
- d. Determination: We must clear this test.

In most of these situations must is similar to the sense conveyed by using have to:
I must go there: I have to go there . (Compulsion)

But there are situations in which must and have to express a different meaning:

- i. We cannot use must to talk about the past :
He had to reach his office before 10 every day.
- ii. Instructions are given by using must only:
You must write on one side of the sheet only.
Applications for this post must be sent by 10th of this month.

‘Mustn’t’ and ‘don’t have’ to are different in meaning;

- i. You mustn’t reveal it to anyone. (You don’t reveal)
- ii. You don’t have to reveal it to anyone (You need not but you can if you want)

7.8.1 CHECK YOUR PROGRESS VI.

Choose the correct answer :

- i. Must is used to express : a) obligation b) possibility c) permission
- ii. Must and have to have the same meaning in certain cases: (True /False)

- iii. If you are to give formal instructions, you are to use a) shall b) must c) will
 iv. You mustn't go there. You don't have to go there.
 Which of the two sentences means that it is not compulsory for you to go there?

7.8.2 EXERCISES FOR PRACTICE

Exercise I

Complete the following sentences with must or mustn't ;

- i. We do not have enough money, we must seek someone's help.
- ii. They have plenty of land, theynot quarrel with others for it.
- iii. You..... wash the vegetables before cooking them.
- iv. The candidates..... reach well in time.
- v. My friend has lent me his book. I ... return it today.

EXERCISE 2

Complete the following sentences with mustn't or don't have to/doesn't have to :

- i. We are to keep our plan a secret. Youtell anyone.
- ii. Younot go there unless I ask you to do so.
- iii. The bus service to that city is quite good. We go by taxi.
- iv. Waltergo there today, he usually visits that place every day.
- v. Youmake a noise. The children may wake up.

7.9 SUMMING UP

- * Modals or Modal auxiliaries are a kind of verb.
- * They have structural importance only and are not much important for the meaning of a sentence.
- * Modals come with main verbs and express mode or mood.
- * They do not change their form with the change in tense, number or voice.
- * One modal can be used to express different modes.
- * Some of the modals can be interchanged.

7.10 SUGGESTED READINGS

- * Murphy Raymond, *Murphy's English Grammar* Cambridge University Press: Delhi, Third Ed. Rpt. 2010
- * Greenbaum Sidney, and Randolph Quirk, *A University Grammar of English*, Pearson 16th impression 2016
- * Sharma, Ghanshyam, *Essentials of English Grammar and Effective Writing*. Dixit Publishing House: Jalandhar, 2012

7.11 QUESTIONS FOR REVISION

7.11.1 LONG ANSWER-TYPE QUESTIONS:

- i. Write an essay on modals.
- ii. Discuss the main features of modals with the help of examples.
- iii.. Bring out the difference between the use of :
Can/Could , May/Might, Shall /Should with the help of examples.

711.2 SHORT ANSWER-TYPE QUESTIONS

- i. What do you understand by modals?
- ii. Write a note on two types of auxiliary verbs.
- iii. Discuss the different uses of the modal can.

ANSWERS TO CHECK YOUR PROGRESS EXERCISES:

CHECK YOUR PROGRESS I

- i. Auxiliary verbs *are not* .important for the meaning of sentences.
- ii. Modals are *limited* in number .
- iii. Modal auxiliaries come *before* the main verb.
- iv. Modals *do not change* with the change in number or tense.

CHECK YOUR PROGRESS: II

- i. to be able to or was able to do are used to *express ability in specific situations or the action that actually took place in a situation.*
- ii. We use *can* to give permission.
- iii. *Could* is used to express ability in the past.
- iv. The interrogative form of '*could* 'is used to express polite request.

CHECK YOUR PROGRESS: III

- i. No.
- ii. a) possibility
- iii. c) request for permission.
- iv. True

CHECK YOUR PROGRESS IV

- i. a ii. b iii b iv a

CHECK YOUR PROGRESS: V

- i. Which pair of shoes shall I buy?
- ii. His father said to Jonny ,” You shall repent if you go out with those boys”.
- iii. We should take care of the elders in our house.
- iv. The doctor said to the patient , “ You should take this medicine twice daily’

CHECK YOUR PROGRESS VI.

- i.:a) obligation
- ii. True

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

COURSE: ENGLISH COMPULSORY-II

UNIT 8: READING: COMPREHENSION OF UNSEEN PASSAGE

STRUCTURE

8.0 Objectives

8.1 Introduction

8.2 Reading for comprehension

8.3 Check your progress I

8.4 (a) Multiple choice question-based comprehension

8.4.1 Solved passages

8.4.2 Unsolved exercises

8.5 Check your progress II

8.6 Short-answer type questions-based comprehension

8.6.1 Solved exercises

8.6.2. Unsolved exercises

8.7 Check your progress: III

8.8 Summing up

8.9 Suggested readings

8.10 Questions for revision

8.10.1 Long-answer type questions

8.10.2 Short-answer type questions

8.0 OBJECTIVES

The unit is expected to show the students the way comprehension of different unseen passages is done. A study of this unit will enable the students to answer different types of questions based on a passage which they have not come across earlier.

8.1 INTRODUCTION

The study in this unit will explain the meaning and purpose of comprehension. Some useful hints have also been given to facilitate the students while attempting comprehension. You will see how a variety of questions can be framed to check our understanding of a passage. We have given solved exercises for your guidance. You can observe them and mark the essential points while answering the questions on different passages. The unsolved exercise of different types are aimed to add to the variety of ways your comprehension skills can be tested.

The 'Check Your Progress Exercises' are given to help you assess your progress in learning. You are advised to attempt these exercises first and then verify the correct answers given at the end of the unit.

8.2 READING FOR COMPREHENSION

The main purpose of reading is to transfer the ideas conveyed on paper to human mind. It requires certain basic comprehension abilities and skills. These skills can be developed through different strategies. After one has acquired these skills, reading and comprehension cannot go well unless followed by systematic practice. There are several ways to increase comprehension ability. We can identify some of the most significant strategies to develop comprehension skills as given below:

i. Word meanings:

Comprehension is based on effective reading. In order to read and comprehend the given material word meanings play a decisive role. No reading can be meaningful without understanding the meanings of words. Some of the ways that help understand words in a better way are :

(a) Words should be understood in the context in which they occur instead of their dictionary meanings only. Another way to enhance the ability to comprehend word meanings is through experience. It involves visits to the places like post office, railway station, zoos etc. that present words in their concrete shape and make these words a part of one's vocabulary through experience.

Use of dictionary for technical terms helps in understanding unfamiliar and technical word meanings.

The practice of using substitutes of words and phrases increases the understanding of word meanings.

ii. Concentrate on Facts and Ideas:

A careful study of the facts, details and material things facilitates comprehension. The comprehension skill develops by reading in a way that creates a concrete image of the details given. It also involves framing some direction of the ideas conveyed in one's mind while reading. The names of persons, places and concrete objects can be arranged to understand the ideas expressed. One can pay particular attention to the central idea of the passage, concentrate on giving a title to the passage, find out words and phrases that one can develop in full length paragraphs. One can frame questions, while reading, to answer them at a later stage. All these steps help develop an outline of the thematic concerns of the passage given for comprehension.

iii. Relating Facts and Information:

There is a close relation between facts and information. A fusion of the physical and the abstract is required for a better understanding. The reader can underline the relevant and the

irrelevant ideas and statements to reach the meaning. The relation between facts and the ideas helps a lot in reading for comprehension.

iv. Understanding and Interpreting:

Comprehension becomes more effective if one puts one's understanding along with the interpretation. One's ability to provide correct interpretation depends on one's ability to distinguish the relevant and the irrelevant information. One can develop an exercise of comparison and contrast between different ideas and different sentences. It makes understanding sharp and helps interpret things more clearly.

iv. Organization and Expression:

All the earlier steps are useful when they are properly organized and exercised effectively. Comprehension moves in the right direction if the reader develops different parts in a symmetrical design. It involves an understanding of the pattern related to cause and effect, sequential order, completion of an order etc. The identification and organization of commonalities in different things presented in the passage help develop comprehension effectively.

These strategies can be extremely useful in reading meant for comprehension. These strategies, no doubt, are effective only when put into practice.

8.3 CHECK YOUR PROGRESS: I

- i. Choose the correct answer: Comprehension skills can be developed much more through:
a) reading only b) by reading comic books c) through systematic practice
- ii. Fill in the blank with the suitable answer: andare the two significant things for understanding of word meanings. a) memorizing word meanings b) use of dictionary for technical terms, and use of substitutes of words c) asking for a list of words.
- iii. State whether true or false:
Framing questions does not have any importance in comprehension skills.
(True/False)
- iv. Comparison and contrast between ideas and sentences sharpens understanding. (True/False).

8.4 (A) MULTIPLE CHOICE QUESTION-BASED COMPREHENSION

There are different ways of testing comprehension skills. Asking the students to choose the correct answer is one of them. While attempting these questions, one must concentrate on all the choices given and carefully select the most suitable one. Sometimes more than one answer seems to be correct. In such cases it becomes essential to go back to the passage carefully and see the most relevant answer from there. Sometimes you find an answer to the question not mentioned in the choices given. In such a case you are to select the answer only out of the given choices and not from the one given in the passage.

8.4.1 SOLVED PASSAGES

PASSAGE I

Read the passage given below and answer the questions that follow :-

(1) Great thinkers of the world have praised labour. Next to air and water labour is most important for life, progress and prosperity of man. In this world nothing can be had without labour. In fact it is labour and industry which have contributed to the progress of civilization. Labour may be manual as well as mental. Labour done by the hand is called manual labour. When we till a land or carry a load, we are said to do manual work. But office clerks, lawyers, teachers, medical men, engineers and persons of different professions do mental work. By labour we generally mean manual labour. Whether we like it or not, we all have to work.

(2) Dignity of labour chiefly means respectability of manual labour. Manual labour is very useful for us. The daily affairs of the life cannot run without it. Where would the world have been today, if no one had worked, but had only formulated theories? The very food that we eat, the various articles of luxury which give us comfort, the houses we live in, the clothes we wear, are the result of labour. All labour is sacred. The labourer in the field and the artisan in the workshop do very useful work. Work is worship, work is wealth and work is joy. Work is the very essence of life. All honest labour is noble and dignified. Labourers and workers are the very back bone of a country. They are the pillars of their country's progress. They are the saviours and builders of the society. It is the community of labourers which forms the back bone of the socio-economic structure of a country. All labour is honourable and divine. It is well said that an idle brain is the devil's workshop. No one has achieved anything worthwhile without having worked hard for it.

Questions

(1) Manual labour means:

- a. labour done by men
- b. labour done in the market
- c. work done with hands
- d. None of these.

2. Who has contributed more for the development of society and civilization:

- a. those who formulated theories
- b. those who gave different rules
- c. people who paid to the labourers
- d. the people who have worked

3. The writer calls the labourers:

- a. the pillars of their country's progress
- b. the very back bone of their country
- c. both a and b

d. the poor people.

4. A nation cannot make progress if there is/are:

a. laziness and dullness

b. labour

c. poor people

d. rich people only.

5. Pick out one word from the passage that means the same as:—

(i) Different

(ii) Protectors

Answers

(1.) c (2.) d (3.) a & b (4.) a

(5) (i) various (ii) survivors

PASSAGE 2

Read the passage given below and answer the questions that follow:

(1) Punctuality is a necessary habit in all public affairs of a civilized society. Without it nothing could ever be brought to a conclusion, everything would be in a state of chaos. Only in a sparsely populated rural community is it possible to disregard it. In ordinary living there can be some tolerance of unpunctuality. The intellectual, who is working on some abstruse problem, has everything coordinated and organized for the matter in hand. He is therefore forgiven, if late for the dinner party. But people are often reproached for unpunctuality when their only fault is cutting things fine. It is hard for energetic, quick-minded people to waste time, so they are often tempted to finish a job before setting out to keep an appointment. If no accidents occur on the way, like punctured tyres, diversion of traffic, sudden descent of fog, they will be on time. They are often more industrious, useful citizens than those who are never late. The over-punctual can as much be a trial to others as the unpunctual. The guest who arrives half an hour too soon is the greatest nuisance. Some friends of my family had this irritating habit. The only thing to do was to ask them to come half an hour later than the other guests. Then they arrived just when we wanted them.

(2) If you are catching a train, it is always better to be comfortably early than even a fraction of a minute too late. Although being early may mean wasting a little time, this will be less than if you miss the train and have to wait an hour or so for the next one. And you avoid the frustration of arriving at the very moment when the train is drawing out of the station and being unable to get on it. And even a harder situation is to be on the platform in good time for a train and still to see it go off without you. Such an experience befell a certain young girl the first time she was travelling alone.

Questions:

1. We should observe punctuality because:

- a. it is appreciated by all.
- b. without it we cannot finish any work in time and there is always confusion and chaos.
- c. it makes our surroundings beautiful
- d. we need no hard work if we observe punctuality.

2. Punctuality can be overlooked:

- a. in a big city
- b. when there is not much work to do.
- c. in a thinly populated society
- d. by a hard working man .

3. The over punctual people are:

- a. always helpful
- b. never come in time
- c. prove to be a nuisance like the unpunctual people.
- d. have pleasing habits.

4. The author asked some of his friends to come half an hour later than the others because:

- a. they were over punctual
- b. they were punctual
- c. they were late comers
- d. they wanted to come late.

5. The word industrious means:

- a. related to the industry
- b. independent
- c. hard working
- d. desire

Answers (1)b (2.)c (3.)c (4.)d (5.) c.

8.4.2 UNSOLVED EXERCISES

PASSAGE 1

Read the passage given below and answer the questions that follow :—

(1) Concern about the effects of television on children has centred exclusively upon the contents of the programmes, which children watch. Social scientists and researchers do complex and ingenious experiments to find out whether watching violent programmes makes

children behave aggressively. But it is easy to overlook the simple fact that one is always just watching television when sitting in front of the screen rather than having any other experience.

(2) Parents who are deeply troubled about the effects of television upon their children have centred their concern on the subject matter of the programmes. A group called Action For Children's Television (ACT) was formed in the USA not only to reduce the amount of violence in programmes but also to protest against incessant commercial breaks which encouraged children to crave for fashionable toys and unhealthy foods. One of its founders described its aim "...parents have the rights to ask that programmes aimed at the young should meet the specific needs of children..." But is it the needs of children which are at stake when parents demand better programmes ? Surely the fact that young children watch so much television reflects the needs of parents to find a convenient source of amusement for their offspring and a period of quiet for themselves. Their anxieties about the possible ill effects of those hours of passive, quiet viewing are lessened if the time spent at least seems to be educational.

(3) The real needs of young children are quite different. They need opportunities to work out basic family relationships, thereby coming to understand themselves : television only reduces these opportunities. They need to develop initiative, and to find out things for themselves; television provides answers too easily. Children need to acquire fundamental skills of communication; television retards verbal development because the child is silent while watching it.

Questions:

1.The Social scientists and researchers do experiments to :

- a. see the impact of watching violent tv programmes on children's behaviour
- b. make children give up watching tv
- c. to guide the parents
- d. to make good programmes for children.

2. The ACT was formed in the USA to :

- a . ask children to stop watching tv.
- b. reduce violence in programmes
- c. to protest against commercial breaks.
- d. both b and c.

3.The ACT was against frequent commercial breaks because:

- a. they disturb the children
- b. they break the link between the incidents
- c. the advertisements lure the children to demand fashionable toys and unhealthy food.
- d. the commercial breaks are not educational.

4. Television :

- a. develops verbal skills of children
- b reduces the opportunities for children to understand basic family relationships.

c. provides answers too easily that does not allow the children to develop the initiative to find things for themselves.

5. Find the words from the passage which match their meanings given below:

a) endless or continuous b. decrease

(Adapted from Plug-in Drug by Arie Winn)

PASSAGE 2

Read the passage given below and answer the following questions:

The name 'Eskimo' comes from the language of the northern Red Indians and means a person who eats raw meat. It is an appropriate name because the Eskimos live mainly by hunting and fishing and in winter do not always cook the animals they catch.

This is because it is impossible to find any fuel for a fire in the icy waste that they inhabit. The only form of fire they have is produced by burning the oil of seals or whales in shallow, saucer shaped lamps, made from pottery or stone. These lamps are used primarily to give light but the Eskimos can also boil their meat and fish over them. These foods are also frozen or dried.

There is another reason why the Eskimos sometimes eat raw meat : in this way they get the greatest possible nourishment. The Eskimos make up for the lack of vitamins from vegetables by eating the kidneys and liver of their prey raw. These organs have an abundant store of all the vitamins needed by the human body.

On the basis of your reading the above passage answer the following questions :

- (1) The word "Eskimo" has been derived from (a) estimate (b) Indian languages (c) language of the Red Indians (d) ice.
- (ii) The main occupations of the Eskimos are : (a) agriculture (b) making shoes (c) hunting and fishing (d) tree plantation
- (iii) Which organs of their prey Eskimos eat to get more vitamins: (a) heart (b) legs (c) blood (d) liver and kidneys
- (iv) Eskimos use their lamps to : (a) get light (b) boil meat and fish (c) both a and b (d) to kill their enemies.
- (v) The word in the passage that means enough is : (a) appropriate (b) shallow (c) abundant (d) impossible.

PASSAGE 3

Read the passage and answer the following questions:

Three-fourths of the surface of our planet is covered by the sea, which both separates and unites the various races of mankind. The sea is the great highway along which man may journey at his will, the great road that has no walls or hedges hemming it in, and that nobody has to keep in good repair with the aid of pick-axes and barrels of tar and steam-rollers. The sea appeals

to man's love of the perilous and the unknown, to his love of conquest, his love of knowledge, and his love of gold. Its green, and grey, and blue, and purple waters call to him, and bid him fare forth in *quest* of fresh fields. Beyond their horizons he has found danger and death, glory and gain.

In some great continents, such as America and Australia, there are towns and villages many thousands of miles from the coast, whose children have never seen or heard-or felt-the waves of the sea. But in the British Isles it is nowhere much more than a hundred miles from the most inland spot. The love of the sea is in the very blood of the British people. (*The Story of the Sea*)

Questions:

- (i) The line "Three- fourths of the surface of our planet is covered by the sea" indicates that : (a) the earth is very big (b) the sea is very deep (c) the sea is dangerous (d) the sea is very vast.
- (ii) The sea is different from a great road as :
- It is not a road, it is water
- b It has no fences that surround it
- c It does not need repair
- d both b and c.
- (iii) In America and Australia there are towns and cities:
- (a) near the sea
- (b) on the shores of the sea
- (c) far away from the sea
- (d) none of the above.
- (iv) The British people :
- (a) love the sea
- (b) hate sea
- (c) have not seen the sea
- (d) are afraid of the sea

8.5 CHECK YOUR PROGRESS: II

Choose the correct answer:

- i. Multiple choice questions means: a) There are multiple answers to the same question b) multiple options are given as answers and you are to select one c) there are multiple meanings of words to be traced.

- ii. The information from different sources , even out of the passage given for comprehension is to be used to make the correct choice: (True /False)
- iii. For answering these questions only the choices given are important , not the understanding of the passage: (True /False)
- iv. Multiple-answer type questions are the only way to test one's comprehension skills.(True/False)

8.6 SHORT-ANSWER TYPE QUESTIONS BASED COMPREHENSION

Short-answer type questions on a passage for comprehension are to be answered in complete sentences. While answering these questions you are supposed to write the answers in your own words. Copying the lines or expressions from the passage given for comprehension should be avoided.

8.6.1 SOLVED EXERCISES

PASSAGE 4.

Read the passage given below and answer the questions that follow:–

My grandmother and I were good friends. My parents left me with her when they went to live in the city and we were constantly together. She used to wake me up in the morning and get me ready for school. She said her morning prayer in a monotonous singsong while she bathed and dressed me in the hope that I would listen and get to know it by heart; I listened because I loved her voice but never bothered to learn it. Then she would fetch my wooden slate which she had already washed and plastered with yellow chalk, tiny earthen ink-pot and a red pen, tie them all in a bundle and hand it to me. After a breakfast of thick, stale chapatti with a little butter and sugar spread on it, we went to school. She carried several stale chapattis with her for the village dogs.

Questions:

1. How did the grandmother sing her prayer?
2. What were the things that the grandmother would tie in a bundle?
3. What breakfast did the writer and his grandmother use to have?
4. Give in simple English the meanings of the following words : (i) constantly (ii) earthen
5. Match the words under column A with their meanings under B :

A

- (i) Monotonous
- (ii) stale

B

- small
- not fresh
- unchanging

6. Fill in the blank with a suitable word taken from the passage:

The author's grandmother used to the wooden slate with yellow chalk.

Answers:

1. The grandmother sang her prayer in a monotonous sing song.
2. The grandmother would tie a wooden slate, an earthen inkpot and a red pen in a bundle for her grandson.
3. (i) Constantly continuously
(ii) Earthen made of clay or mud
4. The writer and his grandmother used to have a stale chappati with butter and sugar spread over it as their breakfast.
5. **A** **B**
(i) monotonous unchanging
(ii) stale not fresh
6. The author's grandmother used to *plaster* the wooden slate with yellow chalk.

PASSAGE 5

Read the passage given below and answer the questions that follow:–

(1) The role friends play in our lives has become significantly greater than at any other time in our history. Today many of us live and work at great distances from where we were born or we grew up and are separated from our original families. The pain we feel when we are away from our families can be significant.

(2) The happiness of the individual relies on friendships which form a necessary human connection. It is perfectly normal to need and want friends and depression is more prevalent among those who lack friends. They lack the intimacy and richness friends can bring into our lives. Frequently friends reflect similar values to us. Yet these values are often different from the ones we grew up with; they are the values we created for ourselves in our adult lives.

(3) Communication skills are fundamental in all friendships. The more friends and acquaintances one has, the greater are one's communication skills. Some call these, people skills.

(4) Like watering a plant, we grow our friendships (and all our relationships) by nurturing them. Friendships need the same attention as other relationships, if they are to continue. These relationships can be delightfully non-judgmental, supportive, understanding and fun.

(5) Sometimes a friendship can bring out the positive side that you never show in any other relationship. This may be because the pressure of playing a 'role' (daughter, partner or child) is removed. With a friend you can be yourself and are free to change. Of course you are free to do this in all other relationships as well, but in friendships you get to have lots of rehearsals and discussion about changes as you experience them. It is an unconditional experience where you receive as much as you give. You can explain yourself to a friend openly without the fear of hurting a family member.

- (a) (i) Why do we need friends today more than ever before ?
(ii) What kind of values do our friends project ?
(iii) Why does the author compare friendship to a plant ?

- (iv) Give a suitable title to the passage.
- (v) Pick out words from the passage which mean the same as each of the following :
 - a) closeness (para 2)
 - b) basic (para 3)

ANSWERS

- (a) (i) We need friends today more than ever before because today many of us live and work at places far away from the ones where we were born and grew up.
- (ii) Friends project values which are similar to ours, yet these values are different from the ones we grew up with.
- (iii) The author compares friendship to a plant as both need careful nurturing.
- (iv) The title of the passage can be, " The Role of Friends in Our Life".
- v.
 - a) intimacy
 - b) fundamental

8. 6.2. UNSOLVED EXERCISES

PASSAGE 6

Read the passage given below and answer the questions that follow :—

Some forty years ago, I began to realize that shooting wild animals no longer gave me pleasure : it was too much of a one-sided game, in which the wretched creatures had little chance against the modern rifle. Beyond the difficulties of stalking, everything was too easy and lacking in excitement. Then also, it seemed all wrong to kill a harmless animal just for fun. I even hate to see anything shot—and yet I wanted to hunt, wanted the joy of being out of doors and seeing the various birds and beasts in their natural wild state, in all their natural beauty. But merely seeing them was not quite enough. I wanted to bring home some proof of what I had seen. Making sketches, even though I happened to be an artist, was not very satisfactory-and certainly not very easy; thus it was that I turned to the camera. Here was a weapon that would shoot without hurting, certainly without killing, and yet give me the trophies of the chase.

Questions :

1. Why did shooting animals no longer give the author pleasure?
2. What seemed wrong to him?
3. How would the new weapon be useful? What was it?
4. Match the words under **A** with their meanings under **B** :

A	B
(i) wretched	wrong
(ii) stalking	walk with slow stiff strides
	miserable
5. Give in simple English the meanings of the following words:

(i) various	(ii) realize
-------------	--------------
6. Fill in the blank with a suitable word from the passage :

We should not kill animals.

7. The word *excitement* has *ment* as suffix. Write two more words with *ment* as a suffix.
8. Complete the following :
 - (i) The author felt that
 - (ii) Shooting animals with a rifle did not give the writer any pleasure because
 - (iii) He preferred camera to making sketches as

PASSAGE-7

Of man's earliest inventions we know very little. The first may have been the use of a stone to crack a nut. The next was possibly the use of a stick to strike an enemy. Once man found that stick and stone were useful; it was only a step further to the making of a crude weapon by fastening a stone to the end of a stick.

Man used stick and stone long before he dared to meddle with fire; for the early man like all wild creatures dreaded the fire. Fire, of course, existed; for lightning must sometimes have set the forests ablaze just as it does today. And the forests were more wide spread than they now are. The forgotten hero who first dared to take fire to his own use was the greatest of early inventors for once man had fire he was master of all lower creatures.

Read the above passage and answer the following questions in your own words :

1. What were the earliest inventions of man?
2. Why did not man make use of fire?
3. In what forms did fire exist?
4. Who was the forgotten hero? What did he do?
5. Who was the master of all lower creatures?
6. Give simple English meanings of the following words :
 - (i) crude (ii) meddle (iii) ablaze (iv) dreaded

PASSAGE-8

Read the passage given below and answer the questions that follow:—

But deep in the hearts of the Indian people, one name is held even dearer than those I have mentioned—the name of Vikramaditya, who became King of Malwa, it is said, in the year 57 before Christ. How many, many years ago must that be ! But so clearly is he remembered, that to this day when a Hindu wants to write a letter, after putting something religious at the top—“The Name of the Lord”, or “Call on the Lord” or something of the sort—and after writing his address, as we all do at the beginning of a letter, when he states the date, he would not say, “Of the year of the Lord 1900” for instance, meaning 1900 years after Christ, as we might, but he would say, “Of the year 1957 of the era of Vikramaditya’. So we judge for ourselves whether that name is ever likely to be forgotten in India. Now who was this Vikramaditya and why was he so loved? The whole of that secret, after so long a time, we can *scarcely* hope to *recover*. He was like our King Arthur, or like Alfred the Great, so strong and true and gentle that the men of his own day almost worshipped him, and those of after times were *obliged to* give him the first place, though they had never looked in his face, nor appealed to his great and *tender* heart—simply because they could see that no king had been loved like this king. But one thing

we do know about Vikramaditya. It is told of him that he was the greatest judge in history.
(*The Judgement Seat of Vikramaditya*)

Questions:

- (a)
1. Who is loved most by the Indian People?
 2. What proof does the author give to show that the people of India cannot forget the great king Vikramaditya?
 3. What is the secret that we cannot hope to recover?
 4. To whom does the author compare the great king Vikramaditya?
 5. Name some of the qualities of the great King which have been mentioned in the passage.
- (b) Give the meanings of the **italicized** words in simple English and use them in sentences of your own.

8.7 Check Your Progress: III

Select the correct answer:

- i. Comprehension exercises require..... a) reading skills, b)writing skills, c)both of them d)none of them
- ii. Fill in the blank with the correct answer given in the bracket: A good vocabulary is (necessary / not necessary) for comprehension skills.
- iii. Fill in the blank with the correct answer given below : There can be to test comprehension skills.
a)only one way b) are two ways c)many ways)
- iv. Choose the correct answer: Comprehension is aimed to enhance and test one's skill in:
a) writing b) reading c) understanding

8.8 SUMMING UP

* While reading an unseen passage for comprehension the most important thing is to concentrate on the theme or the subject matter presented in the passage.

The ideas expressed in the passage are to be arranged in a systematic and logical way.

*Reading for comprehension requires good vocabulary skill to understand contextual meanings of words and other linguistic expressions.

* Comprehension skills can be tested in a variety of ways.

* Faming questions helps in reading for effective comprehension.

8.9 SUGGESTED READINGS:

You are advised to read on different subjects. Develop the habit of reading a good newspaper in English.

8.10 QUESTIONS FOR REVISION

8.10.1 Long-Answer Questions:

- i. Write a detailed essay on comprehension skills.

ii. Take some passages from any text or the ones given in this unit and frame questions of your own and then try to answer them.

8.10.2 Short Answer Questions:

- i. What do you understand by comprehension?
- ii. Explain the difference between multiple-choice questions and short answer-type questions.
- iii. Discuss at least two uses of comprehension exercises.

ANSWERS TO CHECK YOUR PROGRESS EXERCISES:

CHECK YOUR PROGRESS: I

i. c ii. b iii. false iv True

CHECK YOUR PROGRESS: II

i. b ii. False iii False iv. False

CHECK YOUR PROGRESS: III

i. c ii. necessary iii. c. iv c.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

COURSE: ENGLISH COMPULSORY-II

UNIT 9:

VOCABULARY DEVELOPMENT-1: ANTONYMS, ONE-WORD SUBSTITUTES

STRUCTURE

9.0. Objectives

9.1. Introduction

9.2. Antonyms

9.2.1. List of some important words with their antonyms

9.3. Check your progress I

9.4 Exercises for practice

9.5. One word substitution:

9.6 List of important one word substitutes

9.7. Check your progress I

9.8 Some common one word substitutes

9.8.1 Words denoting numbers

9.8.2 Words denoting places

9.8.3 Words denoting professions and trades

9.8.4 Names by which persons with certain characteristics are known

9.8.5. Words pertaining to marriage

9.8.6. Words pertaining to Sciences and Arts

9.8.7 Words pertaining to medical science

9.9. Check your progress ii

9.10. Exercises for practice

9.11. Summing up:

9.12. Suggested readings

9.13. Questions for practice

9.13.1. Long answer questions

9.13.2. Short answer questions

9.0. OBJECTIVES:

The main objective of the study in this unit is to enable the students to develop their vocabulary through the use of antonyms and one word substitutes

9.1. INTRODUCTION:

In this unit, you will find details about antonyms, and the use of one word in place of many. The focus is on familiarizing you with the antonyms of common words, and one word substitution to add to your vocabulary. For this purpose, we have given a number of words, their antonyms, and one word substitution concerning different concepts , issues, and disciplines. Students are advised to practice the use of the words mentioned in the unit, and consult a good dictionary or other suggested study material strengthen their vocabulary.

We have given a variety of exercises to make the study interesting and effective.

‘Check Your Progress’ exercises are practice oriented. Their answers given at the end of the unit will help you have an idea about your learning outcome.

9.2 ANTONYMS

The word antonym means opposite in meaning. The word antonym has been borrowed from French antonyme. English language , like many other languages , has both antonyms and synonyms. Any good dictionary of Synonyms and antonyms can be seen to know that synonyms outnumber antonyms . it is due to the fact that there are many words which do not have their opposites, for example, book, sandwich etc,. Antonyms are useful in adding to our vocabulary.

We have given some antonyms of some common words to help you see the way you can use them in sentences and enrich your vocabulary.

9.2.1 LIST OF SOME IMPORTANT WORDS WITH THEIR ANTONYMS

Word	Opposite	Word	Opposite
cold.....	hot	absent	present
dry	wet	love	hate,hatred
right.....	wrong	question.....	answer
win.....	lose	asleep	awake
peace	war	front.....	back

coarse	fine	joy	sorrow, grief
rough	smooth	begin	end, cease
top	bottom	find.....	lose
buy.....	sell	friend.....	enemy, foe
proud	humble	busy.....	idle
easy	difficult, hard	sweet	sour, acid
cheap	dear, expensive	bright.....	dull
inside	outside	rise.....	fall, sink
give.....	take	true	false
hit	miss	quick	slow
wide.....	narrow	start	finish
ugly	beautiful	clean.....	dirty
near.....	far, distant	weep	laugh
kind	cruel	collect.....	disperse
empty.....	full	youth	age
ever.....	never	modern	ancient
bless.....	curse	former	latter
adult.....	child	least.....	greatest
north	south	slender.....	stout
east	west	robust	feeble,
high	low	good	bad
upper	lower	big	small
higher	lower	clever.....	foolish,
better	worse	here	there
entrance	exit	first.....	last
noise	silence	fat	thin, lean
quiet.....	noisy	join, unite	separate
inner	outer	light.....	heavy, darkness
lend.....	borrow	day.....	night
go.....	come	many	few
hard	soft	all	none
old	new	often	seldom
junior	senior	fresh	stale
live.....	die	straight	crooked

long	short	weak	strong
enjoy	dislike	deep	shallow
gay	grave	open	shut, closed
rejoice	mourn,	black	white
pleasant	disagreeable	praise	blame
success	failure	this	that
harmony	discord	these	those
blessing	curse	morning	evening
generous	mean	summer	winter
valour	cowardice	young	old
bravery	cowardice	giant	dwarf
advance	retreat	wild	tame
arrive	depart	profit	loss
attack	defend	happy	sad
before	behind	daily	nightly
engage	dismiss	health	sickness
appear	vanish	lead	follow
everywhere	nowhere	land	water
earth	sea	hill	valley
stationary	moving	mountain	plain
dynamic	static	right	left
centrifugal	centripetal	public	private
oriental	occidental	acute	obtuse
miser	spendthrift	lazy	industrious
spacious	limited	master	servant
sober	intoxicated	arrive	depart
future	past	remember	forget
abundance	scarcity	appoint	dismiss
common	rare	knowledge	ignorance
simple	complex	pale	ruddy
barren	fruitful	ally	enemy
help	hinder	flow	ebb
accept	reject	teach	learn
natural	artificial	think	guess

work	rest	summit	base
truth	error	cloudy	clear
familiar	strange	dawn.....	dusk
freedom	captivity	vacant.....	occupied
extravagance	thrift	hope.....	despair
danger.....	safety	interior.....	exterior
sacred	profane	permanent	temporary
virtue	vice	obey.....	command
wisdom.....	folly	negative.....	positive
within	without	conceal	reveal
polite	rude	hide	show
proper	common	singular	plural
saint	sinner	foreign.....	native
height.....	depth	smile.....	frown
multiply	divide	convex.....	concave
agree.....	contradict	prosperity	adversity
bashful.....	bold	victory	defeat
indolent	diligent	superior	inferior
inhale.....	exhale	level.....	steep
expand	contract	liquid	solid
victor	vanquished	pardon	punish
real.....	imaginary	complainant.....	defendant
debtor	creditor	eager.....	reluctant
rural	urban	order	chaos
emigrant	immigrant	optimist	pessimist
affirmative.....	negative	ingenuous.....	insincere
numerous.....	sparse	transparent.....	translucent
rigid	flexible	pedestrian	passenger
novice.....	veteran	powerful	feeble
guilty	innocent	genuine.....	counterfeit
hell.....	heaven	accelerate	retard
heroic.....	base	ancestor	progeny
benevolent.....	malevolent	assemble.....	disperse
benediction.....	malediction	condemn.....	exonerate

compulsory.....	voluntary	slim	chubby
compulsory.....	optional	arrival	departure
analysis.....	synthesis	reward	punishment
excess	shortage	economy	extravagance
surplus	deficit	majority	minority
assent.....	dissent	employ	dismiss
consent	dissent	liberty	slavery
lawful	illegal	apprehend.....	release
attract.....	distract	gaiety.....	melancholy
amateur.....	professional	solitary	populous
confine.....	release	sparse	populated
predecessor.....	successor	pure	adulterated
confusion.....	orderliness	lovely	repulsive
pleasure	pain	graceful	hideous
convict.....	acquit	concurrent	consecutive
theory	practice	poison.....	antidote
hostile.....	friendly	prolific.....	sterile
initial	final	monotony	variety
regularly	periodically	survive.....	succumb
prospective	retrospective	incessantly.....	rarely
premature	overdue	monogamy	polygamy
caution.....	recklessness	prologue	epilogue
colleague	antagonist	prudence.....	indiscretion
ancestry	posterity	motionless	agitated
exact	inaccurate	prose	verse
life	death	dead	alive

9.3 CHECK YOUR PROGRESS: I

Match the words under A. with their antonyms given under B

- | | |
|----------------|---------|
| A. | B |
| i. Monogamy: | dissent |
| ii. Pleasure : | illegal |

- iii. Lawful : pain
iv. Hostile : dissent
v. Assent friendly

9.4 EXERCISES FOR PRACTICE

EXERCISE I

CHOOSE THE CORRECT OPTION:

- i. The antonym of dead is :
a) life b) birth b) alive c) lively
- ii. Bless is the antonym of :
a) sin b) curse c. happy
- iii. The antonym of rural is :
a) forward b) backward c) urban
- iv. The antonym of rise is :
a) up b) down c) fall

EXERCISE 2

Use the Antonyms of the following words in sentences of your own:

- i. Light ii. Heavy iii. Pain iv. Curse v. Less

Match the words given under A with their opposites under B:

A	B
More :	sad
Alive :	sell
Loud :	dead

Happy :	quiet
Last :	then
Now:	first
Buy:	sell
Dangerous:	worse
Better :	safe
Hot :	cold

9.5 ONE WORD SUBSTITUTION:

We can substitute a phrase, a sentence or a specific word by replacing it with a single word. It makes the expression shorter, and simple. It offers brevity to our use of language and we can convey much with minimum use of words. While substituting one word for many, it is kept in mind that the meaning of the word is identical with the phrase or expression for which it has been replaced. The best way to learn this is by using one word substitutes in sentences and observing the way we can use substitutes for longer expressions.

We have given some one word substitutes related to different categories. Instead of memorizing them, you are advised to use them in sentences of your own. The use of one word substitutes can help you in developing your vocabulary of English language.

9.6 LIST OF IMPORTANT ONE WORD SUBSTITUTES

Amateur: One who pursues some art or sport as hobby

Autobiography: Life story of a man written by himself

Adolescence – The period between childhood and adulthood

Bibliophile – A great lover of books

Bilingual – A person who speaks two languages

Catalogue – A list of books

Centenary – Celebration of a hundredth year, once –a-century

Colleague – A co-worker or a fellow-worker in the same institution

Contemporaries – Persons living in the same age

Credulous – A person who readily believes whatever is told to him/her.

Callous – A man devoid of kind feeling and sympathy 16. **Cosmopolitan** – A man with a broad and international outlook

Democracy – Government of the people, for the people, by the people

Monarchy – A political system in which a state is ruled by one person

Draw – A game in which neither party wins

Egotist – A person who always thinks of himself; somebody who is selfish or self-centered

Epidemic – A contagious disease which spreads over a huge area

Extempore – A speech or a presentation made without previous preparation

Etiquette – Established rules of conduct; rules of acceptable behavior

Epicure – Somebody who has refined taste for food; somebody who loves sensual pleasure and luxury

Exonerate – Free somebody from blame or guilt; free somebody from an obligation

Eradicate – Destroy or get rid of something completely; root out an evil or bad practice

Fastidious – A person difficult to please

Fatalist – A person who believes that all events are pre-determined

Honorary – A post which doesn't carry any salary

Illegal – That which is against law

Illiterate – A person who cannot read or write

Hostility – Intense aggression or anger; state of antagonism

Incorrigible – Impossible to change

Irritable – A man who is easily irritated

Irrelevant – Not applicable

Invisible – That which cannot be seen

Inaudible – That which cannot be heard

Incredible – That which cannot be believed

Impracticable – That which cannot be practiced

. Invincible – That which cannot be conquered

Indispensable – Something that is essential and cannot be dispensed with

Inevitable – That which cannot be avoided

Irrevocable – That which cannot be changed

Illicit – That which is considered wrong or unacceptable by prevailing social standards

Insoluble – Incapable of being dissolved in a liquid

Inflammable – Something that quickly catches fire

Infanticide – The act of killing an infant

Matricide – Killing of one's own mother; killer of one's own mother

Patricide – Killing of one's own father; killer of one's own father

Omnipotent – All-powerful; possessing complete power and authority

Omnipresent – One who is present everywhere

Optimist – One who looks at the bright side of things; somebody positive

Panacea – A supposed cure for all diseases or problems

Polyandry – The custom of having more than one husband at a time

Polygamy – The custom of having more than one wife at a time

Postmortem – Medical examination of a dead body

Pessimist – Very negative person; somebody who always expects the worst to happen

Postscript – A short message added on to the end of a letter after the signature

Synonyms – Words which have the same meaning

Cannibal: somebody who eats human flesh

Biography: an account of somebody's life written by another person

Widower: a man whose wife has died

Widow: a woman whose husband has died.

9.7 CHECK YOUR PROGRESS: I

A. Fill in the blanks with suitable one words :

- i. My uncle'sis very interesting as he has given a number of interesting details about his own life in it. (biography, autobiography)
- ii. An eminent scholar of his times has written Akbar's(biography, autobiography)
- iii. I told the librarian that the book was not there in the(catalogue, diary)
- iv. Only God is considered.....for having matchless power. (Omnipresent, omnipotent)

B . Fill in the blanks with suitable words to complete the sentences given below:

- i. An.....person cannot know what is there in a newspaper. He or she may do somethingin ignorance and suffer imprisonment.
- ii. Jenny is aas she always has negative thoughts in her mind.
- iii. People believe that ghosts and spirits aretherefore people cannot see them.
- iv. After the accident the police sent his dead body to the hospital for

9.8 SOME COMMON ONE WORD SUBSTITUES

9.8.1 WORDS DENOTING NUMBERS

.

A number of sheep

flock

A number of fish taken in net

catch, haul

A number of asses	pack
A number of cattle or swine feeding or driven together	herd
A number of birds, bees or insects moving together	flight
A number of wolves, hounds or submarines	pack
A number of bees, locusts, ants etc.	swarm
A number of bees living in the same place	hive
A number of ants, rabbits or snakes living in the same place	nest
A number of horses kept for riding, racing, breeding	stud
A number of lions, monkeys or cavalry soldiers	troop
A number of chickens hatched at the same time	brood
A number of young pigs, dogs, cats brought forth at one birth	litter
A number of kittens	kindle
A collection of fowls, ducks, etc.	poultry
A number of people at church	congregation
A number of people listening to a concert or lecture.	audience
A number of people looking on at a football match, etc.	spectators
A number of people collected together in the street	crowd
A number of disorderly people	mob, rabble
A number of artistes, dancers or acrobats	troupe
A number of persons, of the same race, character, etc.	tribe
A number of beautiful ladies	bevy
A number sailors manning a ship	crew
A number workmen, prisoners, thieves etc.	gang
A group of constables called to enforce the law	posse
A number (more than two) of judges or bishops	bench
A collection of poems	anthology
A collection flowers	bouquet
A number of drawers	chest
A number of ships	fleet
A collection of dried plants	herbarium

A number of trees	forest
A large collection of wood , hay, corn, piled together	stack
A cluster of houses in a village	hamlet
A number of stars grouped together	constellation
A set of furniture, room etc	suite
A collection of tools	set

9.8.2 WORDS DENOTING PLACES

A place where fishes are kept	aquarium
A place where pigs are kept	sty
A place for keeping or breeding insects	insectarium
A house or shelter of an Eskimo	igloo
A house or shelter for a dog	kennel
A house or shelter for a horse	stable
A home of a lion	den
A place where medicines are compounded	dispensary
A place for the treatment of sick people	hospital
A residence for monks or priests	monastery
A residence for nuns	convent
A place where milk is converted into butter and cheese	dairy
A place where bread and cakes are made	bakery
A place where clothes are washed and ironed	laundry
A place for housing cars	garage
A place where books are kept	library
A place where any manufacture is carried on	factory
A place where athletic exercises are performed	gymnasium
A place where treasures of art, curiosities, etc. are preserved or exhibited	museum
A place for storing grain	granary
A place where soldiers are quartered	cantonment
A place where money is coined	mint
A place where fruit trees are grown	orchard
A place where orphans are housed	orphanage

A Muslim place of worship	mosque
A school for infants and young children	kindergarten

9.8.3 WORDS DENOTING PROFESSIONS AND TRADES

One who attends to the disease of the eye	oculist
One who tests eyesight and sells spectacles	optician
One who attends to sick people and prescribes medicines	physician
One who compounds or sells drugs	druggist, pharmacist
One who treats diseases by performing operations	surgeon
One who attends to the teeth	dentist
A physician who assists women at child-birth	obstetrician
One who drives a motor-car	chauffeur
One who manages or attends to an engine	engineer
The person in charge of a ship	captain
One who carves in stone	sculptor
One who writes for the newspapers	journalist, reporter, correspondent
One who sets type for books, newspapers etc.	compositor
One who plans and draws the design of buildings and superintends their erection	architect
One who deals in flowers	florist
One who deals in fruits	fruiterer
One who studies the stars	astronomer
One who foretells things by the stars	astrologer
One who works in a coal-mine	colier
One who converts raw hide into leather	tanner
One who makes or deals in cutting instruments e.g. knives	cutler
One who pays out money at a bank	cashier, teller
One who lends money at exorbitant interest	usurer

One who performs tricks by sleight of hand	conjuror, juggler
One who performs daring gymnastic feats	acrobat

One who sells paper, ink, pens and writing materials.	stationer
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One who studies the evolution of mankind	anthropologist
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One who studies the working of the human mind	psychologist
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9.8.4 NAMES BY WHICH PERSONS WITH CERTAIN CHARACTERISTICS ARE KNOWN

One who looks on the bright side of things	optimist
--	----------

One who looks on the dark side of things	pessimist
--	-----------

One who devotes his service or wealth for the love of mankind	philanthropist
---	----------------

One who sneers at the aims and beliefs of his fellow men	cynic
--	-------

One who devotes his life to the welfare and interests of other people	altruist
---	----------

One who runs away from justice or the law	fugitive
---	----------

One who takes refuge in a foreign country	refugee, alien
---	----------------

One who is banished from his home or his country	exile
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One who dies for a noble cause	martyr
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One who eats no animal flesh	vegetarian
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One who feeds on human flesh	cannibal
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One who loves his country and serves it devotedly	patriot
---	---------

One who pretends to be what he is not	hypocrite, impostor
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One who imitates the voice, gestures etc. of another	mimic
--	-------

One who can enable people speaking different languages to understand each other	interpreter
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One versed in many languages	linguist
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One who entertains another	host, hostess
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A hater of women	misogynist
One who kills political figures	assassin
A partner in crime	accomplice
One living at the same time as another	contemporary
One who abstains from alcoholic drinks	teetotaler
One who shoots with bows and arrows	archer
One who fishes with a rod	angler

9.8.5 WORDS PERTAINING TO MARRIAGE

One who has only one wife or husband at a time	monogamist
One who marries a second wife or husband while the legal spouse is alive	bigamist
Man who has more than one wife at a time	polygamist
Woman who has more than one husband at a time	polyandist
A hater of marriage	misogamist
One vowed to a single or unmarried life	celibate
Legal dissolution of the marriage of husband and wife	divorce
Payment of money allowed to a wife on legal separation from her husband	alimony
A man whose wife is dead	widower
A woman whose husband is dead	widow
The property which a new wife brings to her husband	dowry
One engaged to be married	betrothed
To run away with a lover in order to get married secretly	elope

9.8.6 SCIENCES AND ARTS

An institution for education in the arts and sciences	polytechnic
The study of all heavenly bodies and the earth in relation to them	astronomy
The art of tilling the soil	agriculture

The art of cultivating and managing gardens	horticulture
The science of family descent	genealogy
The study of ancient buildings and prehistoric remains	archaeology
The art of beautiful hand-writings	calligraphy
The art of making maps and charts	cartography
The art of metal-working	metallurgy
The study of coins	numismatics
The art of measuring land	surveying
The science of colours	chromatics
The art of elegant speech or writing	rhetoric
The art of effective speaking or oral reading	elocution
The art of telling the future by the study of the stars	astrology
The study of mankind	anthropology
The science which deals with the varieties of the human race	ethnology
The science which deals with the way in which the human body works	physiology
The scientific study of industrial arts	technology
The study of the human mind	psychology
The study of plants	botany
The natural history of animals	zoology
The study of rocks and soils	geology
The study of languages	philology
The study of the origin and history of words	etymology
The study of stars	astronomy

9.8.7 WORDS PERTAINING TO MEDICAL SCIENCE

A disease affecting many persons at the same place and time	epidemic
A disease widely epidemic	pandemic
A disease confined to a particular district or place	endemic
A disease affecting widely scattered group of people	sporadic
A substance which destroys or weakens germs	antiseptic

A substance used in surgery to produce unconsciousness	chloroform
Any medicine which produces insensibility	anesthetic
A medicine to counteract poison	antidote
An instrument used by physicians for listening to the action of the heart and lungs	stethoscope
Free or exempt from infection	immune
To place apart to prevent from infecting others	isolate
A medicine for producing sleep	narcotic, opiate
To cut off a part of a person's body which is infected	amputate
A cure of all diseases	panacea
One who is recovering from illness	convalescent
A vehicle for conveying sick or injured people to the hospital	ambulance
Want or poorness of blood	anemia
A substance to keep down evil smells	deodorant
To be able to tell the nature of a disease by its symptoms	diagnose
The science of diseases of the human body	pathology

9.9. CHECK YOUR PROGRESS II

Complete the following sentences using one word substitutes:

1. The shepherd has aof sheep that he has to look after and earn his livelihood. His younger brother deals inand has kept ducks and hens in his farmhouse.
2. The gardener collected a number of flowers and made awhich was to be presented to the Chief guest in the school function .
3. The grandson of my friend studies innear our house.

9.10. EXERCISES FOR PRACTICE

EXERCISE I

Answer the following questions :

1. religious discourse : a. lecture b. debate c. sermon

2. Which cannot be corrected : Ineligible b. incorrigible c. illogical
 3. That which cannot be believed : a) incredible b. credible c. strange 4.

One who is not easily pleased: a) selfish b. cynic c. fastidious

5. That which cannot be read:
 a. illogical b. unreadable c. illegible

EXERCISE 2

Complete the following sentences using suitable one words in the blank spaces.

1. My brother has great interest in the study of stars. I have asked him to get some books onhistory, astronomy, astrology, to gain more knowledge in this subject.
- ii. One day, our teacher told us that researchers are working to find some..... to the deadly poison that kills human beings.
- iii. I advised my friend to use someto keep foul smell away.
- iv. My father told me that different problems have different solutions there is nothing which can solve all our problems. It is same with diseases. People wish to have somewhich can cure all the diseases.
- v. Sid had to face a criminal case as he married again without gettingfrom his wife.

EXERCISE 3

Match the words with their meanings given below :

Words: agenda , diary , autobiography, ledger, copyright, tragedy, bi-linguist, spendthrift, handy, memorize, amnesia,

- i. A book in which the events of each day are recorded.
- ii. A record of one's life written by himself.....
- iii. A book of accounts showing debits and credits.
- iv. A list of the headings of the business to be transacted at a meeting.
- v. The exclusive right of an author or his heirs to publish or sell copies of his writings.
- vi. A play with a sad or tragic end.
- vii. Fluent in two languages .
- viii. Wasteful in spending
- ix. To learn by heart.
- x. Loss of memory.

EXERCISE 4

Choose the one which can be substituted for the given group of words/ sentence :

1. My brother is interested in the study of ancient societies. This study is called:

- a) History
- b) Archaeology
- c) Anthropology
- d) Etymology

2. In ancient times women in societies could marry more than one husband as these societies practiced:

- a) Polygyny
- b) Polyandry
- c) Polygamy
- d) Polytrophy

3. He does not write clearly consequently whatever he writes. I told him that his handwriting was.

- a) Illegible
- b) Legible
- c) Negligible
- d) Corrigible

4. You will not be able to see through this sheet as it is:

- a) Brittle
- b) Opaque

- c) Ductile
- d) Transparent

5. The executive puts the laws into practice which are made by the :

- a) Judiciary
- b) Legislature
- c) Executive
- d) Court

6. A Government in which the people of the highest social class have special titles

- a) Democracy
- b) Dictatorship
- c) Aristocracy
- d) Autocracy

7. Things which cannot be believed

- a) Incredible
- b) Insatiable
- c) invincible
- d) Vulnerable

8. One which cannot be seen

- a) Visible
- b) Unseen
- c) Invisible
- d) Dark

9. Person who speaks many language

- a) Bilingual

b) Multilingual

c) Linguist

d) Grammarian

10. A person who sacrifices his life for a cause

a) Soldier

b) Saint

c) Martyr

d) Patriot

11. A geometrical figure with eight sides

a) Triangle

b) Pentagon

c) Hexagon

d) Octagon

12. An instrument to measure temperature

a) Thermometer

b) Barometer

c) Nanoometer

d) Speedometer

13. Something easily broken

a) Fertile

b) Slim

c) Fragile

d) Light

14. A place for clothes

- a) Hard robe
- b) Wardrobe
- c) Box
- d) Garment

15. Life history of a person written by that person

- a) Story
- b) Biography
- c) Autobiography
- d) History

16. Fear of confined places

- a) Claustrophobia
- b) Pack-phobia
- c) Alto-phobia
- d) Acrophobia

17. A nursery where children are cared for while their parents are at work

- a) Home
- b) Crèche
- c) School
- d) Kindergarten

18. A person employed to drive a private or hired car

- a) Pilot
- b) Courier
- c) Chauffeur
- d) Owner

19. A book that contains information on various subjects

- a) Dictionary
- b) Novel
- c) Thesaurus
- d) Encyclopedia

20. A place where dead bodies are kept for identification

- a) Hospital
- b) Morgue
- c) Cemetery
- d) Graveyard

21. A woman whose spouse is dead

- a) Divorced
- b) Married
- c) Widow
- d) Widower

22. A person who does not eat meat

- a) Herbivore
- b) Vegetarian
- c) Non-vegetarian
- d) Cannibal

23. The act of intentionally killing oneself

- a) Homicide
- b) Matricide
- c) Patricide

d) Suicide

24. A person who travels on foot

a) Traveler

b) Pilgrim

c) Pedestrian

d) Runner

25. A home for children without parents

a) Homage

b) Orphanage

c) Residence

d) Crèche

26. One who collects stamps :

a) Collector

b) Philatelist

c) Dualist

d) Satirist

27. One who does not take any alcoholic drink:

a) Vegetarian

b) Forestaller

c) Teetotaller

d) Drunkard

28 Something that can be carried easily

a) Heavy

b) Cartable

- c) Potable
- d) Portable

9.11 SUMMING UP:

- * Antonyms and one word substitutions are significant in building vocabulary.
- * Antonyms can be remembered, and used in sentences to make them a part of our learning.
- * One word substitutes form another way of developing vocabulary.
- * The use of one word substitutes makes language effective, precise and simple.
- * Practicing the use of these items of language is essential for developing a rich vocabulary.

9.12. SUGGESTED READINGS :

- * Urdang , Laurence. A Basic Dictionary of Synonyms and Antonyms, Orient Paperbacks: Delhi, Bombay, 1982
- * Students can take help of internet sources for a vast variety of one word substitutes

9.13 QUESTIONS FOR PRACTICE

9.13.1 LONG ANSWER QUESTIONS

- i. Write a note on the role of Antonyms in vocabulary building.
- ii. Give the antonyms of the following words and use them in sentences of your own:
Good, Beautiful, First, Lawful, Surplus
- iii. Give one-word substitution of the following and use them in sentence of your own:
 - a. A record of one's life written by himself
 - b. A book of accounts showing debits and credits.
 - c. One who collects stamps

- d A book that contains information on various subjects
- e. A person who sacrifices his life for a cause

9.13.2 SHORT ANSWER QUESTIONS

- i. What do you understand by antonyms?
- ii. What is one-word substitution?
- iii. Give at least two advantages of one word substitution.

CHECK YOUR PROGRESS ANSWERS

CHECK YOUR PROGRESS I

- A. i. autobiography, ii . biography .iii. catalogue iv. omnipotent
- B. i. Illiterate ii. pessimist iii. invisible iv. post-mortem

CHECK YOUR PROGRESS II

- 1. flock, poultry,
- 2. Kindergarten

BACHELOR OF LIBERAL ARTS
SEMESTER-IV
COURSE: ENGLISH COMPULSORY-II

UNIT 10: VOCABULARY DEVELOPMENT-II: IDIOMS AND PROVERBS

STRUCTURE

10.0. Objectives

10.1. Introduction

10.2. Idioms and proverbs

10.3. Check your progress: I

10.4 A list of important idioms

10.4.1. Commonly used idioms with their meanings

10.5. Check your progress II

10.6. Exercises for practice

10.7. Some important proverbs used in sentences

10.8. Check your progress: III

10.9. List of proverbs with their meanings

10.10. Check your progress IV

10.11. Exercises for practice

10.12. Summing up

10.13. Suggested readings

10.14. Questions for practice

10.14.1. Long answer questions

10.14. 2.Short answer questions

10.0. OBJECTIVES:

The main objective of this unit is to familiarize the students with idiomatic expressions in English with a view to enriching their vocabulary. The study aims to show the way these expressions can be used in different situations effectively.

10.1. INTRODUCTION

Idioms and proverbs form useful elements in building and improving our vocabulary. The study of idioms and proverbs in this unit is directed to add to the store house of words at the

disposal of the learners. It will show how you can use new and different ways to express your ideas in a better and attractive way.

We have given a number of idioms and used them in sentences. It will help you in learning the use of idioms in sentences. After this , we have given a number of idioms with their meanings and the job of using them in sentences has been left for you. It will provide you an opportunity to learn the use of idioms in practice. This kind of practical study is expected to make these idioms a part of your vocabulary. In the next part , the study of proverbs has been done following the same pattern. Some graded exercises have also been given for practice.

You can mark your progress in learning by attempting the exercises exclusively given for this purpose, and then match your answers with the ones given at the end of the unit.

10.2. IDIOMS AND PROVERBS

Expressions peculiar to a language are known as idioms. They are largely governed by usage, that is, by the way the people understand and use them. Their meaning is not related to the literal sense of the words used in them. The meaning of idiomatic expression is metaphorical. For example, when we use the idiom, to let the cat out of the bag, we do not mean taking a cat out of the bag, In fact, this expression means ‘to reveal a secret’. The literal meaning of the words cat, and bag have nothing to do with this.

Such expressions get established in a language because of their constant use and people’s understanding of their metaphorical meaning.

Proverbs are another form of expressions that carry greater meaning than the meaning of the words put together or their dictionary meaning. Proverbs are used to state some general truth or a piece of advice and wisdom in a concise and well framed structure.

It is a bit difficult to understand the Idiomatic expressions in English for the students learning English as a second language. We have listed some commonly used idioms and proverbs to help you in understanding their meaning and usage. Once you have familiarized yourself with them, you will be able to use them. It will enrich your vocabulary and make your skill in using English effective.

10.3. CHECK YOUR PROGRESS: I

i. Choose the correct answer:

a) The words used in an idiom convey literal meaning: (True \False)

ii. The idioms in a language get established as: a) people do not understand their meaning easily

b) They are complex and difficult to use c) they are regularly used by the speakers of a language

iii. There is no difference between idioms and proverbs : (True \False)

iv. Idioms and proverbs become a part of our vocabulary if we: a) do not use them in spoken language b) practice them in conversation as well as in our writing. c) understand the difference between an idiom and a proverb.

10.4. A LIST OF IMPORTANT IDIOMS

A cloud in one's brow (be in sorrow) : When I saw him he seemed to have a cloud in his brow.

A day off (a holiday) : We took a day off and went for a picnic.

A good deal of (much or sufficient) : He spent a good deal of money on clothes.

A great deal of (much in quantity or number) : He spent a great deal of money on clothes.

A lot of (much; enough) : He spent a lot of money on books .

A turning point (decisive moment or that brings about complete change) : His marriage proved a turning point in his life.

After one's heart (as per one's liking) : He wants to find a job after his own heart.

Amount to (add up to or be equal to) : All my efforts amounted to nothing.

An eye for an eye (revenge) : Civilized people do not believe in the theory of an eye for an eye.

An idle hour (free time) : It is sad that we don't have an idle hour to play and enjoy ourselves.

Ask after (inquire about) : Ravi came to ask after my health.

Ask for trouble (invite trouble) : To tease a lion is to ask for trouble..

At home (good at) : He is quite at home in Physics.

At the critical moment (at the decisive time) : His friends backed out at the critical moment.

Attached to (be bound to by love or affection) : Meera is deeply attached to her brother.

Be swept off one's feet (feel excited about) : When he heard the news of his success, he was swept off his feet.

Be taken ill (fall ill) : She was taken ill during the journey.

Be too much for (be intolerable) : The death of his friend was too much for him.

Bear in mind (remember) : We should always bear in mind our duties.

Become accustomed to (get used to) : They became accustomed to the new routine.

Belong to (be related to ; be part of) : My friend belongs to a noble family.

Blow out (extinguish) : Please blow the candle out.

Break down (collapse ; deteriorate) : His health broke down due to over work .

Break in (train) : My friend can easily break in a horse.

Break off (remove) : He broke off his two front teeth in an accident.

Break off (stop speaking) : She broke off in the middle of her speech.

Break out (appear or start suddenly) : A fire broke out in the evening.

Bring about (cause to happen. Science has brought about great changes.

Burst into groans (cry in pain) : When he was injured, he burst into groans.

By all means (by all methods) : You must reach there before Monday by all means.

By means of (through) : He succeeded by means of hard work.

Call off (cancel) : The workers have called off the strike.

Call out (summon) : Army was called out to control the situation.

Care for (bother about) : Rox does not care for his parents.

Carry out (follow ; obey) : They will carry out my orders.

Change hands (go from one person to another) : Money changes hands frequently.

Come into being (be born or take shape) : This company came into being in 1995.

Come to one's mind (occur) : A strange fear came to my mind.

Crowning effort (great attempt) : Indian cricket team made a crowning effort to win the trophy.

Cut a poor figure (give a bad impression or fail miserably) : I cut a poor figure in my interview.

Declining years (old age)He looked weak in his declining years.

Die down (subside; fade away) : The police came and the noise of the people died down.

Draw to a close(to end): The meeting drew to a close at 4 p.m.

Drop in (visit) : My cousin dropped in to meet me.

Embark on (start) : He embarked on a long journey.

Far and wide (over many areas) : He is known as a great hunter far and wide.

Find out (know, locate) : The police will find the thief out.

Fit into (get adjusted; suit) : Your views do not fit into my plans.

Fond of (have interest in) : I am fond of playing cricket.

For the sake of (for the purpose of) : He gave his life for the sake of his country.

Frown at (look with anger) : She frowned at her husband when he came late.

Get away with (escape) : You cannot always get away with your bad actions.

Get over (overcome) : They got over the problems easily.

Give up (abandon) : Julianne did not give up hope.

Give way (to break or collapse) : The old bridge gave way in the rain.

Go out of mind (forget) : His address has gone out of my mind.

Great deal of (lot of ; much) : His brother sent him a great deal of money.

Grind one's teeth (feel angry and helpless): You should do something instead of grinding your teeth in despair.

Hand in hand (side by side or together) : Life and death go hand in hand in the jungle .

Hard hearted (cruel) : People considered Syed Khan a hard hearted man.

Hard to believe (incredible): Your story is hard to believe.

Hold back (to suppress, or show unwillingness) : You should not hold back the truth.

In high spirits (in a happy mood; having much hope) : We were in high spirits after our victory.

In order to (with the purpose of): Marshal flatters his boss in order to get promotion.

In search of (looking for ; on the look out for) : Martin is in search of a good match for his brother.

Live up to (maintain the standard) : The students must live up to the college rules.

Look after (take care of): He looks after his old parents.

Look into (inquire) : The police is looking into the matter.

Look out for (search) : They are looking out for a good cook.

Look up (improve, go up) : The condition of the patient is looking up.

Make a living (earn a livelihood) : Wilson worked as an executioner to make a living.

Make easy money (earn quickly by dishonest means) : Many people take to crime to make easy money.

Make matters worse (spoil; worsen) : His absence has made the matters worse for him.

Make one's way (decide or determine one's progress) : One can make one's way only through hard work.

Make up one's mind (decide or resolve) : He has made up his mind to work hard and get good marks.

Occur to (come to mind) : It occurred to Hicks that he should run away.

Off the cuff (on the spot or without pre-planning) : He spoke off the cuff yet everyone was impressed.

On account of (because of ; due to) : All the offices were closed on account of elections.

On the verge of (on the point of) : My uncle is on the verge of retirement.

On this side of the grave (till death): I do not forgive my enemies on this side of the grave.

Pounce on (jump at) : The cat pounced on the rat.

Prime of life (youth) : John Keats died in the prime of his life.:

Redeem the pledge (fulfill the promise): We must work hard to redeem our pledge.

Rejoice in (feel happy) : We rejoice in the success of our friends.

Roll by (pass by) : Time rolled by but he did not come.

Run off with (steal and take away): The manager has run off with the bank money.

Run short of (lack) : During my stay at Shimla I ran short of money.

Patch up (compromise) : The two rival groups decided to patch up..

Second nature (strong habit) : Coming late has become his second nature.

Seething with anger (feeling extreme anger) : When I broke his toy he was seething with anger.

Take for granted (sure to happen) : You can always take my help for granted.

Take into confidence (have faith in someone) : Albert takes his friends into confidence in important matters.

Take notice of (pay attention to) : He took no notice of the people around him.

To account for (give explanation, justify): You have to account for your behaviour.

To be lost in (fully absorbed) : He did not notice us as he was lost in his work.

To break into (enter forcibly) : A thief broke into my room.

To come to a head (to reach the climax) : The differences between the two brothers came to a head..

To get used to (get addicted to) : He got used to the hard life of jungle.

To go blank (to forget) : On seeing the question paper , he went blank.

To go off (explode) : The gun went off accidentally.

To hatch a plot (to plan a conspiracy): They hatched a plot to kill the king .

To have no room (have no scope) : There is no room for doubt in this matter.

Toy with (think about) : He toyed with the idea of going abroad.

10.4.1COMMONLY USED IDIOMS WITH THEIR MEANINGS

Drag one's feet: Take much time to do something or take a decision .

Turn the house upside down: Search for something everywhere.

Spill the beans : Reveal a secret

Put your best foot forward : To leave a good impression or show one's best.

Tongue-tied: Unable to say something.

Ahead of time: To be much advanced in thoughts or actions.

Beat around the bush : Avoiding the main issue or talking in a roundabout way.

Black sheep: An undesirable member of a group.

A Bookworm: One who reads a lot.

Bread-winner: The only or the main earner for the family.

Crack of dawn: Early morning

Days are numbered: About to end or die soon.

Dead wood: Someone or something no longer useful.

At the eleventh hour: At the very last moment or just in time. .

Explore all avenues: Trying to find all possible chances and opportunities.

Eye-catching : Something attractive

Golden opportunity: A very good chance or opportunity

Hard time : Difficult times or the time full of hardships.

Hit the panic button: React in panic.

Hour of need: The time of great need.

In due course: In its normal time.

In the long run: Over a period of time

In the nick of time: Just before it is too late

Kill time: Do something unimportant whilst waiting

A Landslide Victory: Great or impressive victory

Living beyond your means: Spending more than one can afford

Living in an ivory tower : Living unaware of or untouched by problems of life

On the brain: Thinking constantly

On the rocks: Having problems

On time : At the expected time

Once in a blue moon Happens very rarely or once in a lifetime

Once upon a time : Long ago

Only time will tell: The truth or consequences will appear in the future only.

Out of the blue: All of a sudden

Rat race: A tiring routine

Sit on the fence: Undecided and indecisive i.e. unable to take sides

Sour grapes; Pretend to dislike which one cannot get

Storm in a teacup: Exaggerate a problem

White elephant: Something costly and difficult to maintain

Whitewash: Cover up

Burn the midnight oil: To work late into the night

Hit the nail on the head: Take the exactly desired action

10.5. CHECK YOUR PROGRESS II

I. Give idioms for each of the following situations:

- i. A politician says that he will fulfill the promises made to the people
 - a. When he failed to get admission in this college he started talking about the drawbacks of studying in it.
 - b. My younger brother had a very good opportunity to go abroad but he missed it in ignorance.

- d. I told him that his neighbour was conspiring against him and his family.
- e. Instead of directly asking for help, my uncle kept talking about people who help their relatives.

10.6 EXERCISES FOR PRACTICE

EXERCISE

Mark the use of Idioms in the sentences given below: Use the idioms (given in the italicized words) in your own sentences.

1. Some rash politicians had *to eat their words* . (withdraw what they had said)
2. Your brother is *hand and glove* with my enemy. (on intimate terms)
3. The news of his death *spread like wild fire*. (spread quickly)
4. The bus stand is *within a stone's throw* of my home. (at a very short distance from)
5. Record his statement *in black and white*. (in writing)
6. All my plans have *ended in smoke*. (have come to nothing)
7. Don't trust him. He is a *wolf in sheep's clothing*. (a hypocrite)
8. Don't disturb me. My *hands are full*. (very busy)
9. He had a *narrow shave* from being run over by a car. (a narrow escape)
10. You cannot succeed even if you *move heaven and earth*. (make every possible effort)

10.7. SOME IMPORTANT PROVERBS USED IN SENTENCES

All that glitters is not gold

Meaning: Nothing can be taken at its face value. Or The things that look precious may not be so.

Example: The well-dressed man looked smart and educated, But we later found that he was illiterate. It made us realize that all that glitters is not gold.

Beggars can't be choosers

Meaning: Those who are dependent on others must be content with what they get.

Example: When Tinny wanted the station of his choice after his appointment in the firm, the Manager told him, that he will have to go to the other city. When he insisted, he was told that beggars cannot be choosers.

A bird in hand is worth two in the bush

Meaning: What you have is better than what you hope to get

Example. I told my friend to sell his old car at the offered price instead of waiting for something higher. After all, a bird in hand is worth two in the bush.

Actions speak louder than words

Meaning: What one does is more important than what one says.

Example: He never boasted of his skills in badminton but won the first prize in the tournament. It is rightly said that actions speak louder than words.

An apple a day keeps the doctor away

Meaning: Eating an apple daily keeps you healthy

Example: My mother advised me to eat fruit saying , ‘ An apple a day keeps the doctor away.

Better safe than sorry

Meaning: It is better to take precautions than to regret later

Example: Don’t ride your car without wearing a seat belt. It is better to be safe than sorry.

A stitch in time saves nine

Meaning: Problems must be attended to immediately than allowing them grow and create greater difficulties.

Example: Don’t ignore the mild fever and go to the doctor. A stitch in time saves nine.

As you sow, so shall you reap

Meaning: Your actions get deserved reward

Example: If you commit a crime , you will be punished. Everybody knows, as you sow, so shall you reap.

The grass is always greener on the other side

Meaning: The condition of other people appears better though it might not be true

Example: Seema said to Reema, “ I think I should also shift to your colony.” Reema replied, “You don’t know the difficulties we face. The grass is always greener on the other side.”

Better late than never

Meaning: Getting something late is better than never getting it

Example: We had been waiting for rise in our salary for three months. We had lost all hope. When we got it after a year we felt that it is better late than never.

When in Rome, do as the Romans do

Meaning: One has to follow the others in the society one lives.

Example: Sumit did not want to wear the dress obligatory for the religious function he was to attend. His mother advised him to wear that dress telling him that while in Rome, do as the Romans do.

Blood is thicker than water

Meaning: (Family relations are always stronger than other relationships)

Don't count your chickens before they hatch

Meaning: Don't make plans about the things that have not happened yet.

Don't judge a book by its cover

Meaning: We should not form opinion about others from appearances only.

Early bird catches the worm

Meaning: Early efforts get the best chances of success

Every cloud has a silver lining

Meaning: Always hope for the better.

Example: I got a much better job after losing my last one. Every cloud does have a silver lining.

A friend in need is a friend indeed

Meaning: A true friend is one who helps you when you need it

Example: My friend Roby looked after me while I was sick; a friend in need is a friend indeed.

Mind your own business

Meaning: To not interfere in someone else's matter

Example: Will you please mind your own business and stop telling me what to do?

Two wrongs don't make a right

Meaning: Someone's wrongful conduct is not a justification for acting in the same way

Example: You shouldn't hit him because he abused you, two wrongs don't make a right.

Look before you leap

Meaning: Act after considering the possible consequences

Example: It is always better to look before you leap.

Fortune favours the brave

Meaning: Courageous actions get rewarded

Example: Although fortune favours the brave, you should also consider the risks involved in this venture.

Out of sight, out of mind

Meaning: People or things that are no longer present are easily forgotten

Example: My tenant met me after ten years. He could not recollect my name. I said to him, "People rightly say. 'Out of sight, out of mind'"

To kill two birds with one stone

Meaning: Achieving two goals at once

Example: Using a cycle for exercise and transport is like killing two birds with one stone.

Great minds think alike

Meaning: Intelligent people have similar ideas

Example: both of us suggested similar solutions for this problem, indeed, great minds think alike.

Once bitten, twice shy

Meaning: One unpleasant experience leads to caution

Example: After his road accident, he became very cautious during crossing roads. Once bitten, twice shy.

Money doesn't grow on trees

Meaning: It requires effort to earn money

Example: Don't keep buying unnecessary things, money doesn't grow on trees.

The pen is mightier than the sword

meaning: Written words are more effective than brute force

Example: Great writers have always proved to the world that the pen is mightier than the sword.

Birds of a feather flock together

Meaning: People having similar thoughts and interests stick together

Example: Both of them are computer geeks, no wonder they are best friends. As they say, birds of a feather flock together.

10.8. CHECK YOUR PROGRESS: III

i. Match the idioms under A with their meanings under B.

A	B
a. Once Bitten Twice shy	: i. Working in hurry results in mistakes
b. Look before you leap	:ii Nothing can be taken at its face value.
c. All that glitters is not gold	:iii. Act after considering the possible consequences
d. Haste makes waste	iv. An unpleasant incident or experience makes one cautious

10.9.LIST OF PROVERBS WITH THEIR MEANINGS

* A bad man is better than a bad name.

Meaning: A bad reputation spreads very fast and reaches everywhere .

*A bad workman quarrels with his tools.

Meaning: Blaming tools for bad workmanship is an excuse for lack of skill.

*A bird in hand is worth two in the bush.

Meaning: It is better to keep what you have rather than to risk losing it by searching for something better

*A drowning man catches at a straw.

Meaning: Someone in a difficult situation, will be ready to take any type of help

*A hard nut to crack.

Meaning: A person difficult to understand

*A little knowledge is a dangerous thing.

Meaning: Inadequate knowledge can result in harm.

*A stitch in time saves nine.

Meaning: If you deal with a problem at an early stage you will save time and prevent it from getting worse..

*An empty vessel makes much noise.

Meaning: The least skilled boast much of their talent

* People who live in glass houses shouldn't throw stones on others.

Meaning: Do not criticize others for what you also do)

*. Laugh and the world will laugh with you.

Meaning: People like to share joys only)

*. Dig the well before you are thirsty.

Meaning: Anticipate problems and needs much before they actually happen)

*. It is better to travel ten thousand miles than to read ten thousand books.

Meaning: Practical knowledge is greater than the bookish knowledge

*All is well that ends well.

Meaning: A good ending or completion of work makes one forget the difficulties .

*Every potter praises his own pot

Meaning : Everybody has praise for his own work

* A drop in the ocean

Meaning : Insignificant contribution

*Cast in the same mould.

Meaning : To be like one's companions or friends

*Tomorrow never comes

Meaning: Postponing the work is not good

*Misfortunes seldom come alone

Meaning: Adverse situations often happen together

First deserve then desire.

Meaning : Only those who qualify for something have the right to get that

*A rolling stone gathers no moss

Meaning: A person who does not stick to one thing or work does not succeed

Who will bell the cat?: It is difficult to point out faults of someone powerful and dangerous

Or

Nobody wants to take the risk first

*No pains, no gains

Meaning: There is no success without hard work

*An idle brain is devil's workshop

Meaning: An idle person has destructive thoughts only

*Diamond cuts diamond.

Meaning: Only the like can defeat the like

*Make hay while the sun shines.

Meaning: Use the opportunity whenever you get one

*Coming events cast their shadows before

Meaning: Good or Bad happenings foreshadow their arrival

*Rome was not built in a day

Meaning: It requires time to achieve or make something great

10.10. CHECK YOUR PROGRESS IV

Answer the following:

i. Select the proverb that gives the meaning: Success can be achieved by working hard only.

a) Dig the well before you are thirsty b) No pains no gains c. A poor workman quarrels with his tools.

ii. If we are to say that people like to share joys only, which of these proverb will be appropriate:

a) Misfortunes seldom come alone b) Avarice is the root cause of all evils c) Laugh and the world will laugh with you.

iii. iv. Give the proverb which can be used to express that incomplete knowledge can result in failure and harm.

iv. The proverb , ‘ A rolling stone gathers no moss’, means : a) grass does not stick to stones

b) The one who does not stick to one thing cannot achieve success. c) diamond cuts diamond

10.11. EXERCISES FOR PRACTICE

EXERCISE

. Use the following Proverbs in sentences to make their meanings clear:

- i. Diamond cuts diamond
- ii. A stitch in time saves nine
- iii. As you sow, so shall you reap.
- iv. Make hay while the sun shines
- v. A friend in need is a friend in deed.

EXERCISE

. Use the following Idioms and Proverbs in sentences to make their meanings clear:

- i. Out of sight out of mind.
- ii. Rome was not built in a day
- iii. A bird in hand is worth two in the bush
- iv. Better late than never
- v. To call off
- vi. Break in
- vii. Toying with
- viii. To go blank
- ix. On the verge of
- x. Break out

10.12. SUMMING UP

- *Idioms and proverbs are an important and special feature of English language.
- * Their meanings are not limited to the literal sense of the words used in them.
- *There is a marked difference between idioms and proverbs.
- *These elements make the use of English language more effective and attractive.
- * In order to learn the use of idioms and proverbs, one has to frequently use them in sentences in different situations.
- *Idioms and proverbs play a decisive role in developing vocabulary.

10.13. SUGGESTED READINGS

- *Philips, Sam. *3000 Idioms and Phrases : English Improvement for Success*. Goodwill Publishing House: Delhi 2012

* Gupta, S C. Kumkum Gupta. The Wise World of English Proverbs Delhi: Arihant Publishers, 2012

10.14. QUESTIONS FOR PRACTICE

10.14.1. LONG ANSWER QUESTIONS

*Write a detailed note on idioms and proverbs. Also discuss the difference between idioms and proverbs.

*Use the following idioms and proverbs in sentences of your own so that their meanings become clear:

i. Look after ii. To eat one's words iii. To break into iv. To take for granted v. spread like wild fire. vi. All that glitters is not gold. vii. A burnt child dreads the fire.

10.14.2.SHORT ANSWER QUESTIONS

i. Explain the term idiom.

ii. What is a proverb?

iii. Bring out the difference between an idiom and a proverb.

iv. Discuss two advantages of idioms and proverbs.

CHECK YOUR PROGRESS EXERCISES

ANSWERS

CHECK YOUR PROGRESS I

i. False ii. c iii. False iv. b

CHECK YOUR PROGRESS II

i. Redeem the pledges ii. grapes are sour iii. golden opportunity iv. hatching a plot

CHECK YOUR PROGRESS III

a) iv. b) iii c) ii. d. i

CHECK YOUR PROGRESS IV

i. b ii. c iii. A little knowledge is a dangerous thing iv. b.



**The Motto of Our University
(SEWA)**

SKILL ENHANCEMENT

EMPLOYABILITY

WISDOM

ACCESSIBILITY

**JAGAT GURU NANAK DEV
PUNJAB STATE OPEN UNIVERSITY, PATIALA**

(Established by Act No. 19 of 2019 of the Legislature of State of Punjab)

BACHELOR OF ARTS (LIBERAL ARTS)

SKILL ENHANCEMENT COURSE

SEMESTER-IV

BLAB32407T

ENHANCING HAPPINESS AT WORKPLACE

Head Quarter: C/28, The Lower Mall, Patiala-147001

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PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

In keeping with the nature of an Open University, this University provides a flexible education system to suit every need. The time given to complete a programme is double the duration of a regular mode programme. Well-designed study material has been prepared in consultation with experts in their respective fields.

The University offers programmes which have been designed to provide relevant, skill-based and employability-enhancing education. The study material provided in this booklet is self-instructional, with self-assessment exercises, and recommendations for further readings. The syllabus has been divided in sections, and provided as units for simplification.

The University has a network of 10 Learner Support Centres/Study Centres, to enable students to make use of reading facilities, and for curriculum-based counselling and practicals. We, at the University, welcome you to be a part of this institution of knowledge.

Prof. Anita Gill
Dean Academic Affairs



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B.A(LIBERAL ARTS)
SKILL ENHANCEMENT COURSE

SEMESTER-IV
(BLAB32407T) ENHANCING HAPPINESS AT WORKPLACE
(SEC)

MAX MARKS:100

EXTERNAL:70

INTERNAL:30

PASS:35%

Credits: 4

Objective:

The objective of this course is to enable learners to evaluate their level of happiness and guide them to build healthy and co-operative workplace relationships.

INSTRUCTIONS FOR THE CANDIDATES:

Candidates are required to attempt any two questions each from the sections A, and B of the question paper, and any ten short answer questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

Section A

Unit 1: Life style factors: Importance of Diet, Sleep, Exercise, Meditation and yoga.

Unit2: Stress Management: strategies for preventing and relieving stress

Unit 3: Time management: techniques and styles.

Section B

Unit 4: Enhancing Emotional Intelligence, optimism, forgiveness, altruism.

Unit 5: Conflict resolution and negotiations, overcoming resistance to change.

Unit-6: Maintaining work life balance.

Suggested Readings:

- Linley & Joseph. (2010). Positive Psychology in Practice. New Jersey. John Wiley and sons. Inc.
- Michael Argyle. (2001). The psychology of Happiness. Routledge. Taylor and Francis.
- Karpinski, E. (2020). Put Happiness to Work: 7 Strategies to Elevate Engagement for Optimal Performance. New York: McGraw Hill Ltd.
- Goleman, D. (2000). Working with Emotional Intelligence. Bantam ltd.

- Nielsen, K. (2018). Organizational Interventions for Health and Well-being: A Handbook for Evidence-Based Practice 1st Edition. Routledge.
- Anand, R. (2018). Happiness at Work: Mindfulness, Analysis and Well-being. Sage Publications Ltd.



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BACHELOR OF ARTS (LIBERAL ARTS)

SKILL ENHANCEMENT COURSE

SEMESTER-IV

BLAB32407T: ENHANCING HAPPINESS AT WORKPLACE

COURSE COORDINATOR AND EDITOR: DR. GURLEEN AHLUWALIA

SECTION A

UNIT NO:	UNIT NAME
UNIT 1	LIFE STYLE FACTORS
UNIT 2	STRESS MANAGEMENT
UNIT 3	TIME MANAGEMENT

SECTION B

UNIT NO:	UNIT NAME
UNIT 4	ENHANCING EMOTIONAL INTELLIGENCE
UNIT 5	CONFLICT RESOLUTION AND NEGOTIATIONS
UNIT 6	MAINTAINING WORK LIFE BALANCE

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

SKILL ENHANCEMENT COURSE: ENHANCING HAPPINESS AT WORKPLACE

UNIT-1: LIFE STYLE FACTORS

STRUCTURE

- 1.0 Introduction to Lifestyle factors**
- 1.1 Objectives**
- 1.2 Lifestyle factors**
- 1.3 Happiness hormone ‘DOSE’**
- 1.4 Why focus on happiness**
- 1.5 Diet**
 - 1.5.1 Role of diet in happiness**
- 1.6 Exercise**
 - 1.6.1 Types of exercise**
 - 1.6.2 Role of exercise in happiness**
- 1.7 Yoga**
 - 1.7.1 Yoga for happiness**
- 1.8 Sleep**
 - 1.8.1 Role of sleep in happiness**
- 1.9 Meditation**
 - 1.9.1 How Meditation influences Happiness**
- 1.10 Conclusion**
- 1.11 Keywords**
- 1.12 Model Answers**
- 1.13 References**
- 1.14 Questions for Practice**

1.0 INTRODUCTION

Lifestyle is a way of actively mastering the living conditions of a person, implying compliance with the daily routine, hardening the body on the basis of active movement, sports, rational nutrition, compliance with hygienic food rules, achieving a communicative and ecological culture, abstaining from bad habits. Strengthening the health of the population is one of the most important tasks, risen to the level of state policy. All this requires knowledge of the main lifestyle factors affecting the health and happiness. To enhance this knowledge the current unit will help in explaining the role of lifestyle factors in happiness.

1.1 OBJECTIVES

- To help reader understand the concept of lifestyle factors.

- To study the relevance of diet, exercise, yoga and meditation in an individual's life.
- To explain the role of different lifestyle factors in happiness.

1.2 MEANING OF LIFESTYLE FACTORS

Lifestyle factors refer to the modifiable habits and adaptable behaviours that can greatly influence overall health and well-being of a person. These are the ways of life adopted by people, groups and nations and are formed in specific geographical, economic, political, cultural and religious text. The lifestyle of a person typically reflects an individual's attitudes, values, or beliefs. Therefore, a lifestyle is a means of forging a sense of self that resonates with personal identity.

The term 'lifestyle' was introduced by Alfred Adler an Austrian psychologist in his book, *The Case of Miss R.* (1929), where he defined it as "a person's basic character as established early in childhood". The broader sense of lifestyle as a "way of living" has been documented since 1961. Lifestyle constitutes both tangible and intangible factors. Tangible factors are an individual's demographic profile, whereas intangible factors concern the psychological makeup such as values, preferences, and outlooks.

Being healthy or unhealthy is the result of lifestyle choices. It is basically a conscious decision made by an individual that may increase or decrease wellbeing. Lifestyle choices that benefit overall health and wellbeing are positive like, physical activity, adequate sleep, balanced diet etc. while alcohol consumption, substance abuse are negative lifestyle choices as they deteriorate both health and happiness. Many of the negative consequences, such as poor health, low self-esteem, and poor wellbeing can be avoided by stopping a bad lifestyle choice today.

According to a report by WHO, 60% of factors related to health and quality of life are correlated to lifestyle. Many people follow unhealthy lifestyle, thus, they encounter illness, disability and even death. In the present scenario where technology has taken a lead in our life we have resorted to sedentary life style, junk food consumption and crash dieting. Consequently illnesses like diabetes, coronary heart diseases, hypertension, obesity etc have increased exponentially. Here it's important to mention that both physical and mental health are correlated and one leads to another like the saying goes — A sound body has a sound mind. There is ample research based on the principle that healthy choices like nutritious food, exercise and good sleep are the predictors of good mental and physical health. Lifestyle has significant influence on health and wellbeing of individuals.

1.3 HAPPINESS HORMONE DOSE

Few changes in the lifestyle can be a rewarding experience. It helps you feel more confident, enthusiastic, happy and joyful. The scientific reason behind this is the biochemical processes that promote the release of the happiness hormones named as dopamine, oxytocin, serotonin and endorphin (DOSE).

1. **Dopamine**- brain releases in just few minutes after the run, during sports activity, having good and healthy meal, quality sleep or after some yoga exercise. It not only contributes to happiness but it also enhances performance.
2. **Oxytocin**- It is generally known as the love hormone. It is associated with empathy, trust, sexual activity, relationship-building and child birth.
3. **Serotonin**- it is a natural mood stabilizer. It's the chemical that helps with eating, digesting and sleeping. It also regulates your mood by making a person feel: happier, calmer, more focused, less anxious, more emotionally stable. The practice of yoga, meditation, healthy eating, physical activities etc. balance the level of serotonin.
4. **Endorphin**- it is generally considered as a painkiller and but it also has anti stress properties. It interacts with the receptors in the brain and reduces the perception of pain. It also triggers a positive feeling in the body, similar to that of morphine.

1.4 WHY FOCUS ON HAPPINESS

There is hardly any person in the world who does not seek happiness in life. It is the pursuit of happiness that motivates every human being to indulge in action (karma). According to (WHO); India is facing a serious mental health crisis, with an estimate 56 million people suffering from depression and 38 million from anxiety disorders. Happiness is the state of mind.

The paradox is despite the economic progress of our country, India's position in the World Happiness Index is continuously declining. In the 'World Happiness index' India was ranked 117 in 2015, the 118 was ranked in 2016, 123 in 2017. In 2018, India was placed on 133 positions, but in 2019 its ranking went down to 140. India is continuously going down in the world happiness index. And surprisingly, this happens to the country who had given the message of '*Survey Bhavantu Sukhinah*' (may all be happy), to the whole world to be happy. But we are busy in the race to earn money at any cost to buy happiness from malls and online shopping, while it can be obtained absolutely free by making little changes in lifestyle. Some of the important aspects of lifestyle that influence happiness are diet, exercise, yoga, Sleep and meditation.

1.5 DIET

Diet is the sum total of food consumed by an individual or other organism. It implies the intake of nutrition for health reasons. Dietary choice could be healthy or unhealthy depending upon food preferences or ethical reasons. Complete nutrition requires absorption of vitamins, minerals, proteins and fatty acids. Nutrition rich diet is essential for better and healthy living. Dietary choices play a significant role in the health and wellbeing of a person.

1.5.1 Role of diet in happiness

Food is an undeniable necessity of life, thereby a precursor to the pursuit of happiness. Diet and happiness are highly correlated in physical, cognitive, and emotional ways. The experience of preparing and consuming food could be enjoyable, and the nutrition

derived from consuming food is necessary for well-being. In addition to this food preference provides an ample opportunity to connect with different cultures with a shared experience to facilitate socialization.

Diet and Happiness

You are what you eat!' That phrase has been around for so long. If you eat well, you are much more likely to have a healthy body and mind. If your plate is filled with plenty of colorful plants you are already at a better mood advantage. Research shows that the more fruits and vegetables people consume, the happier, less depressed, and more satisfied they are with their lives. Food intake is linked to happiness practices such as regular breakfast, consuming more meals and snacks, and eating more fruits and vegetables were all associated with greater well-being. On the other hand an unhealthy diet—high in trans fats, sugar and processed and refined foods—increases risk for depression, especially in children and teens because it deprives the brain of the nutrients it needs, and breeds bad bacteria in the gut, which impacts our mental and physical health.

Importance of diet in mood can be rightly remarked as in the future patients experiencing depression may not only be referred to a therapist, but a nutritionist as well. A common belief that high-fat, high-sugar, or high-caloric foods tastes better and make us happy clearly contrasts with the contention that healthy food choices such as fruits and vegetables consumption are associated with greater happiness and well-being.

Do you know what does IKIGAI mean?

IKIGAI : The Japanese secret to a long and happy life. It literally means —the happiness of always being busy. It explains the reason of extraordinary longevity on the island of Okinawa. The key reasons identified are: healthy diet, simple life in the outdoors, green tea and sub-tropical climate.

Healthy Eating

Healthy eating constitutes a diet rich in fruit and vegetables as it reduces the chance of contracting eating related diseases. Since good health adds to happiness, it is likely that healthy diets will also add to happiness. WHO (2018) describes components of a 'healthy diet' as involving: 1) A varied diet, 2) Diet rich in fruit and vegetables 3) Moderate amount of fats and oil and 4) less salt and sugar than usual.

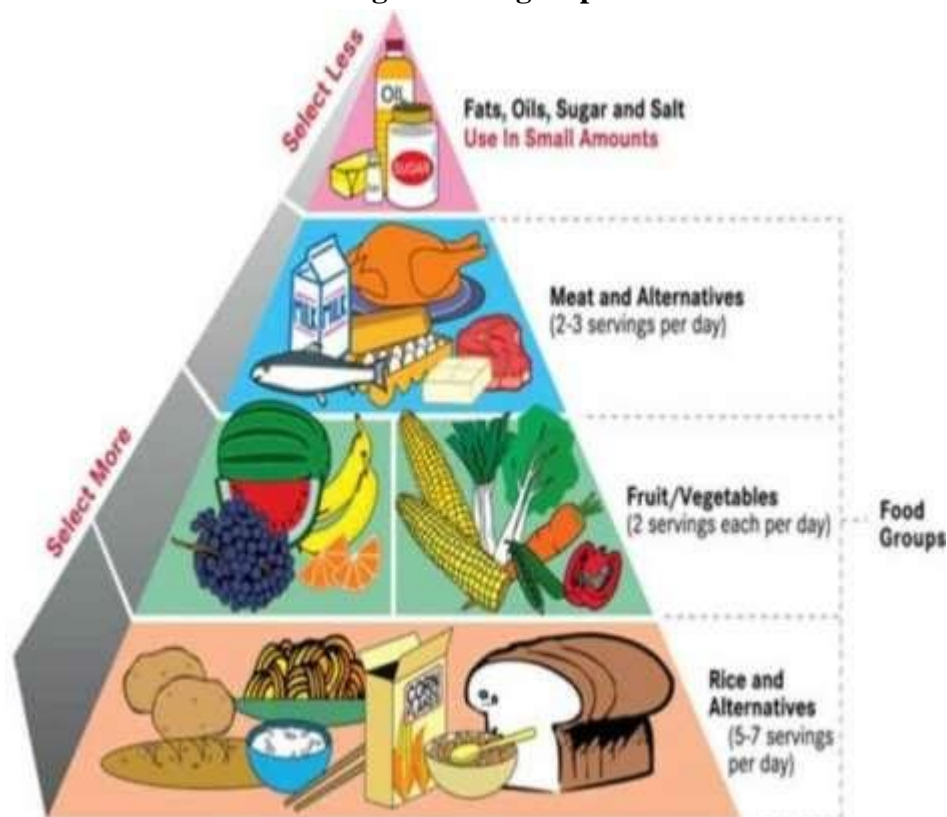
Somer, E. author of several books on the subject, including *Food & Mood* and *Eat Your Way to Happiness* confirmed what we're putting into our bodies has a profound impact on our emotions. Further, Dr. Laura Pawlak in her book *Hungry Brain*, stated that our brains have been hardwired to focus on 'pleasure-seeking circuitry' of dopamine-producing neurons activated by any sign of food (smell, sight, memory). She further revealed that humans are innately pleasure seekers and shows that **certain foods—such as sugar, salt, and fat—are potent natural reward-drivers**. This occurs as they trigger the release of 'pleasure'

neurotransmitters—such as dopamine—more than their healthy counterparts. However, the health benefits of eating a healthy diet are only realized in the long term and, thus, may not be as motivating for people, particularly children and adolescents, who are more impacted by immediate results. WHO (2017) in its initiative to promote healthy lifestyle at workplace suggested following points with respect to diet intake:-

- Promote consumption of a variety of foods and awareness regarding their serving sizes
- Encourage conscious calorie reduction
- Make available fresh vegetables and fruits in the cafeteria
- Make clean water the default drink in the workplace and at meetings, and discourage sugar-sweetened beverages
- Discourage consumption of foods high in salt, sugar and saturated and trans fats.
- **Balanced diet** - A balanced diet is one which provides all the nutrients in required amounts and proper proportions consisting of foods from several food groups. It can easily be achieved through a blend of the four basic food groups.

**Check your plate for the food groups as given in the figure. The figure represents which food items should be consumed more and which less. The items at the bottom should be consumed the most and items at the top should be consumed less.*

Fig. 1: Food groups



National Institute of Nutrition, Govt. Of India

1.6 EXERCISE

Exercise refers to any bodily activity that enhances or maintains overall health and wellness. It aids growth, prevents aging, improves strength and is recreational in nature. Millions of individuals choose to exercise outdoors where they can congregate in groups and socialize. Exercise also incorporates cultural variations. In some countries, people exercise primarily indoors, while in others people prefer exercising outdoors. The reason of physical activity whether it is for weight management, health benefits or recreational purposes attributed to a variety of reasons including geographic location and social tendencies. Globally, there is a huge shift nowadays by increased use of mechanized transportation, a greater prevalence of labor-saving technology in the home, resulting into less physically demanding work. Individual lifestyle changes, however, can correct the lack of physical workout. Physical exercise not only improves health and well-being, but also enhances community ties and appreciation of natural living.

1.6.1 Types of exercise

The amount of recommended exercise depends upon the goal, the type of exercise, and the age of the person. Even doing a small amount of exercise is healthier than doing none. Physical exercises are generally grouped into three types, depending on the overall effect they have on the human body.

Aerobic exercise- The term aerobic means *with oxygen*. It is any physical activity that causes body to utilize more oxygen than it would while resting. Amount of oxygen controlled by breathing help muscles burn fuel and move. Aerobic exercise includes running, brisk walking, skipping rope, dancing, playing tennis rowing and hiking etc.

Anaerobic exercise- it is any activity that breaks down glucose for energy without using oxygen. These are generally high intensity activities and are of short length. These exercises strengthen, and increase muscle mass, as well as improve bone density. Examples of anaerobic exercises are push-ups, pull-ups, squats, bench press weight training and sprinting.

Flexibility exercises- are the activities that improve the ability of a joint to maintain the movement necessary for carrying out daily tasks. Examples of flexibility activities are stretching, it keeps muscles limber. The major goal of flexibility exercise is to reduce the chance of injury.

Physical exercise can also be classified as dynamic or static. ‘Dynamic’ exercises tend to lower diastolic blood pressure. It includes steady running whereas, the static exercise (e.g. weight lifting causes systolic pressure to rise significantly).

1.6.2 Role of exercise in happiness

The effects of physical workout are numerous and involve a wide range of interrelated effects on brain structure, brain function, and cognition. An ample body of research has demonstrated that consistent physical activity has long term effects such as improved stress

coping, enhanced cognitive control of behavior and improved overall quality of life. Physical exercise induces short- and long-term effects on mood and emotional states by promoting positive mood, inhibiting negative affect, and decreasing the biological response to acute psychological stress. Over the short-term, aerobic exercises function as both antidepressant and euphoriant, whereas consistent exercises produce general improvements in mood and self-esteem. A number of medical reviews have indicated that exercise has a marked and persistent antidepressant effect in humans.

An extensive set of studies has shown that there is a positive association between physical activity and happiness in the wider population. It feels better post workout that even the ones who are not motivated to exercise, the promise of that positive feeling is enough to keep them ignited. Even small amounts of exercise could have an outsize effect on happiness. There are many ways in which exercise makes us happier. The major benefit of exercise is endorphin rush. Endorphins are the hormones that are produced by the central nervous system and the pituitary gland. These hormones primarily work to inhibit the transmission of pain signals, but they evoke a feeling of euphoria. That is why intense workout makes us feel happier instantly, and the effects last for a good amount of time.

Exercise not only increases endorphin level in body but it also increases other brain chemicals such as dopamine, adrenaline and endocannabinoid. It not only releases endorphins but also helps to reduce the levels of cortisol and adrenaline in the body, both of these are identified as stress-causing chemicals. So simply by reducing these, the feeling of stress in the brain also reduces. Hence, exercise lowers the stress levels, reduces the feeling of loneliness, and even helps in relieving anxiety and depression. Another chemical that is shown to help relieve stress and boost happiness is myokine, which is created when muscles contract.

Exercise does a lot of things to the brain. For people who with rumination and worrying, even something as simple as walk can have an immediate profound effect that can give tremendous relief. Exercise alters brain chemistry in a way that makes it easier to connect with others. When you get your heart rate up, when you use your body, when you engage your muscles. You start to feel a true sense of connection with the people that you're moving with.

Physical workouts are great for mental health and happiness. Studies by US Department of Health have suggested that 30 to 60 minutes of exercise, 3 to 5 times per week will give immense mental health benefits. In terms of quantity, a Canadian study of walkers found that a single 30-minute daily exercise session had a bigger effect on mood than splitting this into three 10-minute sessions. A study by Rutgers University found a sweet spot when it comes to happiness and exercise. They found people feel happier after a moderate intensity strength training session than after higher or lower intensity sessions.

Ponder Over!!

Why Finland is the Happiest Country?

People in Finland are Physically Active.

Find other facts about Finland's Happiness Index

Self-Check Exercise 1

1. exercise includes running, brisk walking, skipping rope, dancing, playing tennis rowing and hiking etc.
2. Sum total of food consumed by an organism is.....
3. Endorphin is generally considered as
4. Meditation, yoga, exercise are examples oflifestyle.
5. Lifestyle includes both tangible and..... Factors.

1.7 YOGA

Yoga is basically a physical activity consisting largely of asanas (postures), based on an extremely subtle science, with the focus of bringing harmony between mind and body. It is both an art and science of healthy living. Practice of yoga is accompanied by the breathing exercises of pranayama, and usually ending with a period of relaxation or meditation. The term ‘Yoga’ has its origin in the Sanskrit word ‘Yuj’, meaning ‘to join’ or ‘to unite’. Therefore, as per the yogic scriptures it leads to the union of individual consciousness with that of the universal consciousness, indicating a perfect harmony between the mind and body. Thus the major goal of practicing yoga is Self-realization. It aids in overcoming sufferings of life and leads to the state of liberation or freedom in all walks of life. "restraint in every situation" (avoidance of excesses).

Bhobe S.(2004) suggested that Yoga is a science of Holistic living and not merely a set of Asanas and Pranayama. It is a psycho-physical and spiritual science which aims at the harmonious development of the human body, mind and soul. Yoga, is considered as an ‘immortal cultural outcome’ of Indus Saraswati Valley civilization – dated back to 2700 B.C. The practice of Yoga is believed to begin with the very dawn of civilization, in India the yogic system found its fullest expression. The science of yoga has its origin thousands of years ago. Agastya, the Saptarishi who travelled across the Indian subcontinent, crafted this culture around a core yogic way of life. Yoga caters to both material and spiritual upliftment of humanity.

On the basis of different Philosophies, Traditions, lineages different Traditional Schools of Yoga were established. However, the aim of all these schools is to fulfill the aim of yoga. Each school has its own principles. Some of these schools are Jnana-yoga, Bhakti-yoga, Karma-yoga, Dhyana-yoga, Patanjala-yoga, Kundalini-yoga, Hatha-yoga, Mantra-yoga, Laya-yoga, Raja-yoga, Jain-yoga, Bouddha-yoga etc. Yoga does not adhere to any particular religion, belief system or community. In the modern science it has been

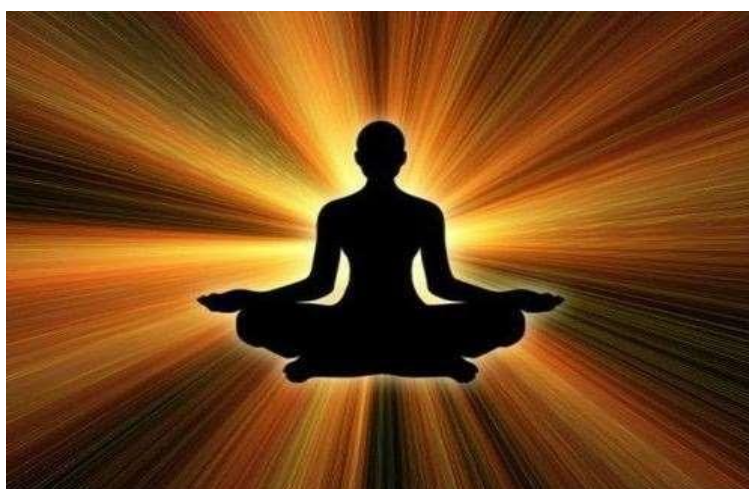
approached as a practice for inner wellbeing irrespective of one's faith, ethnicity or culture. The United Nations General Assembly declared 21 June as "International Day of Yoga", celebrated annually in India and across the globe. On 1 December 2016, UNESCO listed yoga as an intangible cultural heritage.

1.7.1 Yoga for Happiness (Types of Yoga)

Yoga is considered to be one of the most effective tools to overcome various physical and psychological problems. Nowadays, people have started considering yoga practice as part of their daily life for healthy living. Based on facts, it can be said that yoga is not only the path of enlightenment but also happiness. Several studies support yoga as a practice to reduce stress and anxiety and elevate mood. It has been found that prolonged yoga not only reduces stress but also reduce fear, anger, and fatigue. There are numerous yogic techniques which boost feel-good factor within minutes. Some of them are as below:-

1. **Taal Yog (Clapping)**- Our both hands have receptors that are connected to sensory fields in the brain. Clapping activates hands receptors which help to stimulates blood circulation.
2. **Suryanamaskar (Sun Salutation)**- In the traditional scriptures of yoga the sun was considered as supreme power. Thus in order to honour the soul and the source of life a dynamic asana sequence is performed. Consistent practice of this posture reduces the secretion of the stress hormone called cortisol.
3. **Veerasana (Warrior Pose)**- Be a warrior, not a worrier, this particular asan showed that holding open-body postures for two minutes decreases cortisol and increases testosterone, a confidence-boosting hormone.
4. **Pranayam (Breathing Exercise)**- During the breathing exercise you keep your mind in the present moment. The practice of 90 seconds of deep, diaphragmatic breathing, can stimulate parasympathetic nervous system, which cuts down the cortisol (stress hormone) and secrets oxytocin and endorphins (happy hormones).

Fig. 2: Pictorial Representation of Pranayam



1.8 SLEEP

Sleep is a natural biological process which recurs for several hours every night. During sleep the nervous system is relatively inactive, the eyes closed, the postural muscles relaxed, and consciousness is partially suspended. Sleep is an important part of daily routine, on an average an individual spend about one-third of his life sleeping. Getting quality sleep is as essential to survival as food and water. Without sleep it becomes harder to concentrate and respond quickly. Sleep is important to a number of brain functions, as the recent findings suggest that sleep removes the toxins in the brain that build up while being awake. Almost every tissue and system such as brain, heart, and lungs to metabolism, immune function, mood, and disease resistance in the body are affected by sleep. Lack of sleep or poor quality sleep increases the risk of disorders including high blood pressure, cardiovascular disease, diabetes, depression, and obesity.

Need for sleep and sleep pattern changes with age and amongst individuals. There is no magic -number of sleep hours. It is considered to be adequate, when there is no daytime sleepiness or dysfunction. Initially babies sleep for 16 to 18 hours per day, which reduces to 9- 10 hours in school-age children and teens on average need about 9.5 hours of sleep per night. Most adults need 7-9 hours of sleep a night, but after age 60, sleep tends to be shorter and interrupted by multiple awakenings. Sleep occurs between two distinct modes: REM and non-REM sleep. REM stands for "rapid eye movement", this mode of sleep has a well-known feature and i.e. dream.

1.8.1 Sleep and Happiness

Researchers have discovered a treatment that increases people's ability to concentrate, strengthen the immune system and decreases people's risk of stress. This treatment is free of cost and even enjoyable for many, it is sleep. Sleep deprivation dramatically impairs cognitive abilities and increases the level of stress hormones. Psychologist David Dinges, and colleagues in their experiments found that that people who get fewer than eight hours of sleep per night show pronounced memory impairments, a reduced ability to make decisions and dramatic lapses in attention. Sleep deprivation increases the risk of several health complications blood pressure, heart disease, stroke, diabetes, obesity and depression.

For optimum wellbeing, we need sleep. Sleep deprivation leads to the feeling of uneasiness and crankiness. An exhausted person is not a happy person. A recent research of the University of Binghamton revealed that participants who slept less were more likely to experience "repetitive negative thoughts" while completing set tasks. It was found true even for the participants who got "enough" sleep, but got it later at night, suggesting that not just the amount of sleep, but the timing of that sleep, is also critical. Researchers Kahneman D. and Alan B. in their research found that people who are well-rested rate their own levels of happiness on top. They suggested there is a direct correlation between sleep quality and overall happiness. In fact, they found sleep quality was the single most influential factor in rating daily mood, too. The above mentioned studies clearly depicts that enough sleep leads

to better health and greater happiness, so it's worth trying to get the proper amount of shut-eye.

1.9 MEDITATION

Meditation is a method in which the mind rests and attains a state of consciousness that is totally different from the normal waking state. It is the means of experiencing true connection within. It is not religious but a scientific technique. It is the process that follows a particular sequence, has definite set principles, and produces results that can be verified. In meditation the mind is being fully awake and alert focuses inwardly and cut down the connections with the external events taking place around. The main aim of meditation is to experience our essential nature including peace, happiness, and bliss. It is a system of commitment, not commandment. You are committing to yourself, to your path, and to the goal of knowing yourself. But at the same time, learning to be calm and still should not become a ceremony or religious ritual; it is a universal requirement of the human body.

Brown D.P. described meditation as a training in awareness, which when kept over for a long period, produces definite changes in perception, attention and cognition. Taking a few minutes to relax everyday has profound influence on happiness. While meditating people can think their ways to more happiness. Achieving a sense of underlying contentment and satisfaction is a connection to something innate within us, leading us to the reconnection with our mind's happy state. By practicing meditation we are creating the conditions necessary to experience a happy state of mind. Meditation helps in nurturing four essential ingredients of happiness and that are kindness, empathy, playfulness and inner balance. By integrating these elements into our lives, we can step away from negative internal dialogue and achieve happy state of mind. Meditation as a method of increasing well-being has been practiced for centuries. Research has found it effective for stress management, increasing internal locus of control, decreasing anxiety and increasing self-actualization.

The various definitions of meditation that are used across cultures are:-

- Walsh & Shapiro (2006): *–Meditation* refers to a family of self-regulation practices that focus on training attention and awareness in order to bring mental processes under greater voluntary control and thereby foster general mental well-being and development and/or specific capacities such as calm, clarity, and concentration"
- Cahn & Polich (2006): "*Meditation* is used to describe practices that self-regulate the body and mind, thereby affecting mental events by engaging a specific attentional set regulation of attention is the central commonality across the many divergent methods"
- Goleman (1988): "the need for the meditator to retrain his attention, whether through concentration or mindfulness, is the single invariant ingredient in every meditation system"

1.9.1 How meditation influences happiness

- Meditation helps in getting rid of those thoughts that keep you away from drifting off at night. It promotes deeper, more refreshing sleep as result makes us feel energized and happy.
- It is evident from the studies that meditation can improve memory. This is particularly important in our digital world, where our attention spans are getting shorter and shorter.
- Meditation can help in energizing the creative parts of the brain. Studies have shown that meditation can enhance the ability to come up with creative ideas.
- Meditation plays a key role in reducing anxiety levels. It rewires the brain in a manner that neural pathways responsible for fear and anxious thoughts are weakened.
- One of the most amazing benefits of meditation is kindness. People who are consistent meditator are more empathetic and compassionate towards other people.
- Meditation helps in improving physical as well as mental health. Healthier body is the happier body.
- It increases feel good chemicals like endorphins and serotonin and reduces the propensity towards negativity.

From the above discussion it is clear that the prescription for the happiness and joyful life is meditation.

Self-Check Exercise 2	
1. What is DOSE?
2. Define the role of Meditation in Happiness.
3. How healthy eating influence happiness?

1.10 LET US SUM UP

This chapter discusses on the relationship between lifestyle factors and health outcomes, and also highlights the use of effective interventions in improving health outcomes

The scientific reason behind few changes in the lifestyle is the biochemical processes that promote the release of the happiness hormones named as dopamine, oxytocin, serotonin and endorphin (DOSE). The relevance of various life style factors like healthy and balanced diet, levels of physical activity, exercises, yoga, adequate sleep, meditation and better nutrition helps in improving the holistic health. However, one of the greatest challenges in implementing lifestyle interventions can be ensuring that the interventions are enacted in an effective way in the areas of greatest need, which are often areas of deprivation.

1.11 KEYWORDS

- **Lifestyle Factors:** Lifestyle factors refer to the modifiable habits and adaptable behaviours that can greatly influence overall health and wellbeing of a person.
- **DOSE:** The biochemical processes that promote the release of the happiness hormones named as dopamine, oxytocin, serotonin and endorphin (DOSE).
- **Happiness:** Happiness has been defined as the appraisal, both affective and cognitive, of one's own life, consisting of general satisfaction with life, the presence of positive affects and the absence of negative ones.
- **Diet:** Diet is the sum total of food consumed by an individual or other organism. It implies the intake of nutrition for health reasons. Diet and happiness are highly correlated in physical, cognitive, and emotional ways. The experience of preparing and consuming food could be enjoyable, and the nutrition derived from consuming food is necessary for well-being
- **Exercise:** Exercise refers to any bodily activity that enhances or maintains overall health and wellness. It aids growth, prevent aging, improve strength and performed for enjoyment too.
- **Yoga:** Yoga is basically a physical activity consisting largely of asanas (postures), based on an extremely subtle science, with the focus of bringing harmony between mind and body. It is both an art and science of healthy living.
- **Sleep:** Sleep is a natural biological process which recurs for several hours every night. During sleep the nervous system is relatively inactive, the eyes closed, the postural muscles relaxed, and consciousness is partially suspended.
- **Meditation:** Meditation is a method in which the mind rests and attains a state of consciousness that is totally different from the normal waking state.

1.12 MODEL ANSWERS

- Self-Check exercise 1

1. Aerobic 2. Diet 3. Pain killer 4. Healthy 5. Intangible

- Self-Check exercise 2

1. The biochemical processes that promote the release of the happiness hormones named as dopamine, oxytocin, serotonin and endorphin (DOSE).

1. **Dopamine**- brain releases in just few minutes after the run, during sports activity, having good and health meal, quality sleep or after some yoga exercise. It not only contributes to happiness but it also enhances performance.
2. **Oxytocin**- It is generally known as the love hormone. It is associated with empathy, trust, sexual activity, relationship-building and child birth.
3. **Serotonin**- it is a natural mood stabilizer. It's the chemical that helps with eating, digesting and sleeping. It also regulates your mood by making a person feel: happier, calmer, more focused, less anxious, more emotionally stable. The practice of yoga, meditation, healthy eating, physical activities etc. balance the level of serotonin.
4. **Endorphin**- it is generally considered as a painkiller and but it also has anti stress properties. It interacts with the receptors in the brain and reduces the perception of pain. It also triggers a positive feeling in the body, similar to that of morphine.

2. How meditation influences happiness

- Meditation helps in getting rid of those thoughts that keep you away from drifting off at night. It promotes deeper, more refreshing sleep as result makes us feel energized and happy.
- It is evident from the studies that meditation can improve memory. This is particularly important in our digital world, where our attention spans are getting shorter and shorter.
- Meditation can help in energizing the creative parts of the brain. Studies have shown that meditation can enhance the ability to come up with creative ideas.
- Meditation plays a key role in reducing anxiety levels. It rewires the brain in a manner that neural pathways responsible for fear and anxious thoughts are weakened.
- One of the most amazing benefits of meditation is kindness. People who are consistent meditator are more empathetic and compassionate towards other people.
- Meditation helps in improving physical as well as mental health. Healthier body is the happier body.
- It increases feel good chemicals like endorphins and serotonin and reduces the propensity towards negativity.

From the above discussion it is clear that the prescription for the happiness and joyful life is meditation.

3. Food is an undeniable necessity of life, thereby a precursor to the pursuit of happiness. Diet and happiness are highly correlated in physical, cognitive, and emotional ways. The experience of preparing and consuming food could be enjoyable, and the nutrition derived from consuming food is necessary for well-being. In addition to this food preference provides

an ample opportunity to connect with different cultures with a shared experience to facilitate socialization.

You are what you eat!' That phrase has been around for so long. If you eat well, you are much more likely to have a healthy body and mind. If your plate is filled with plenty of colorful plants you are already at a better mood advantage. Research shows that the more fruits and vegetables people consume, the happier, less depressed, and more satisfied they are with their lives. Food intake is linked to happiness practices such as regular breakfast, consuming more meals and snacks, and eating more fruits and vegetables were all associated with greater well-being. On the other hand an unhealthy diet—high in trans fats, sugar and processed and refined foods—increases risk for depression, especially in children and teens because it deprives the brain of the nutrients it needs, and breeds bad bacteria in the gut, which impacts our mental and physical health.

Importance of diet in mood is rightly remarked by a researcher that in the future patients experiencing depression may not only be referenced to a therapist, but a nutritionist as well. A common belief that high-fat, high-sugar, or high-caloric foods tastes better and make us happy clearly contrasts with the contention that healthy food choices such as fruits and vegetables consumption are associated with greater happiness and well-being. When it comes to eating, people usually assume that chocolate is a better mood booster than an apple. According to this in-the-moment well-being perspective, consumers have to trade off the expected enjoyment of eating against the health costs of eating unhealthy foods. A wealth of research shows that people may believe that snacking on –unhealthy| foods like ice cream or chocolate provides greater pleasure and psychological benefits, the consumption of –unhealthy| foods might not actually be more psychologically beneficial than other foods.

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1.14 QUESTIONS FOR PRACTICE

1. Define the role of yoga in attaining happiness.
2. Discuss the role of yoga and healthy eating in happiness.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

SKILL ENHANCEMENT COURSE: ENHANCING HAPPINESS AT WORKPLACE

UNIT 2: STRESS MANAGEMENT

STRUCTURE

2.0 Introduction

2.1 Objectives

2.2 Nature of stress

2.2.1 Nature of the stressor

2.2.2 A person perception and tolerance of stress

2.3 Consequences of stress

2.4 Stress Management

2.5 Coping with stress

2.5.1 Emotion focused coping

2.5.2 Problem focused coping

2.6 Factors that affects coping

2.7 Preventing stress

2.7.1 Avoid

2.7.2 Alter

2.7.3 Accept

2.7.4 Adapt

2.8 Tips to reduce stress

2.9 Relaxation techniques to reduce stress

2.10 Let us sum up

2.11 Keywords

2.12 Model answers

2.13 References

2.14 Questions for Practice

2.0 INTRODUCTION

Stress seems to be as old as the mankind is. According to Wheeler C.M. stress is a word of physics, used to analyse the problem of how manmade structures must be designed to carry heavy loads and resist deformation. In physics the term –stress| refers to the amount of force used on an object. The usage of term changed with transition from physics to behavioural sciences. In psychology it can be defined as any change that causes physical, emotional, or psychological pressure. Stress is simply a response of body to anything that requires attention or action. Stress is a type of psychological pressure. Everyone experiences

stress to some degree. Small amounts of stress may be beneficial, as it plays a role in motivation. However, excessive stress increases the risk of strokes, heart attacks, ulcers, depression and hypertension.

This unit will highlight the role of stressors and subjective factors in dealing with stressful or adverse situations. The students will learn about the various coping mechanisms and techniques to prevent stress.

2.1 OBJECTIVES

- To help reader understand the meaning and nature of stress
- To explain consequences of stress
- To explain various coping strategies
- Strategies and tips to reduce stress

2.2 NATURE OF STRESS

The term stress was coined by Cannon (1932) and he believed it to underlie all medical problems. He termed the body's physiological response to stress as a flight-flight syndrome. In fight-flight syndrome, the epinephrine, cortisol and other hormones prepare the body to defend against stress by attacking or by running away from the stressful situation. He regarded this response as highly functional and adaptive in nature. Different physiological mechanisms that seem to play a role in stress are brain, nervous system and the endocrine system. When the sympathetic nervous system senses stress (Selye's alarm reaction) it triggers the release of adrenaline resulting into accelerated heart rate and respiration. Simultaneously, hypothalamus causes the pituitary to release adreocorticotrophic hormone (ACTH) which further triggers the release of Cortisol. Cortisol boosts the energy and helps the individual to deal with the stressful situation by flight or fight reaction but sustained elevated levels weaken the immune system.

Fig. 1: Depicting Fight or Flight Reaction



How we cope with tension and danger in our world is largely determined by our fight-or-flight reaction. When we are threatened, our bodies are primed to either fight or escape. Stress is considered to be subjective in nature as what may be stressful for one may not be for the other. Stress can be caused due to number of reasons such as financial difficulties, health issues, personal conflicts and work issues all carry force or pressure on a person's that deemed as stress. If the source of stress originates from the environment it is known as external stressor but most often it emanates from within a person's head in the form of worry, anxiousness, regret, discouragement and low confidence and self-esteem known as internal stressor.

Stress is usually experienced in terms of three components, that is, emotion (such as anxiety or fear), thought (such as pessimistic self-talk) and behavior (such as smoking). All situations, positive and negative, that require adjustment can be stressful. Thus, according to Hans Selye (1956), there are two kinds of stress---**Eustress** (refers to stress caused by positive situations such as marriage, promotion etc.) and **Distress** (refers to stress caused by negative situations such as death, divorce, loss of a job etc.). Though both eustress and distress tax an individual's coping skill and resources but distress has more potential to cause damage.

The severity of stress is assessed by the degree to which it disrupts functioning. Various factors that predispose a person to stress have been categorized below based on the nature of stressor, person's perception and tolerance of stress.

2.2.1 Nature of the stressor: the impact of stress on an individual depends on the nature of a stressor like its importance to the person, duration and number of stressors.

- Importance or intensity of a stressor to the person: stressors that involve important aspects of a person's life such as the death of a loved one, a divorce, a job, or a serious illness tend to be highly stressful for most people.
- Duration of the stressor: the longer a stressor operates, the more severe its effect is experienced. For example, chronic stressors like living with a frustrating job or an unhappy marriage are likely to have more adverse effect than an acute stressor like having a fight with a friend.
- Cumulative effect of stressors: the more the number of stressors one faces in succession the more the stress as, these stressors tend to have a cumulative effect. For example a person is going through heavy financial loss and his wife is diagnosed with cancer at the same time, the resulting stress will be more severe than if these events occurred separately or over a time gap.
- The nature of the circumstances: In difficult situations, especially those involving conflicts, the severity of stress usually increase as the need to deal with the demand approaches. For example, the anxiety of performing in an exam is likely to be higher in the hour just prior to the exam.

- **Degree of involvement:** The more closely an individual is involved in a traumatic situation, the more is the stress experienced by him or her.
- **Controllability:** the more control an individual thinks he or she can exert over the stressor the less is the stress experienced by him or her. That is why uncontrollable events like death of a loved one are likely to be more stressful.
- **Predictability:** Being able to predict the occurrence of a stressful event, even if the individual cannot control it, usually reduces the severity of the stress as it allows an individual to initiate some sort of preparatory process that acts to lessen the effect of a stressor. Also, with a predictable stressor, there is a safe period in which the individual can relax to some extent.
- **Challenging limits:** Situations despite being controllable and predictable can be experienced as stressful if they push one's limits and capabilities and challenge an individual's view of himself or herself. Similarly any change in life that requires numerous readjustments can be perceived as stressful.
- **Personality characteristics:** Researchers Friedman and Rosenman (1976) found that men with personality characteristics of intense drive, aggressiveness, ambition, competitiveness and the pressure for getting things done were two to three times more likely to have heart attack in middle age than men who were equally competent but more easygoing.

2.2.2 A person's perception and tolerance of stress

One person's stressor is another person's piece of cake. There are individual differences in reaction to the same stressor, this may be due to a person's perception of threat, level of stress tolerance and his personality traits.

- **Perception of threat:** if a situation is perceived as threatening and more likely to occur, whether or not the threat is real, it is likely to evoke significant stress. Also an individual who feels overwhelmed or feels that he or she will not be able to deal with the threat is more likely to experience negative consequences from the situation than a person who believes that he or she will be able to manage it. Understanding the nature of a stressful event, preparing for it, and knowing how long it will last lessen the severity of the stress. Perception of threat is determined by an individual's past experiences, conditioned responses, his personality and resources he has to deal with it.
- **Stress tolerance:** The term stress tolerance refers to a person's ability to withstand stress without becoming seriously impaired. The amount of stress one can handle without getting overwhelmed is what psychologists call as stress tolerance. Psychologist Robert Sapolsky has used the term *stress signature* to demonstrate the individual differences in sensitivity for stress. There are certain receptors in different areas of the brain for stress chemicals and the more receptors you have the less sensitive you are to stress. It has been found that individuals who have better tolerance can withstand the daily stressors and make better decisions in high pressure jobs.
- **Optimism-pessimism :** Optimists are people who see the glass as the half full and pessimist are those who see it as half empty. Research has shown that optimists (i.e.

people who have general expectancies for good outcomes) are likely to be more stress resistant than pessimists (i.e. people who have general expectation for poor outcomes). One reason behind this could be the difference in the stress coping strategies adopted by them.

- Hardiness is a term coined to demonstrate a personality characteristic having three constituent traits (commitment, challenge and control), and acts as a resistance to stress (Kobasa, 1979). Hardy people (i.e., relatively stress-resistant) seem to differ from others with respect to their high level of Commitment: tendency to see change as challenge (i.e. an opportunity for growth and development) and a stronger sense of control over events and outcomes in their life. Research finding indicates that persons high in hardiness tend to report better health than those low in hardiness even when they encounter major stressful life changes.

2.3 CONSEQUENCES OF STRESS

Stress at its optimum level can have adaptive and positive effects, for instance, it can increase one's tolerance for future stressors but continued exposure to severe stress can have more negative and damaging effect on one's physiological and psychological functioning, for instance, it can lower one's efficiency, cause depletion of adaptive resources, resulting in severe personality and physical deterioration. Prolonged and chronic stress may contribute to high blood pressure, diabetes, heart disease, obesity and many other psycho-somatic ailments.

Activity 1

How Stressful Are You?

Rate yourself on a scale of 1 to 10

1.....2.....3.....4.....5.....6.....7.....8.....9.....10

Least Stress

Highest Stress

Higher the number more is the stress

- i). Identify your any three internal stressors such as fear of failure, losing job or lack of confidence etc.
- ii). Identify your any three external stressors such as financial crisis, relationship difficulties or career choice etc.

2.4 STRESS MANAGEMENT

Avoiding stress is not an easy task but managing can be. Stress management can help in minimizing the harmful effects of stress, such as depression or hypertension.

At times you may feel helpless in cutting down your level of stress. The obligations aren't going to stop, there will never be more hours in the day for all your errands, and your responsibilities will always remain demanding. But there is a lot more you can control than you think. Realization the charge of control is in your hand is the foundation of stress management. Managing stress is all about taking charge of your perceptions, thoughts, environment, emotions and the way in which you respond or react to the situation. Stress management begins with the identification of stressor. It is difficult to identify stressor as sometimes the source of stress is not obvious, and also because of human tendency to overlook one's own stress-inducing thoughts, feelings, and behaviors. For e.g. you might be worried about work deadline, but it is necessary to review if it is due to your procrastination that leads to job stress rather than actual job demand. Your stress level will remain out of your control until you take responsibility for the part you played in generating or sustaining it.

2.5 COPING WITH STRESS

Generally speaking, increased levels of stress threaten a person's well-being and automatically an individual takes some action to do away with stress and its harmful effects. What action an individual takes often depends on a complex interplay between internal factors like a person's frame of references, motives, competencies, or stress tolerance and external factors like one's social demands and expectations.

Ironically, some people are seen to create stress for themselves by engaging in maladaptive behaviors and cognitions rather than coping with it. Some individuals get caught in the vicious cycle of generating life events that in turn produce adjustment problems.

Individuals tend to cope with stress at three levels---at the biological or the physiological level (through the use of immunological defenses and damage-repair mechanisms), the psychological or the interpersonal level (through the use of learned coping patterns, self-defenses, and support from family and friends) and at the socio-cultural level (through group resources, such as labor unions, religious organizations, and law-enforcement agencies). The failure of coping efforts in any of these levels may seriously increase a person's vulnerability on other levels and also to other stressors.

In order to effectively cope with stress, individuals are seen to engage in various coping strategies. Coping strategies refer to various cognitive, behavioral and emotional ways people engage in to manage stress. They are dynamic processes which neither eliminate a stressor nor prevent its re-occurrence but increase one's tolerance of the situations; all the coping strategies an individual engages in are not equally effective.

Lazarus has given two kinds of coping strategies---emotion coping strategies and problem focused coping strategies.

2.5.1 Emotion focused coping: This involves the use of cognitive & behavior strategies to manage one's emotional reaction to stress. Cognitive strategies include changing one's

appraisal of stressor and denying unpleasant information whereas, behavioral strategies include taking social support and alcohol or psychoactive drug. Emotion focused coping primarily aims at distracting attention from unpleasant situations, stress evoking events and problems. An individual tends to make use of them when nothing significantly can be done to alter the stressor or stress evoking situation. This type of coping is also adopted when he or she lacks the skills or resource to meet demands posed by the stressors. Three types of emotion focused coping strategies that are frequently used are:

- Escape avoidance coping is when the individual physically/psychologically separates himself or herself from the stressors. For instance, to avoid the fear of failing one may either not give the exam or may engage in excessive sleeping.
- Distancing refers to psychological detachment of oneself from the stressor. For instance, over-weight people may stop thinking about their weight.
- Position reappraisal is Reinterpreting the situation to turn the negative aspects of the situation or the stressor into its positive aspects. For example, one may look at the loss of job as an opportunity to get something better.

2.5.2 Problem focused coping involves directly dealing with the stressful situation by either reducing its demands, or by increasing one's capacity to deal with it. Some problem focused coping strategies that are frequently used are:

- **Proactive coping (preventive coping)** is to anticipate potential stressors and act in advance to either prevent their occurrence or to reduce its impact. To achieve this goal one may make use of several mechanism like, improving problem solving skills, develop stronger social support network etc. for example, the fear of losing a job can be overcome by learning new skills and increasing social networking.
- **Combating coping is used** to escape from stressors that cannot be avoided. It involves the active use of Relaxation techniques meditation and eating nutritious diet.

Research has shown that women in general and individuals from a low socio-economic status are more likely to use emotion focused strategies. On the other hand men in general and people from a high socioeconomic status, make use of problem focused strategies. One reason behind this could be that women are seen to react emotionally more to stress than men and past experiences may create feelings of helplessness and hopelessness in individuals from a low socio-economic status. In fact, in dealing with various stressors, both the above mentioned coping strategies are often used together.

Activity 2

- Identify your coping style.
- Write the coping styles you engage in to deal with internal and external stressors.
- Do you think you can manage stress by using appropriate coping style?

2.6 FACTORS CONTRIBUTING IN COPING

In addition to the various coping strategies, certain factors that can affect one's ability to cope with stress are as follows:

- Hardiness is seen to be associated with better coping. It is seen that individuals high on hardiness are more likely to make use of problem focuses coping strategies.
- Resilience means to stand in the face of adversity and to cope with stressors effectively. Some individuals are seen to be more resilient than others. For instance, it is seen that some children have the ability to develop into competent and well -adjusted adults despite being raised in extremely disadvantaged environment. Resilience may be the result of child's personality trait, life experiences and the available social support. Resilient children tend to have well developed social, academic and creative skills.
- Explanatory style is another relevant factor in coping, it can be of two types namely, positive explanatory style and a negative explanatory style. Individuals who adopt a positive explanatory style tend to attribute outcomes always to a positive event such as one's personality, hard work etc. Individuals who adopt a negative explanatory style tend to attribute outcomes predominantly to a negative event, they feel that they are always surrounded by failures. Pessimists have a negative explanatory style and are vulnerable to experience negative emotions like depression, anger, anxiety and hostility. They are also likely to have suppressed immune systems. However, in contrast to them optimists have a positive explanatory style and are more likely to experience positive emotions and are likely to increase one's social, physical and cognitive resources. They are also likely to have healthy attitudes and healthy habits.
- Self- regulation is the ability to modulate ones thoughts, actions and emotions in most of the situations. Individuals who are self -regulated have better inter personal relations, as they can control their negative emotions in a better way. However too much of self control is not healthy as it leads to suppression of anger and may make an individual vulnerable to develop ulcers later in life.
- Repression is a defense mechanism adopted by some individuals who tend to repress or block the awareness of negative stress evoking events out of consciousness. It is unhealthy and may result in pathology.
- Learned helplessness is a phenomenon, in which after experiencing a series of negative uncontrolled events, the individual comes to an understanding that he is helpless in the face of adverse circumstances and hence does not make effort to overcome his difficulties even if they have opportunity to do so. People with this trait usually find themselves in pitiable situation and indulge in negative self talk.

Fig. 2 Learned Helplessness



Source: quora.com

The above picture demonstrates that how one believes that he is unable to control or change the situation, hence he does not even try to — even when opportunities for change become available.

- Social support is the presence of adequate support of relatives or friends which acts as a buffer to stress. There are two hypotheses, namely buffering hypothesis and the direct effect hypothesis, which have been proposed to explain how social support reduces the negative effects of stress. According to the buffering hypotheses social support reduces stress by providing resources on the spot to cope with the stress effectively. People with good social support tend to ruminate less and this further minimizes the negative impact of the stressor on the individual. According to the direct effect hypotheses social support enhances the physical response to challenging situations. for examples, pressure of others may reduce sympathetic nervous system arousal and may decrease the release of Corticotrophin Release Hormone (CRH).

Individuals with better social skills tend to create stronger social network and are likely to receive more social support.

Self Check Exercise 1

1. The body's physiological response to stress is.....syndrome.
- 2the ability to modulate ones thoughts, actions and emotions.
3. Stress caused by positive situations such as marriage, promotion etc. is.....
4. Lazarus has given..... kinds of stress coping strategies.
5. Reinterpreting the situation to turn the negative aspects into its positive ones is

2.7 PREVENTING STRESS

Feeling of stress is like carrying a backpack that's becoming heavier by the minute. Stress can make our journey across life difficult. For coping with stress one need to restore the balance by reducing the intensity of stressors or increasing the ability to cope or both. Try using one of the four A's: avoid, alter, accept or adapt can help in preventing stress.

2.7.1 Avoid

Simply avoiding a stressor can reap the benefits of a lighter load. If a stressful situation needs to be addressed It is not healthy to avoid it, but there are number of stressors that you can eliminate by simply avoiding them. Few strategies that can be incorporated in avoiding stress are:-

- **Learn to say no-** Overburdened and under too much stress, you're more likely to feel run-down and possibly get sick. There is always a line between being foolish and being charitable. At a certain point when worthy requests isn't lessening saying no is the solution. It is not necessarily selfish turn. Saying no to new commitments is actually making you honour the existing obligations.
- **Taking control of surroundings-** If the news makes you feel anxious, take the control and turn off the TV. If traffic makes you tense, leave early for work or take a longer but less-traveled route. If going to the market is an unpleasant chore, online shopping can help.
- **Avoid people who bother you-** If a person is causing stress consistently in your life, put physical distance between the two of you. Limit the amount of time spent with such a person.
- **Ditch part of your to do list-** After analyzing your daily tasks and responsibilities label your to-do list with A's, B's and C's, according to importance. If you have got too much on your plate, scratch the C's from your list.

However, some problems can't be avoided. For those situations, try another technique.

2.7.2 Alter

If avoiding a stressful situation is not possible try to alter it.

- **Communicate your feelings rather than bottling them-** Remember to use –I statements in expressing your feelings such as "I feel stressed due to heavier workload. Is there something we can do to balance things out?"
- **Respectfully ask others to change their behavior-** And be willing to do the same. If small problems aren't resolved they often create larger ones. Be assertive in communicating concerns if something or someone is bothering you. For e.g. if you have an exam ahead but you got a chatty roommate say up front that you are preparing for exam in respectful manner. If you don't voice your feelings, resentment will build and the stress will increase.

- **Manage your time-** All work and no leisure is a recipe of burnout. Create a balanced schedule, combine the tasks that are similar in nature. The reward of increased efficiency will be extra time.

2.7.3 Accept

Sometimes there is no choice but to accept things, such as the death of a loved one, a serious illness, or a national recession. In such cases, the best way to cope with stress is to accept things as they are. For those times try to:

- **Share your feelings-** You may not be able to change a frustrating situation. In such case schedule a break with an understanding friend or visit a therapist. Expressing what you are going through is cathartic and helps in relieving stress.
- **Forgiveness-** we live in an imperfect world in which people make mistakes. It takes energy to be angry. Letting go of anger and resentment helps in relieving stress. Forgiving may take practice, but by doing so you will free yourself from burning more negative energy.
- **Make constructive self-talk a habit-** When you're tired, it's easy to lose your objectivity. One negative thought will lead to another, and you'll soon have a mental avalanche in your head. Maintain a good attitude by shifting thoughts. Rather than saying, ""I'm terrible with money and will never be able to manage my finances," try this: "I made a financial error, but I'm a hell of a fighter." I'm sure I'll be able to get through it."Don't try to control the uncontrollable.
- Many things in life are beyond our control, particularly the behavior of other people. Rather than stressing out over them, focus on the things you can control such as the way you choose to react to problems.

2.7.4 Adapt

If you can't change the stressor, change yourself. Thinking you can't cope is one of the greatest stressors. Changing expectations and attitudes is a way to adapt to stressful situations and regain. That is why adapting can be helpful in dealing with stress.

- **Adjust your standards-** Redefine your success and stop striving for perfection. Perfectionism is a major source of avoidable stress. Set reasonable standards for yourself and others and you may operate with a little less guilt and frustration.
- **Reframe the problem-** Try looking at your situation from a positive perspective. Instead of feeling frustrated about a traffic jam, look at it as an opportunity to pause, listen to your favourite music, or enjoy some alone time.
- **Adopt a mantra.** Create a saying such as, "I can handle this," and mentally repeat it in tough situations.
- **Create an assets column-** Imagine all the things that bring joy in your life, such as vacation, children, old neighbours and pets. Then call on that list when you're stressed. It will put serve as a reminder of life's joys.

- **Practice gratitude-** When you're feeling stressed, take a moment to think about all the things you're grateful for in your life, including your own good attributes and abilities. This straightforward approach will assist you in keeping things in perspective.
- **Look at the big picture.** Ask yourself, "Will this matter in a long run? Will it matter in a month a year or in five years?" The answer is often no. Realizing this makes a stressful situation seem less overwhelming.

The way you respond to stress, however, makes a big difference to your overall well-being.

2.8 TIPS TO REDUCE STRESS

- **Start a stress journal-** It is an easy way to identify stressor in daily life. Keep a record in your journal, each time you feel stressed. In your journal write about what is the cause behind your stress? How you felt about it? How you responded to the stressor to make yourself feel better? Stress journal will be helpful in identifying if you have healthy or unhealthy coping mechanism.
- Don't get so caught up in the hustle and bustle of life that you forget to take care of your own needs. Nurturing yourself is a necessity, not a luxury.
- Set aside relaxation time. Include rest and relaxation in your daily schedule. Don't allow other obligations to encroach. This is your time to take a break from all responsibilities and recharge your batteries.
- Connect with others. Spend time with positive people who enhance your life. A strong support system will buffer you from the negative effects of stress.
- Do something you enjoy every day. Make time for leisure activities that bring you joy, whether it be stargazing, playing the piano, or working on your bike.
- Keep your sense of humor. This includes the ability to laugh at yourself. The act of laughing helps your body fight stress in a number of ways.

2.9 RELAXATION TECHNIQUES TO REDUCE STRESS

You can control your stress levels with relaxation techniques that evoke the body's relaxation response, a state of restfulness that is the opposite of the stress response. Regularly practicing these techniques will build your physical and emotional resilience, heal your body, and boost your overall feelings of joy and equanimity.

- **Physical activity-** It plays an important role in reducing and preventing the effects of stress. Exercise regularly for at least 30 minutes daily, minimum of three times a week.
- **Diet-** Eat a healthy diet, be mindful of what to eat. Well-nourished bodies are better prepared to cope with stress. Do not skip the first meal of the day i.e. breakfast, and keep your energy level up with balanced, nutritious meals throughout the day.

- Reduce caffeine and sugar- Avoid excessive intake of the temporary "highs" such as caffeine that often end in with a crash in mood and make you sleepless. Adequate sleep fuels your mind, as well as your body.
- Consuming alcohol or drugs may provide an easy escape from stress, but the relief is only temporary. Don't avoid or mask the issue at hand; deal with problems head on and with a clear mind.

Activity 3

Try Jacobson's Progressive Muscle Relaxation (JPMR)

Three-step process Spruill (Speech specialist) recommends:

1. Close your hands tightly to feel the tension. Hold for 5 seconds, and slowly allow the fingers to release one by one until they're completely relaxed.
2. Press your lips tightly together and hold for 5 seconds, feeling the tension. Slowly release. The lips should be completely relaxed and barely touching after the release.
3. Finally, press your tongue against the roof of your mouth for 5 seconds, and notice the tension. Slowly relax the tongue until it's sitting on the floor of the mouth and your jaws are slightly unclenched.

Activity Source: healthline.com

Self Check Exercise 2

1. What are the different strategies of coping with stress?

.....

2. Write about stress relieving techniques.

.....

3. Define stress and write about it's nature.

.....

2.10 LET US SUM UP

Stress can be defined as any change that causes physical, emotional, or psychological pressure. Small amounts of stress may be beneficial, as it plays a role in motivation. However, excessive stress increases the risk of strokes, heart attacks, ulcers, depression and hypertension. There are individual differences in response to a stressful situation. Certain factors that predispose a person to stress are nature of stressor, person's perception and tolerance of stress. Stress can't be avoided but can be managed. Managing stress is all about

taking charge of your perceptions, thoughts, environment, emotions and the way in which you respond or react to the situation. You can control your stress levels with relaxation techniques that evoke the body's relaxation response, a state of restfulness that is the opposite of the stress response. Relaxation techniques like breathing exercise, walk, visual imagery and good sleep can make a person more adaptive and resilient.

2.11 KEYWORDS

Distress: refers to stress caused by negative situations such as death, divorce, loss of a job etc.).

Resilience: Resilience means to stand in the face of adversity and to cope with stressors effectively. Some individuals are seen to be more resilient than others. Resilience may be the result of child's personality trait, life experiences and the available social support. Resilient children tend to have well developed social, academic and creative skills.

Repression: It is a defense mechanism adopted by some individuals who tend to repress or block the awareness of negative stress evoking events out of consciousness. It is unhealthy and may result in pathology.

Stress tolerance: The term stress tolerance refers to a person's ability to withstand stress without becoming seriously impaired. The amount of stress one can handle without getting overwhelmed is what psychologists call as stress tolerance.

Escape avoidance: Escape avoidance coping is when the individual physically/psychologically separates himself or herself from the stressors. For instance, to avoid the fear of failing one may either not give the exam or may engage in excessive sleeping.

2.12 MODEL ANSWERS

Self check exercise 1

1. Flight- fight 2. Self regulation 3. Eustress 4. Two 5. Position
reappraisal

Self check exercise 2

In order to effectively cope with stress, individuals are seen to engage in various coping strategies. Coping strategies refer to various cognitive, behavioral and emotional ways people engage in to manage stress. They are dynamic processes which neither eliminate a stressor nor prevent its re-occurrence but increase one's tolerance of the situations, all the coping strategies an individual engages in are not equally effective.

Lazarus has given two kinds of coping strategies---emotion coping strategies and problem focused coping strategies.

Emotion focused coping : This involves the use of cognitive & behavior strategies to manage one's emotional reaction to stress. Cognitive strategies include changing one's appraisal of stressor and denying unpleasant information whereas, behavioral strategies include taking social support and alcohol or psychoactive drug. Emotion focused coping primarily aims at distracting attention from unpleasant situations, stress evoking events and problems. An individual tends to make use of them when nothing significantly can be done to alter the stressor or stress evoking situation. This type of coping is also adopted when he or she lacks the skills or resource to meet demands posed by the stressors. Three types of emotion focused coping strategies that are frequently used are :

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- Position reappraisal is Reinterpreting the situation to turn the negative aspects of the situation or the stressor into its positive aspects. For example, one may look at the loss of job as an opportunity to get something better.

Problem focused coping involves directly dealing with the stressful situation by either reducing its demands, or by increasing one's capacity to deal with it. Three types of problem focused coping strategies that are frequently used are :

- Proactive coping (preventive coping) is to anticipate potential stressors and act in advance to either prevent their occurrence or to reduce its impact. To achieve this goal one may make use of several mechanism like, improving problem solving skills, develop stronger social support network etc. for example, the fear of losing a job can be overcome by learning new skills and increasing social networking.
- Combating coping is used to escape from stressors that cannot be avoided. It involves the active use of Relaxation techniques meditation and eating nutritious diet.

Ans 2. Physical activity- It plays an important role in reducing and preventing the effects of stress. Exercise regularly for at least 30 minutes daily, minimum of three times a week.

- Diet- Eat a healthy diet, be mindful of what to eat. Well-nourished bodies are better prepared to cope with stress. Do not skip the first meal of the day i.e. breakfast, and keep your energy level up with balanced, nutritious meals throughout the day.
- Reduce caffeine and sugar- Avoid excessive intake of the temporary "highs" such as caffeine that often end in with a crash in mood and make you sleepless. Adequate sleep fuels your mind, as well as your body.

- Consuming alcohol or drugs may provide an easy escape from stress, but the relief is only temporary. Don't avoid or mask the issue at hand; deal with problems head on and with a clear mind.

Ans. 3 The term stress was coined by Cannon (1932) and he believed it to underlie all medical problems. He termed the body's physiological response to stress as a flight-fight syndrome. In fight-flight syndrome, the epinephrine, cortisol and other hormones prepare the body to defend against stress by attacking or by running away from the stressful situation. He regarded this response as highly functional and adaptive in nature. Different physiological mechanisms that seem to play a role in stress are brain; nervous system and the endocrine system. When the sympathetic nervous system senses stress (Selye's alarm reaction) it triggers the release of adrenaline resulting into accelerated heart rate and respiration. Simultaneously, hypothalamus causes the pituitary to release adrenocorticotrophic hormone (ACTH) which further triggers the release of Cortisol. Cortisol boosts the energy and helps the individual to deal with the stressful situation by flight or fight reaction but sustained elevated levels weaken the immune system.

Stress is usually experienced in terms of three components, that is, emotion (such as anxiety or fear), thought (such as pessimistic self-talk) and behavior (such as smoking). All situations, positive and negative, that require adjustment can be stressful. Thus, according to Hans Selye (1956), there are two kinds of stress---**Eustress** (refers to stress caused by positive situations such as marriage, promotion etc.) and **Distress** (refers to stress caused by negative situations such as death, divorce, loss of a job etc.). Though both eustress and distress tax an individual's coping skill and resources but distress has more potential to cause damage.

Stress is considered to be subjective in nature as what may be stressful for one may not be for the other. Stress can be caused due to number of reasons such as financial difficulties, health issues, personal conflicts and work issues all carry force or pressure on a person's that deemed as stress. If the source of stress originates from the environment it is known as external stressor but most often it emanates from within a person's head in the form of worry, anxiousness, regret, discouragement and low confidence and self-esteem known as internal stressor.

The severity of stress is assessed by the degree to which it disrupts functioning. Various factors that predispose a person to stress have been categorized below based on the nature of stressor, person's perception and tolerance of stress.

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2.14 QUESTIONS FOR PRACTICE

1. Write in detail the factors that affect the stress.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

SKILL ENHANCEMENT COURSE: ENHANCING HAPPINESS AT WORKPLACE

UNIT- 3 : TIME MANAGEMENT

STRUCTURE

3.0 Introduction

3.1 Objectives

3.2 Meaning of time management

3.2.1 Culture and Time Management

3.3 Benefits of time management

3.4 Time Management Techniques

3.5 Time management styles

3.5.1 Hopper

3.5.2 Hyper focus

3.5.3 Cliffhanger

3.5.4 Big Picture

3.5.5 Perfectionist

3.5.6 Impulsive

3.6 Tips to manage time better

3.7 Let us sum up

3.8 Keywords

3.9 Model Answers

3.10 References

3.11 Questions for Practice

3.0 INTRODUCTION

Managing your time lowers your stress level and boosts your self-confidence. Taking charge of your time will help you feel less stressed and anxious. Meeting tight deadlines and managing your time are examples of good time management. Managing your time prevents overwhelm and guarantees that you are not constantly tired. You will be more creative with

the time you have if you handle it well. Furthermore, stress reduction leads to a rise in productivity and makes you successful in both professional and personal front.

In this lesson we will study about what time management actually is? We will focus on the benefits of time management and introduce various styles to manage it effectively.

3.1 Objectives

After reading this chapter you will be able to

- define time management
- understand the importance of time management
- know the benefits of time management
- explain various styles of managing time

3.2 Time Management

The process of planning and controlling how much time to spend on particular tasks is known as time management. Good time management allows a person to do more in less time, reduces tension, and contributes to professional success. Time management means making optimal use of the available time to increase productivity. It is the process of organizing and planning tasks and exercising conscious control of the time spent on specific activities to work smarter than harder to get more done in less time. Being busy isn't the same as being productive, despite working the entire day, many people can't complete their daily tasks. Here comes in the role of time management strategies.

3.2.1 Culture and Time Management

Cultural differences influence time management. A linear time view (conceiving time as flowing from one moment to the other) is predominant in America along with most North-East European countries, such as Germany, Switzerland, and England. People in these cultures usually value productive time management and avoid decisions that would waste time later on. This cultural view leads to a better focus on accomplishing a singular task and hence, more productive time management.

Another time view is multi-active time view. Cultures that follow this trend believe that the more activities or tasks being done at once the better. People in this culture prefer to do multiple tasks at the same time. A multi-active time view is more popular in most Southern European countries such as Spain, Portugal, and Italy. In these cultures, people often tend to spend time on things deemed to be important. They often pay little attention on how long it takes to finish the task, rather focus is on having high quality results.

Another time view type is a cyclical time view. In cultures that follow cyclic time view time is not seen as wasted because it will always come back later, hence there is an unlimited amount of it. It is predominant throughout most countries in Asia, including Japan and

China. Most people in cyclical cultures spend more time thinking about decisions and the impact they will have, before acting on their plans.

3.3 Benefits of Time Management

“Time and Tide Wait for None”

Geoffrey Chaucer

This is the phrase everyone is familiar with since school days. The importance of time in life is well cited, but many of us fail to get most out of it. In order to use time in more productive way it is essential to understand how important it is. Before we learn different time management styles, let's take a look at following advantages of time management:-

1. Reduces Procrastination

“I will do it later” is an excuse that we all have made at some point of time. The meaning of time management is not just about doing more in less time but also to reduce the urge to procrastinate. Time management lets you **control** your time. It will help you in focusing at what you want to complete in given time frame. As a result it reduces procrastination.

2. Improves Work-Life Balance

Effective time management results in finishing work early which eventually means having more time for self, personal goals and interpersonal commitments. It also impacts work and productivity in a positive way — the happier you are, the more productive you become.

3. Prevents Burnout

Taking some time off work, boost up mental energy level and avoids the possibility of burnout. It also enables a person to focus better and enhance problem-solving capabilities.

4. Reduces Stress and Anxiety

Overwhelmed with too much on plate can create stress and make oneself feel anxious. This not only hampers productivity but also the overall health. Planning tasks and prioritizing schedule reduces stress.

5. Develops Sense of Responsibility

It is true that time and tide waits for none. Each of us has got twenty four hours a day. Realizing the importance of time develops a sense of responsibility to reap more benefits out of limited resources.

6. Never miss a deadline

There are n number of time bound tasks allocated to students or in work life. Effective time management helps you allocate a time period to a particular task and ensure that they are

completed on time. This helps to stay sharp on the deadlines, and manage workload in the best possible way. Time boxing tasks and goals allow you to deliver the assigned work on time.

7. More time freedom

Techniques for time management mean that you have more time to do the things that matter most to you. Good time management means that you spend your time on the most important things. As a result, you'll have more time in your hands. When you have more time in your hands, you will have more freedom to use it in the way you want. You'll have more time to spend with your family if you have more time independence.

8. Things have become much simpler and faster.

Things become quick and easy when you have good time management skills. You become more optimistic and competent when you take care of your time, and tasks become easier. You will feel clear and optimistic about how to use your time if you practice good time management. As a result, you devote your time and effort to achieving the outcomes and outcomes you desire.

9. Increased vitality

One of the most significant advantages of time management is increased energy and motivation. Working longer and harder will deplete your energy levels, leaving you exhausted all of the time. You can better handle your resources and efficiency levels if you have good time management skills. Greater energy is one of the most significant advantages of time management.

10. Punctual and disciplined

As a result of successful time management, one learns to function only when it is truly necessary. Individuals should prepare a -TASK PLAN| or a -TO DO| List at the start of the day to jot down tasks that need to be completed in a given day according to their value and urgency against the various time slots allocated to each activity. At work, a Task Plan provides individuals with a sense of direction. A person understands how his day will unfold and works accordingly, resulting in improved productivity.

3.4 Time Management Techniques

As we have discussed above the ample benefits of managing time, but still most people struggle at managing time. This can be due to lack of knowledge of how to do it. Following section will provide a brief information about various techniques of time management. These techniques will provide a way to use time management skills.

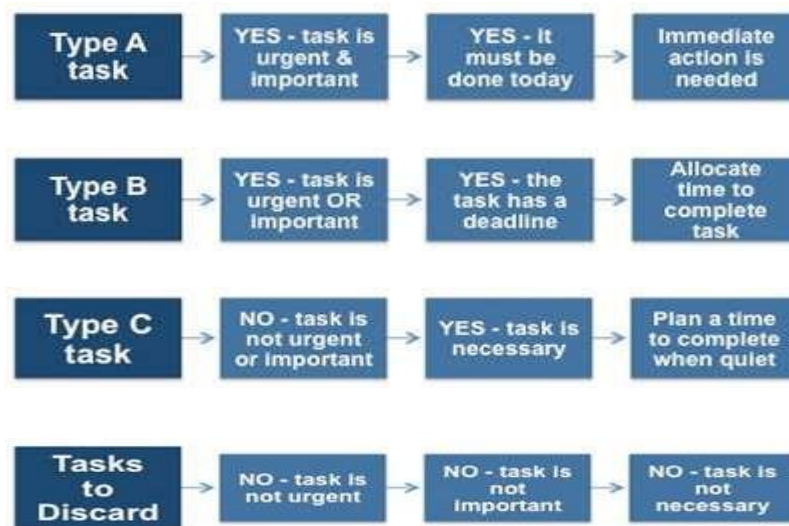
3.4.1 ABC analysis

This technique is used in business management. It involves categorization of large data into groups. Activities are ranked by :-

- A- tasks that are urgent and important (very important)
- B- tasks that are important but not urgent (important)
- C- tasks that are unimportant but urgent (less important)

The goal of this analysis is to focus more on important things by differentiating between very important, important and less important tasks. Discard the tasks from your workload that does not fit in any of the above mentioned lists.

Fig. 1 Pictorial representation of ABC analysis



Source: <http://www.free-management-ebooks.com/>

3.4.2 The Pareto Principle (The 80:20 Rule) in Time Management

According to the Pareto principle 80% of the work can be done in 20% of the time. For time management, Pareto principle means that only 20% of the tasks contribute to 80% of the total success. It is an effective method for setting priorities and developing plans for work. In order to apply the Pareto Principle, it is essential to assess strengths and weaknesses and recognize the factors that will help to reap success. Examples of Pareto Principle in meetings, 80% of the decisions are usually made in 20% of the time. In daily life we usually wear only 20% of the clothes we own.

3.4.3 Eisenhower Method

In Eisenhower principle the tasks are divided into important, unimportant, urgent and not urgent. After division the tasks are placed in quadrant matrix (given below) also known as ‘Eisenhower box’ or ‘Eisenhower Decision Matrix’. The quadrant is filled as follows:-

1st quadrant- important and urgent task (deadlines, crises etc.)

2nd quadrant- important but not urgent task (planning, preparation etc.)

3rd quadrant- not important but urgent (meetings, interruptions etc.)

4th quadrant- neither important nor urgent (pleasant activities, time wasters etc.)

Fig.1- The Eisenhower Decision Matrix



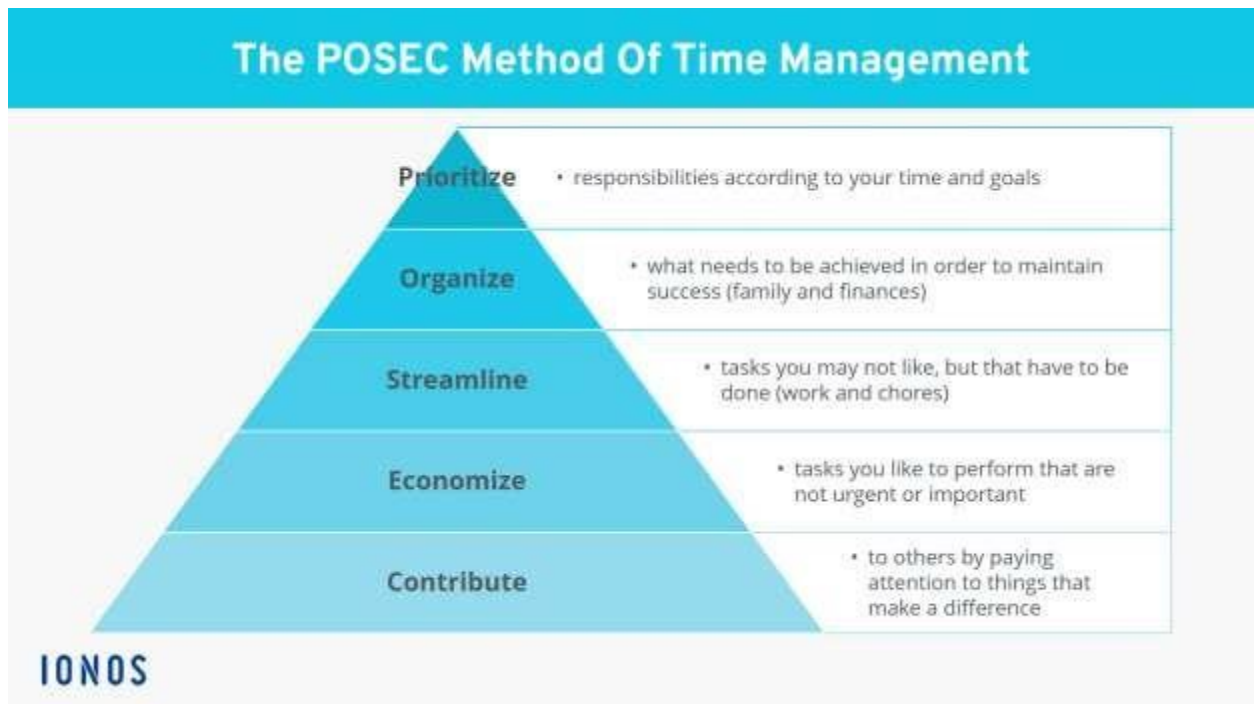
Source: luxafor.com

3.4.4 POSEC method

POSEC is an acronym to Prioritize, Organize, Streamline, Economize and Contribute. It is one of the popular methods of time management in personal life. It is a hierarchical model. Things that are more important are placed on the top while the least important at the base of the hierarchy.

- Prioritizing- first things first, defining life by goals
- Organizing- things that has be done regularly in order to succeed (finances, security etc.)
- Streamline- things you don't like to do but must do (work and chores)
- Economize- things that are not urgent but you should do (pastime, recreation etc.)
- Contribute- to remaining things that make a difference (social obligations etc.)

Fig. 2 POSEC Model



Source: Ionos.com

3.4.5 ALPEN Method

ALPEN is an acronym from German language.

- A (Aufgaben)- tasks to do
- L (Lange)- length of time
- P (Pufferzeiten)- plan buffer time
- E (Entscheidungen)- establish priorities
- N (Nachkontrolle)- notation

It helps in daily planning as follows:-

A: tasks list

L: time needed for each task

P: reserve at least 40% buffer time, plan only 60% of the work day

E: establish priorities (ABC analysis)

N: record results and accuracy of the plan

Activity 1

At the end of the day note down what distracted you from your goal. It could be anything a phone call, your thoughts, day dreaming, unwanted visitors etc. Do it for a week; identify your distracters and remove them.

Self-Check Exercise 1

Fill in the blanks

1. The most important task is categorized in..... list.
2. Theprinciple suggested the time division into 80- 20 ratio.
3. Theis the hierarchical model of time management.
4. The method that can be used to differentiate between important and less important tasks.....
5. The process of planning and controlling the time is known as.....

3.5 TIME MANAGEMENT STYLES

Equipped with different techniques to manage time, next comes the role of time.

Equipped with different techniques to manage time, next comes the role of time management styles. These are the distinctive features that characterize an individual's personal disposition of managing time.

Six common time management styles are:-

3.5.1. Hopper

This time management style is similar as feeling busy. Hoppers are people who tend to work on multiple tasks at once. They switch from one task to another before finishing. They are involved in many different things but isn't usually productive. As those different tasks start to pile up, it can become difficult to stay organized, meet deadlines, and follow through.

A. Advantages

People who follows hopper style of time management like to stay busy and can do several different things at the same time. It's easy for them to switch between tasks.

B. Disadvantages

Multitasking is not a very productive way of working, multi taskers often find it difficult to stay organized, complete specific tasks, and meet deadlines.

C. Tips to Increase Productivity

- Eliminate distractions while working.
- Focus working on only two or three tasks.

- Use the Pomodoro technique to work in short bursts.

Pomodoro technique is a time management technique developed by Francesco Cirillo in the late 1980s. It involves usage of timer to break down work into intervals, traditionally 25 minutes in length, separated by short breaks. A *pomodoro* is the interval of time spent working with rest of 3 to 5 minutes between consecutive pomodoros. Four pomodoros forms a set. A longer (15–30 minute) rest is taken between sets. A goal of the technique is to reduce the impact of internal and external interruptions.

3.5.2. Hyper focus

This style is the opposite of the hopper. People who follows **hyper focus** style of time management instead of constantly moving between tasks gets **deeply involved** in the task at hand until it's done. This results in producing high-quality work. These people usually feel like they can't make it through their daily to-do list hence, get stressed.

A. Advantages

People often produce high-quality work with meticulous attention to detail.

B. Disadvantages

Focusing on only one task can lead to failure to meet deadlines and hence, stress is caused. It also lack flexibility, as it's challenging for them to move on from one task to another.

C. Tips to Increase Productivity

- People should set reminders to switch between tasks.
- Track the amount of time allocated to different tasks.
- Use backward planning strategy to make realistic predictions of the time taken to complete tasks.

In recent years, a method known as backwards planning has been receiving a lot of attention. It is a process of beginning from end goal and then work your way backwards to develop a plan of action. It helps you know when you actually need to get started, and also gives you timing points along the way to let you know if you need to adjust your plan in order to *get it done* when you need to.

An example of backward planning in daily life:

- The meeting is scheduled to be held at 3:00 pm.
- You need to pick up the grocery, which is fifteen minutes from the school.
- It will take around ten minutes in the store, so you need to arrive there at 2:35 pm.

- Before, that you have appointment with doctor at a local clinic, and take half an hour for checkup.
- The clinic is five minutes away from the grocery shop, so you need to arrive there at 2 pm.
- Finally, the clinic is twenty minutes from your house, so you need to leave home at 1:35 pm in order to reach meeting on time.

3.5.3 Cliffhanger

A person with cliffhanger style works best under pressure. Adrenaline rush gets as the clock ticks closer to the deadline moves the person forward. People with such time management style remains calm initially and works day in and out when deadline is closer. This can lead to rushing to finish a project, producing lower-quality work, and elevating your stress levels.

A. Advantages

People with Cliffhanger management style, withstand stressful work conditions and are productive even under pressure.

B. Disadvantages

The work performed under pressure is generally of low quality. People with this style usually tend to procrastinate.

C. Tips to Increase Productivity

- Schedule earlier dates for the urgent tasks.
- Prioritizing tasks is the way to avoid a last-minute rush.

3.5.4. Big Picture

People with big picture time management have a bird's eye view of the tasks in their to do list. They spend more time in planning over paying attention to the fine details necessary to execute plan. They are the ones who quickly spot smart solutions to problems.

A. Advantages

Since people in this category are quick thinkers and spontaneous problem solvers. They often suggest creative ideas and novel strategies for different problems.

B. Disadvantages

The most significant disadvantage with this style is they often have trouble when it comes to details.

C. Tips to Increase Productivity

- Collaborating with more detail-focused individuals like the perfectionists can help them achieve a balance.

Activity

Take a jigsaw puzzle and try to solve it without the sample picture in hand. Jot down the difficulties you had in solving the puzzle. The activity helps in identifying benefits of big picture in managing time

3.5.5 Perfectionist

As the name suggests a person with perfectionist time management spends too much time on details and engages in making everything perfect. They may miss a deadline, as they maintain very high standards of work. They are usually too involve in any task hence, feel burdened.

A. Advantages

These people produce very high-quality work.

They are good in prioritizing tasks and saying no to work wherever necessary.

B. Disadvantages

They often miss deadlines in the pursuit of trying to make everything perfect by focusing too much on details.

They usually fail to see with the larger vision.

C. Tips to Increase Productivity

- Should take on fewer tasks at a time.
- Collaborate with a team member to finish tasks

3.5.6 Impulsive

This style of time management means working without plan. They do not follow the idea of rigidly fixed schedule, setting up a routine or creating a task list. They work well in unexpected spontaneous situations.

A. Advantages

As they are great improvisers, people tend to operate well in the face of unexpected challenges,

B. Disadvantages

The impulsive time manager very often struggles with deadlines and also fails in organizing their day to day work.

C. Tips to Increase Productivity

These people should:

- Create schedules, and set reminders of their goals.
- Consider the larger projects, review routines and responsibilities before making a decision.
- Should design a flexible but clear schedule.

3.6 SOME TIPS FOR BETTER TIME MANAGEMENT:-

Set goals correctly- like it should be specific, realistic and relevant.

Priorities wisely- identify the most important and urgent task to do.

Set time limit- set a definite time period for each task and try to finish it in the set limit.

Take a break- take a small break; freshen your mind up before jumping to another task.

Identify distracters- identify the distracters and remove them.

Use a To-do list- it will help in planning the day and saving time for more productive goals.

Change in schedule- change your schedules frequently to avoid boredom and reduce procrastination.

Be strict- if you plan your day ahead, be strict with your schedule.

SELF-CHECK EXERCISE 2

1. WHAT ARE THE VARIOUS BENEFITS OF TIME MANAGEMENT?

.....
.....
.....
.....

2. DESCRIBE THE HYPERFOCUS STYLE OF TIME MANAGEMENT.

.....
.....
.....

3. WHAT IS EISENHOWER TECHNIQUE?

.....
.....
.....

3.7 LET US SUM UP

Time management means making optimal use of the available time to increase productivity. It is the process of organizing and planning tasks and exercising conscious control of the time spent on specific activities to work smarter than harder to get more done in less time. Managing time can be beneficial in number of ways such as it lowers the stress, anxiety and increases productivity. To be successful in both personal and professional front managing time is an essential prerequisite. Different strategies of manage time have their own pros and cons. Be wise while choosing the right strategy for yourself.

3.8 KEYWORDS

Time management: Time management means making optimal use of the available time to increase productivity. It is the process of organizing and planning tasks and exercising conscious control of the time spent on specific activities to work smarter than harder to get more done in less time.

Cyclic Time view: In cyclic time view; it is believed that the time is not wasted because it will always come back later, hence there is an unlimited amount of time we have. It is predominant throughout most countries in Asia, including Japan and China.

Procrastination: Procrastination is the practice of deferring or postponing assignments until the last possible moment or after the deadline has passed. Procrastination is described as a "type of self-regulation failure characterized by the unreasonable delay of tasks despite potentially negative consequences.

Cliffhanger: A person with cliffhanger style works best under pressure. Adrenaline rush gets as the clock ticks closer to the deadline moves the person forward. People with such time management styles remain calm initially and works day in and out when deadline is closer.

Pomodoro technique:It is a time management technique developed by Francesco Cirillo in the late 1980s. It involves usage of timer to break down work into intervals, traditionally 25 minutes in length, separated by short breaks.

3.9 MODEL ANSWERS

Self-check exercise 1

1. A list
2. Pareto
3. POSEC
4. ABC analysis
5. Time management

Self-check exercise 2

1. Benefits of time management

1. Reduces Procrastination

“I will do it later” is an excuse that we all have made at some point of time. The meaning of time management is not just about doing more in less time but also to reduce the urge to procrastinate. Time management lets you **control** your time. It will help you in focusing at what you want to complete in given time frame. As a result it reduces procrastination.

2. Improves Work-Life Balance

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4th quadrant- neither important nor urgent (pleasant activities, time wasters etc.)

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3.11 QUESTIONS FOR PRACTICE

1. How important is time management? Discuss.
2. Discuss in detail the POSEC method of time management.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

SKILL ENHANCEMENT COURSE: ENHANCING HAPPINESS AT WORKPLACE

UNIT- 4: ENHANCING EMOTIONAL INTELLIGENCE

STRUCTURE

4.0 Introduction

4.1 Objectives

4.2 Meaning of emotions

4.3 Intelligence

- **4.3.1 What is emotional intelligence**
- **4.3.2 Enhancing emotional intelligence**

4.4 Optimism

- **4.4.1 Attribution style**
- **4.4.2 Enhancing optimism**

4.5 Forgiveness

- **4.5.1 Enhancing forgiveness**

4.6 Altruism

- **4.6.1 What motivates us to help?**
- **4.6.2 Enhancing Altruism**

4.7 Let us sum up

4.8 Key words

4.9 Model answers

4.10 References

4.11 Questions for Practice

4.0 INTRODUCTION

Happiness is a mental or emotional state of contentment or deep pleasure marked by positive or pleasant emotions. Happiness is often described by philosophers and religious thinkers in terms of living a good life or flourishing, rather than simply as an emotion. Happy people work at a higher level, putting their personal talents, expertise, and skills to work for their own well-being as well as the well-being of others and society. Emotional intelligence, optimism, forgiveness and altruism are the skills required for happy life. These skills benefits

not only physical but mental health too. In order to practice these skills and making them way of life it is necessary to understand what they are? How they benefit us and if we can enhance them? In this unit we will discuss the meaning of these skills, their role in our lives and few techniques to enhance them.

4.1 OBJECTIVES

After reading this lesson you will be able to

- explain emotional intelligence
- optimism
- forgiveness
- altruism
- the way these skills influence our behaviour
- how to enhance them

4.2 EMOTIONS MEANING

Emotions colour our lives. Emotions can be defined as cognitive, physiological and behavioural aspect of feelings. Emotions have three major components 1. Physiological arousal in the body- shifts in heart rate, blood pressure and so on. 2. Subjective cognitive state (an inner awareness of feelings) labeled as emotions. 3. Expressive behaviours to the outward world.

Definition of emotion

“Each emotion is a feeling and each is at the same time a motor set. Fear is set for escape, anger for attack, happiness to laugh and grief to cry”.

Woodworth

“Emotion is an acute disturbance of the organism, as a whole psychological in origin involving behaviour, conscious experience and visceral functioning”.

P.T. Young

Emotion is a powerful force, every person shapes his behaviour to suit the world he lives in. People vary not only in experience of emotions but also in controlling and expressing emotions. Some people are effusive, others hide their feelings and sometimes only admirable emotions are expressed while disapproved ones are concealed.

4.3 INTELLIGENCE

Intelligence can be defined as the capacity for logic understanding, learning, self-awareness, emotional knowledge, critical thinking, reasoning, planning, creativity, and problem-solving. More generally it can be described as the ability to learn from experience, to solve problems, to think, ability to perceive or infer information and to adapt to new

situations. Psychologist Robert Sternberg defined intelligence as "*the mental abilities necessary for adaptation to, as well as shaping and selection of, any environmental context*".

Although intelligence is considered as a cognitive ability by many psychologists but the role of emotions in solving problems and adapting to new things cannot be ignored. Thus there is a type of intelligence known as ***Emotional intelligence***. The concept of emotional intelligence can be traced back to Gardner's theory of Multiple Intelligence. In his theory he gave eight different types of intelligences namely: Linguistic, Logical/Mathematical, Spatial, Bodily-Kinesthetic, Musical, Interpersonal, Intrapersonal, and Naturalist. Where he described interpersonal intelligence as the ability to comprehend other people's feelings, intentions, motives, and desires and intrapersonal intelligence is described as the ability to comprehend oneself, including one's feelings and emotions.

4.3.1 What is emotional intelligence?

Greek philosopher Aristotle in his literature suggested –to be angry with the right person, to the right degree, at the right time, for the right purpose and in the right way, is the recipe for smooth relationships. This definition is a major theme of emotional intelligence. But as a term it was coined by Peter Salovey and John D. Mayer in 1990 and define it as "*a form of social intelligence that involves the ability to monitor one's own and others' feelings and emotions, to discriminate among them, and to use this information to guide one's thinking and action*" but it gained popularity in 1995 with best-selling book "Emotional intelligence" authored by Daniel Goleman. Goleman defined EI as the array of skills and characteristics that drive leadership performance.

Emotional intelligence (EI) is the ability to perceive, control, understand, evaluate and respond to your own as well as other's emotions. When it comes to happiness and success in life, EQ matters just as much as IQ. It helps in relieving stress, build stronger relationships, communicate effectively, achieve personal goals, empathize with others, overcome challenges and defuse conflict. It also aids in connecting with own feelings, turn intention into action, and make informed decisions about anything that matters the most. The ability to express and control emotions is essential. Imagine a world in which one is not understand when a loved one is feeling sad or when a co-worker was angry could create a great havoc. It is the capability of the individuals to discern between different feelings and label them appropriately, to adjust emotions to adapt to environments.

Importance of Emotional Intelligence

As we know, it's not the smartest people who are the most successful in life. Intellectual ability isn't enough on its own to achieve success in life. The importance of EI should not go unappreciated. Emotional intelligence can help us lead a fulfilled and happy life. EI is a dynamic aspect of one's psyche that, when worked upon, can yield fruitful benefits, from personal happiness and well-being to elevated success in a professional context. There is ample of research supporting that individuals with higher EI are better equipped to work cohesively within teams, deal with change more effectively, and manage stress – thus enabling them to work more efficiently in personal as well as professional life.

Researchers suggested that heredity and environment have an interactive influence on intelligence. Although genetic makeup of a child influences his ability to sense emotions, but it is not the single factor affecting emotional intelligence. Every child possess a unique combination of emotional sensitivity, emotional memory, emotional processing and problem-solving abilities, and emotional learning ability when he enters the world. But this is not the end, the way a child is raised has a big impact on what happens to his or her potential in any of these areas. The impact of environment on emotional development cannot be ignored. There are many ways in which emotional intelligence can be learnt and enhanced. Some researchers suggest that emotional intelligence can be learned and strengthened, while others claim it's an inborn characteristic. As the researchers suggest EI can be learnt also here are the few ways in which it can be enhanced:-

4.3.2 Enhancing Emotional Intelligence

Being assertive

Assertive communication is a skill in emotionally intelligent people. It goes far toward communicating one's opinions without being either forceful, or inactively tolerating 'wrong'. Emotionally intelligent people are good in communicating their opinions. Being assertive means responding in a calm and positive way while interacting with others.

Practice self-awareness

Emotionally intelligent people are high on self-awareness. They are aware of their own emotions and how they can affect those around them. They likewise get on others' feelings and non-verbal communication and utilize that data to improve their relational abilities.

Take critique well

An important part of increasing your emotional intelligence is to be able to take critique. Instead of getting offended or defensive, high EQ people take a few moments to understand where the critique is coming from, how it is affecting others or their own performance and how they can constructively resolve any issues.

Empathize with others

Emotionally intelligent people know how to empathize. They understand that empathy is a trait that shows emotional strength, not weakness. Empathy helps them to relate to others on a basic human level. It opens the door for mutual respect and understanding between people with differing opinions and situations.

Utilize leadership skills.

Emotionally intelligent people have excellent leadership skills. They have high standards for themselves and set an example for others to follow. They take initiative and have great decision making and problem-solving skills. This allows for a higher and more productive level of performance in life and at work.

Practice ways to stay positive.

Don't underestimate the power of your attitude. A negative attitude easily infects others if a person allows it. Emotionally intelligent people are aware of the moods of their surroundings and pay attention to their attitudes accordingly. What to do to have a good day and an optimistic attitude. This could include having breakfast or lunch, praying or meditating during the day, or writing positive quotes on your desk or computer.

Take note of your feelings

Psychologist, Daniel Goleman identifies self-consciousness as one of the key additives of emotional intelligence. Self-consciousness entails the capacity to apprehend moods and feelings. This capacity to display your very own emotional states is a primary requirement for emotional intelligence.

Emotionally intelligent people have a variety of habits and behaviors that contribute to their ability to control their emotions and understand the feelings of others. Emotional intelligence includes four basic skills:

- The ability to perceive emotions.
- The ability to reason with emotions
- The ability to understand emotions.
- The ability to deal with emotions.

4.4 OPTIMISM

Optimism is an attitude that reflects people's belief or hope that the result of a particular effort or the overall result is positive, benevolent, and desirable. The common instance used to describe optimism and pessimism is half a glass of water. It is said that optimists believe that the cup is half full, while pessimists believe that the cup is half empty. The term comes from the Latin word *Optima*, which means "better". In a general sense, optimism is defined as the expectation of the best possible outcome for a given situation. This is usually called optimism in psychology, and therefore reflects people's belief that future conditions will be most effective. Optimistic people face the difficult situation with positive attitude.

Optimism can also be linked to health. Optimism is a state of mind full of hope and confidence in a successful and optimistic future. Optimistic are the people who expect good things and pessimists are those who predict unfavorable results. An optimistic attitude brings many benefits, including better coping skills, lower stress levels, better physical health, and greater perseverance to succeed. Even the most miserable day will assure you, "Tomorrow may be better. If you always see the positive aspects of things, you may feel that you have more positive experiences in your life than others.

Interpretation or attribution are factors that contribute to optimism. Interpretation or attribution refers to how people interpret events in life. People can explain the situation in three ways that affect their tendency to be optimistic or pessimistic:

4.4.1 Attribution style

It refers to attribution we tend to make for behavior. It can be internal or external. One such attribution style falls in three dimensions as follows:-

- **Internal vs. external**

This refers to whether the person considers him/ herself responsible for causing the event or leave the cause to some external factor (outside his control).

- **Stable vs. Unstable**

It is the feeling behind the success, failure or setback whether it will remain same throughout life or can be changed over time.

- **Global vs. Specific**

This refers to the tendency to attribute cause behind single events as being replicated in all other events or it is just limited to the single event.

Pessimistic or negative explanation of the causes

EXTERNAL ----- STABLE ----- GLOBAL

Optimistic or positive explanation of the causes

INTERNAL ----- UNSTABLE----- SPECIFIC

Let's take an example if someone fails in say, mathematics and consider the failure as

- Out of his control and situation dependent (external) explanation.
- Situation will remain same throughout the attempts; means he feels he will always fail (stable).
- He/ she will fail in music, art, English and any other task in hand (global).

The above mentioned example shows pessimistic explanation of the causes which leads to psychological distress and feeling of self-inferiority. We do explain many day to day events in negative style which hinders mental peace.

4.4.2 Enhancing optimism

Reattribution Technique

For better health and peace of mind we need to shift our attention from Pessimistic or negative explanation of the causes to Optimistic or positive explanation of the causes.

Let's take similar above mentioned example if someone fails in mathematics and consider the failure as:-

- In his control and dependent on his efforts (internal) explanation. He would eventually invest more efforts for better results.
- Situation will change with the attempts means he feel can pass the exam with efforts (unstable).
- It's just one subject; I am good at others music, art, English and any other task in hand (specific).

Few other ways to enhance optimism are:-

Keep an eye on who you hang out with

We've all got mates that are constant whiners or gossipers. We find ourselves joining the Debby Downer bandwagon after spending a few hours with them. It's obvious that negativity is infectious. Fortunately, optimistic feelings can also be infectious. Having neighbour, spouse or anyone near with positive outlook actually increases the likelihood you being happier and positive.

Mind what to watch

Watching bad news or any content that are high on negative emotions should be avoided. Be mindful of what to watch as modeling (seeing others behaviour) influences our own thoughts and actions.

Watch your thoughts

Think good, feel good and do good is the mantra to remember. Positive thinking will not only lighten up the mood but also helps in shifting perspective from nothing can be done to something can be done.

Focus on commitment rather than result

Seligman emphasized the importance of having the right attitude in cultivating hopefulness. Positive thinkers are often more concerned with the process than with the outcome. Encourage children to engage in sports without thinking about who wins or loses, is a powerful message for instilling optimism in them.

Practice Gratitude

Make a list of all the things in your life for which you are grateful. Include even the tiniest information, such as a lucky penny you find on the street or a warm embrace from your partner today. You'll almost certainly end up with a long list to refer to if you find yourself falling into negativity.

Self-Check Exercise 1

Fill in the blanks

1. The ability to understand emotions
2. Attribution make for the behaviours
3. According to Goleman emotionally intelligent⁵⁷ people have..... Skills.
4. Being hopeful for the better in life is

4.5 FORGIVENESS

To err is human, to forgive divine.

Alexander Pope

Forgiveness is often defined as an individual and voluntary internal process of letting go the urge of crime and thoughts of resentment, bitterness, anger, and the need for revenge and retaliation against someone we believe have wronged us, including ourselves. Forgiveness helps us to overcome conflicts quickly. Forgiving others, is a key characteristic of successful relationships. Partners who are close find it easier to forgive. People who tend to forget the offender usually see the offender's behaviour as temporary and it doesn't stop them insisting on better behaviour next time. It is not about forgiving others only but ourselves too. Forgiving our own pitfalls aids in moving on from shame, guilt and humiliation. It provides a wide array of rewards such as inner peace to mental health. Self – forgiveness on the one hand reduces depression, fatigue, anxiety and stress while on the other hand, improves our sleep and protects our immune system and heart from diseases. Forgiveness from an evolutionary point of view, is an instinct with interpersonal and societal purpose. According to Enright (1996), forgiveness is a state encompassing three parts: forgiving others, receiving forgiveness from others, and forgiving oneself. Forgiveness is a skill to work at and it is actually a way of life. The Dalai Lama says reliving pain and suffering is optional.

Forgiveness can be triggered by a variety of factors, including changes in cognition, offender actions, victim behaviour, willful decision, emotional experience or speech, spiritual experience, or a combination of these. Some of us are more forgiving than others, and forgiveness can be thought of as a personality attribute or as part of a larger, long-term quality. Forgiveness is not the same as pardoning, condoning, excusing, or forgetting an offence. It's also not the same as reconciliation, even though reconciliation will happen as part of the forgiveness process. Some contend that decisional forgiveness, in all of its ways, can be mistaken for forgiveness at times (Worthington & Scherer, 2004). For example, the administration of justice may serve to facilitate an end to the case is not forgiveness. True forgiveness, on the other hand, is a personal and internal operation, while administration of justice is merely an external response to an internal case that seldom addresses the complexities involved in the process of forgiveness.

Forgiveness is strong medicine for emotional hurt. When life hits us hard, compassion is the most powerful way to heal deep wounds. If I hadn't been convinced of this, I would not have spent the last 30 years of my life learning forgiveness. Many people have misinterpretations about what forgiveness entails, and they can resist it. Others will prefer to forgive but doubt their ability to do so. Forgiveness does not always come easily.

4.5.1 Enhancing forgiveness

Below is an outline of the basic techniques to enhance forgiveness:-

Know what forgiveness is and why does it matter

Forgiveness is about kindness, about showing compassion to those who have wronged us, even though they don't "deserve" it. It's not about making excuses for the offender's actions or saying they never happened. Forgiveness will boost our self-esteem and provide us with a sense of inner strength and security. Forgiving can lead to psychological healing.

Mindfulness

Also strongly associated with forgiveness, particularly forgiveness directed towards others. The process might be described as an energy exchange where forgiveness frees up energy for attentive involvement, depending on the level of a client's spiritual diversity. Mindfulness and forgiveness have both been related to improved mental health.

Look for the bright side

Journaling about a scenario in which you were hurt might assist you in processing what happened and moving on. Rather than focusing on the feelings you're experiencing as a result of a terrible scenario, journaling about the positives you've obtained from it can actually help you forgive and move on more quickly. Keep an ongoing gratitude journal and forgive a little every day.

Empathy might help you develop a forgiving mindset

Empathy is linked to forgiveness and can help in the process. Rather than perceiving the offender as "the enemy," try to comprehend the issues they were facing. Try to recall the other person's positive traits, and presume that their motivations were not to intentionally hurt you.

Talk about your emotions

Before you can forgive someone, you must first be able to express your sentiments about what happened. This necessitates first embracing those feelings, even the ones you don't desire.

Consider forgiveness as a gift to yourself, not to others

One of the reasons you may hold on to a grudge is that you assume that by forgiving the other person, you are letting them off the hook. In truth, it isn't about the other person at all. Forgiveness is a gift to yourself in order for you to be at peace. The longer you keep a grudge, the more likely you are to suffer from sleepless nights, stress, and other health problems.

Recognize that it occurred

When you refuse to forgive, you may feel somewhat responsible for the situation, so you opt to place blame on someone else rather than be honest with yourself. Guilt is no different from harbouring a grudge; both of these emotions will ultimately harm you. You owe it to yourself and your health too.

We often make forgiving a mental exercise, yet we still harbour resentment when it comes down to it. Keep performing the forgiveness exercises and be patient with yourself. Recognize that no one is perfect, and that the more you can forgive, the more your body, mind, and spirit can heal.

4.6 ALTRUISM

Helping someone is also known as Pro-social behaviour that ultimately relies on providing benefits to the one who is providing help. Altruism on the other hand is defined as a behaviour that involves no self-benefits at all. Altruism is the act of helping others without expecting any benefit in return. It is the unselfish desire to help and does not involve the obligations to duty, loyalty, or religious reasons. It involves acting out of concern for the well-being of other people. The term altruism is used as an antonym of –self-interested or –selfish or –egoistic.

The classic example comes from Jesus' parable of the Good Samaritan: A man was travelling from Jerusalem to Jericho when he was attacked by robbers who stripped him, beaten him, and fled, leaving him half-dead. A priest happened to be walking down that road at the time, and when he saw him, he turned around and went the other way. Similarly, when a Levite arrived at the location and saw him, he went by on the other side. However, while driving, a Samaritan came close to him, and when he saw him, he was moved with compassion. He went over to him and applied bandages to his wounds after pouring oil and wine on them. Then he put him on his own animal and took him to an inn, where he was cared for. He took out two denarii the next day, gave them to the innkeeper, and told him, "Take care of him; and when I return, I will repay you whatever more you spend." The story extracted from (*David G. Myers, Social Psychology, 2010*).

The above story is an example of altruistic behaviour filled with compassion. The helper is motivated to give a stranger time, energy, and money while expecting neither repayment nor appreciation.

4.6.1 What motivates us to help?

There are various perspectives identified by social psychologists to find the motivation behind helping behaviour. Below section will explain these perspectives in brief:-

Empathetic Altruism

One explanation of helping behaviour is empathy induced altruism. This refers to the ability to understand other person's distress. This perspective explained helping behaviour occurs in order to end plight of the sufferer as –it feels good to do good deeds.

Negative state relief

Another perspective identified to motivate helping is instead of helping others because we want to reduce our own distress caused by witnessing someone in need. In other words, this sort of help is offered to reduce the feeling of guilt in ourselves.

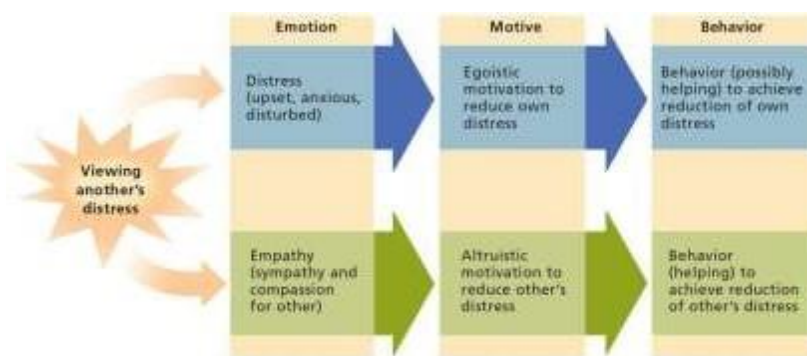
Empathic Joy

The empathy joy theory tries to justify why someone will extend support to other who is in need. According to the Empathy Joy hypothesis states that positive feelings correlated with altruistic actions motivate people to support others in need. Helping others is rewarding in itself, because it gives pleasure and joy to the individual who performs the act.

Kin selection

This is evolutionary perspective highlighting the role of innate human tendency to pass on genes to next generation. This means a person is more likely to help other who is closely related to him rather than someone who is not related to us.

Fig. 1 Empathic and Egoistic Routes to Help



Source: David G. Myers (2010). *Social Psychology*, New York: McGraw Hill, pp. 461

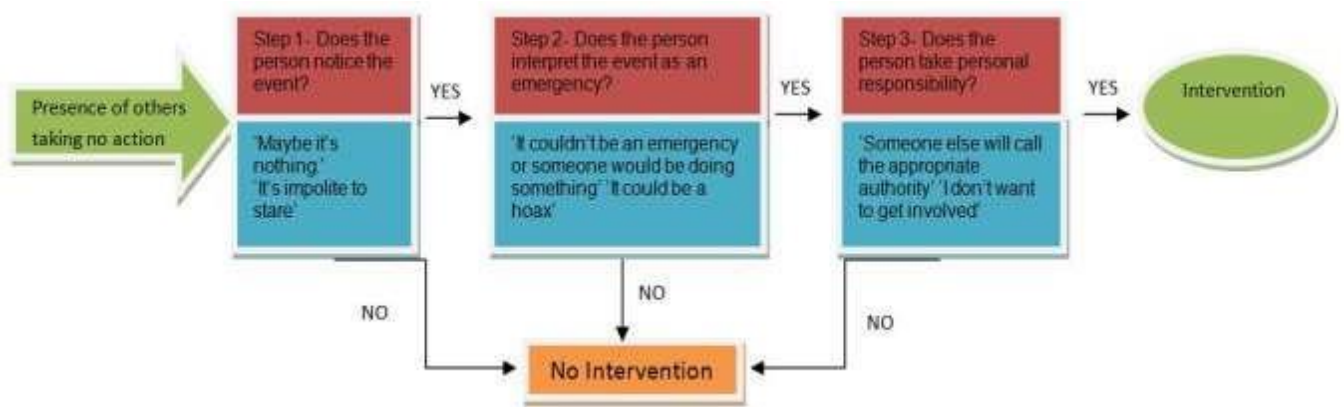
Viewing another's distress can evoke a mixture of responses. Above figure explains helping behaviour in case the emotion is empathic or egoistic.

Helping in emergencies

An important element of helping in emergencies is the *bystander effect*. Kitty Genovese, a 28-year old bartender, was attacked by a knife wielding assailant as she returned from work to her Queens, New York, apartment at 3 a.m. on March 13, 1964. She pleaded for help. Some of her neighbours (38, according to initial New York Times report) heard her screaming. Some of them allegedly came to their windows to have a glimpse of the attacker but no one had called police before her assailant had actually left. This case creates curiosity among researchers that what motivates the bystander to help? Latane and Darley (1970) suggested that as the number of bystanders increase the victim is less likely to get help. Latané and Darley proposed a step wise model depicting bystanders intervention and suggested that as the number of bystanders increases, any stander is less likely to *notice* the

incident, less likely to *interpret* the incident as a problem or an emergency, and less likely to assume *responsibility* for taking action.

Fig. 2 Latane and Darley's Model of Helping



Source: Westen, D., Burton, L., & Kowalski, R. (2006). *Psychology*. Australia: John Wiley & Sons, pp. 743.

The above picture depicts that if the bystander will extend support to the needy only if he notices the event and interpret it as an emergency and feels himself responsible to help.

4.6.2 Enhancing Altruism

Below are the few ways in which one can enhance their altruism:-

Visualize Helping

Close your eyes for a few minutes every morning and imagine yourself assisting some of the people you know you will meet during the day. This is referred to as "priming" in psychology, and it is very successful in influencing behaviour.

Remember how you were helped by others

Remembering the act of kindness extended to you by someone increases the chances that you are more likely to help others in same situation.

Accept personal responsibility for assisting others.

Ignore what others are doing. Don't wait for anyone else to help if you see someone in need.

–We should not wait to see what others do, said Mahatma Gandhi.

Model Helping Behaviour

Provide a good example to anyone around you, kids, relatives, friends and neighbours by engaging yourself in helpful actions.

Do not feel embarrassed

People are often afraid of rushing to help just to find out that their support was unwarranted. In order avoid being embarrassed by the bystanders, people simply do not take any action. Do not be a puppet to the show, initiate help without the fear of embarrassment.

Self Check Exercise 2

1. What are the different ways to enhance emotional intelligence?

.....
.....
.....

2. Why people are motivated to help?

.....
.....

4.7 LET US SUM UP

Emotional intelligence, optimism, forgiveness and altruism all adds in living happy life. These skills provide fruitful results at both professional and personal level. There are many ways in which these skills can be enhanced and practiced. Emotional intelligence refers to the ability to understand and manage emotions effectively while optimism is the key to positive attributions. Forgiveness is the internal process of releasing grudge and resolving conflicts. Enhancing forgiveness is beneficial for peaceful mind. This unit also explained the concept of altruism and various ways to enhance altruistic behaviour. Enhance your skills by opting the way that seems more appropriate to you; and see the difference in life.

4.8 KEY WORDS

Intelligence: Intelligence can be defined as the capacity for logic understanding, learning, self-awareness, emotional knowledge, critical thinking, reasoning, planning, creativity and problem-solving.

Emotions: Emotions can be defined as cognitive, physiological and behavioural aspect of feelings. Emotions have three major components 1. Physiological arousal in the body- shifts in heart rate, blood pressure and so on. 2. Subjective cognitive state (an inner awareness of feelings) labeled as emotions. 3. Expressive behaviours to the outward world.

Emotional Intelligence: Emotional intelligence (EI) is the ability to perceive, control, understand, evaluate and respond to your own as well as other's emotions. When it comes to happiness and success in life, EQ matters just as much as IQ.

Optimism: Optimism is an attitude that reflects people's belief or hope that the result of a particular effort or the overall result is positive, benevolent, and desirable. The common instance used to describe optimism and pessimism is half a glass of water.

Forgiveness: Forgiveness is often defined as an individual and voluntary internal process of letting go the urge of crime and thoughts of resentment, bitterness, anger, and the need for revenge and retaliation against someone we believe have wronged us, including ourselves.

Altruism: Altruism is the act of helping others without expecting any benefit in return. It is the unselfish desire to help and does not involve the obligations to duty, loyalty, or religious reasons. It involves acting out of concern for the well-being of other people.

4.9 Model Answers

Self-check exercise 1

1. Emotional intelligence 2. Attribution style 3. Four 4. Optimism

Self-check exercise 2

1. Enhancing emotional intelligence:

Being assertive

Assertive communication is a skill in emotionally intelligent people. It goes far toward communicating one's opinions without being either forceful, or inactively tolerating 'wrong'. Emotionally intelligent people are good in communicating their opinions. Being assertive means responding in a calm and positive way while interacting with others.

Practice self-awareness

Emotionally intelligent people are high on self-awareness. They are aware of their own emotions and how they can affect those around them. They likewise get on others' feelings and non-verbal communication and utilize that data to improve their relational abilities.

Take critique well

An important part of increasing your emotional intelligence is to be able to take critique. Instead of getting offended or defensive, high EQ people take a few moments to understand where the critique is coming from, how it is affecting others or their own performance and how they can constructively resolve any issues.

Empathize with others

Emotionally intelligent people know how to empathize. They understand that empathy is a trait that shows emotional strength, not weakness. Empathy helps them to relate to others on a basic human level. It opens the door for mutual respect and understanding between people with differing opinions and situations.

Utilize leadership skills.

Emotionally intelligent people have excellent leadership skills. They have high standards for themselves and set an example for others to follow. They take initiative and have great decision making and problem-solving skills. This allows for a higher and more productive level of performance in life and at work.

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4.11 QUESTIONS FOR PRACTICE

1. What are the basic techniques to enhance forgiveness?
2. Discuss the concept of Emotional Intelligence in detail.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

SKILL ENHANCEMENT COURSE: ENHANCING HAPPINESS AT WORKPLACE

UNIT 5: CONFLICT RESOLUTION AND NEGOTIATIONS

STRUCTURE

5.0 Introduction

5.1 Objectives

5.2 Conflict and Conflict Management.

5.3 Types/Classification of Conflict

5.4 Sources of Conflict in Organizations

5.5 Conflict Resolution

5.5.1 Indirect Conflict Management Strategies

5.5.2 Direct Conflict Management Strategies

5.6 Negotiation

5.6.1 Negotiation Goals and Outcomes

5.7 Ethical Aspects of Negotiation

5.8 Organizational Settings for Negotiation

5.9 Negotiation Strategies

5.9.1 Distributive Negotiation

5.9.2 Integrative Negotiation

5.10 How to Gain Integrative Agreements

5.11 Common Negotiation Pitfalls

5.12 Resistance to Change

5.12.1 Why Employees Resist Change

5.13 Overcoming Resistance to Change

5.14 Lets sum up

5.15 Keywords

5.16 References

5.17 Questions for Practice

5.0 INTRODUCTION

You may love your family and friends, but truth be told, you spend much of your time with the people at work. Not getting along with co-workers, or having members of your team at odds with one another can be stressful and distracting. In addition, problems in the workplace rarely stay at work; they can permeate every aspect of your life. So it behooves you to take the time to understand what's behind a conflict, to get beyond the surface issues, and to work to find satisfying resolutions for everyone involved.

Stress and conflict are closely related terms, but are different. Both terms are realities of today's large, complex, and uncertain organizations. These terms have been increasingly emphasized in today's work situations. Stress and conflict have reciprocal effect; stress may be source or reason for conflict, and some conflicts (for example, intra-individual—goal or role—conflicts) generate stress for some people. Conflict is viewed as disagreement or difference between two parties while stress is mental pressure people feel in the life. Both conflict and stress have important implications for understanding, modifying, and controlling human behavior at work. Managers spend considerable time, money, and energy to manage stress and conflict. Conflict affects relations among people and work performance, whereas stress affects personal life and health, and, hence, it may affect normal work performance.

In this unit we will discuss about conflict, its definition, types and sources with reference to organizations. Conflict resolution will be discussed in detail. Various Indirect and indirect strategies of conflict management will be delineated. Also, negotiation, its goals and outcomes will be deliberated upon. And finally conceptual understanding of resistance to change and how to overcome resistance to change will be discussed.

5.1 OBJECTIVES

After completing this unit, you should be able to:

- Understand conflict and conflict resolution
- Know the classification and types of conflict
- Know various strategies of conflict resolution
- Define Negotiation and its strategies
- Understand resistance to change and how to overcome resistance to change

5.2 CONFLICT AND CONFLICT MANAGEMENT

Conflict is a generic term and carries several meanings. Therefore, it is difficult to define the term precisely. Conflict is more or less similar to clash, difference, disagreement, or lack of harmony. Note that conflict is not similar to quarrel. A quarrel may be irrational or baseless. Conflict is an intellectual phenomenon and is based on facts and realities. People have some solid reasons or bases to express conflict. Modern management thinkers and practitioners opine that conflict is natural, structural, and, to some extent, desirable. The structure of modern organization is such that conflict always arises. There is always possibility of conflict when intellectual and creative people are employed. It is, thus, the result of creativity of people. Healthy personalities do not agree on all issues; they always have different (conflicting) views. Conflict is obvious phenomenon in today's complex and large organization.

Definitions of Conflict:

Stephen Robbins: "Conflict is a process in which efforts are purposefully made by a person, unit, or group to block other that results into frustration either in attaining goals or furthering his/her interests."

Schermerhorn, Hunt, Osborn & Uhl-Bien: –Conflict occurs whenever disagreements exist in a social situation over issues of substance, or whenever emotional antagonisms create frictions between individuals or groups.¶

5.3 TYPES/CLASSIFICATION OF CONFLICT

- **Substantive conflict** is a fundamental disagreement over ends or goals to be pursued and the means for their accomplishment. A dispute with one's boss or other team members over a plan of action to be followed, such as the marketing strategy for a new product, is an example of substantive conflict. When people work together every day, it is only normal that different viewpoints on a variety of substantive workplace issues will arise. At times people will disagree over such things as team and organizational goals, the allocation of resources, the distribution of rewards, policies and procedures, and task assignments.

- **Emotional Conflict** In contrast, **emotional conflict** involves interpersonal difficulties that arise over feelings of anger, mistrust, dislike, fear, resentment, and the like. This conflict is commonly known as a –clash of personalities.¶ How many times, for example, have you heard comments such as –I can't stand working with him¶ or –She always rubs me the wrong way¶ or –I wouldn't do what he asked if you begged me¶? When emotional conflicts creep

into work situations, they can drain energies and distract people from task priorities and goals. They can emerge in a wide variety of settings and are common in teams, among co-workers, and in superior–subordinate relationships.

- Our first tendency may be to think of conflict as something that happens between people, and that is certainly a valid example of what we can call –interpersonal conflict. But scholars point out that conflicts in teams and organizations need to be recognized and understood on other levels as well. The full range of conflicts that we experience at work includes those emerging from the interpersonal, intrapersonal, intergroup, and interorganizational levels.

- **Interpersonal conflict** occurs between two or more individuals who are in opposition to one another. It may be substantive, emotional, or both. Two persons debating each other aggressively on the merits of hiring a specific job applicant is an example of a substantive interpersonal conflict. Two persons continually in disagreement over each other's choice of work attire is an example of an emotional interpersonal conflict. Interpersonal conflict often arises in the performance evaluation process.

- **Intrapersonal conflict** is tension experienced within the individual due to actual or perceived pressures from incompatible goals or expectations. *Approach–approach conflict* occurs when a person must choose between two positive and equally attractive alternatives. An example is when someone has to choose between a valued promotion in the organization or a desirable new job with another firm. *Avoidance–avoidance conflict* occurs when a person must choose between two negative and equally unattractive alternatives. An example is being asked either to accept a job transfer to another town in an undesirable location or to have one's employment with an organization terminated. *Approach–avoidance conflict* occurs when a person must decide to do something that has both positive and negative consequences. An example is being offered a higher-paying job with responsibilities that make unwanted demands on one's personal time.

- **Intergroup conflict** occurs between teams, perhaps ones competing for scarce resources or rewards, and perhaps ones whose members have emotional problems with one another. The classic example is conflict among functional groups or departments, such as marketing and manufacturing, within organizations.

- **Interorganizational conflict** is most commonly thought of in terms of the competition and rivalry that characterizes firms operating in the same markets. A good example is the continuing battle between U.S. businesses and their global rivals: Ford vs. Toyota, or Nokia vs. Motorola, for example.

5.4 SOURCES OF CONFLICT IN ORGANIZATIONS

The conflict model starts with the sources of conflict, so we need to understand these sources to effectively diagnose conflict episodes and subsequently resolve the conflict or occasionally to generate conflict where it is lacking. The six main conditions that cause conflict in organizational settings are incompatible goals, differentiation, interdependence, scarce resources, ambiguous rules, and communication problems.

- **Incompatible Goals:** Goal incompatibility occurs when the goals of one person or department seem to interfere with another person's or department's goals.²⁸ For example, the production department strives for cost-efficiency by scheduling long production runs whereas the sales team emphasizes customer service by delivering the client's product as quickly as possible. If the company runs out of a particular product, the production team would prefer to have clients wait until the next production run. This infuriates sales representatives who would rather change production quickly to satisfy consumer demand.
- **Differentiation:** Another source of conflict is differentiation—differences among people and work units regarding their training, values, beliefs, and experiences. Differentiation can be distinguished from goal incompatibility; two people or departments may agree on a common goal (serving customers better) but have different beliefs about how to achieve that goal (e.g., standardize employee behavior versus give employees autonomy in customer interactions). Differentiation is usually a factor in intergenerational conflict. Younger and older employees have different needs, different expectations, and different workplace practices, which sometimes produces conflicting preferences and actions. Studies suggest that these intergenerational differences occur because people develop social identities around technological developments and other pivotal social events that are unique to their era.
- Differentiation also produces the classic tension between employees from two companies brought together through a merger. Even when people from both companies want the integrated organization to succeed, they fight over the "right way" to do things because of their unique experiences in the separate companies. This form of conflict emerged when Century Link acquired Qwest, creating the third-largest telecommunications company in the United States. The two companies were headquartered in different parts of the country.
 - Their languages were different, their food was different, answers were different. We talked fast and interrupted, and they talked slow and were polite," recalls a senior Qwest executive.
 - If we said up, they said down. If we said yes, they said no. If we said go, they said stop.

This resulted in –unnecessary misunderstandings| as executives tried to integrate the two companies.

- **Interdependence:** All conflict is caused to some extent by interdependence, because conflict exists only when one party perceives that its interests are being opposed or negatively affected by another party. Task interdependence refers to the extent to which employees must share materials, information, or expertise to perform their jobs. Conflict is inherently about relationships because people and work units are affected by others only when they have some level of interdependence.
- The risk of conflict increases with the level of interdependence. Employees usually have the lowest risk of conflict when working with others in a pooled interdependence relationship. Pooled interdependence occurs where individuals operate independently except for reliance on a common resource or authority. The potential for conflict is higher in sequential interdependence work relationships, such as an assembly line. The highest risk of conflict tends to occur in reciprocal interdependence situations. With reciprocal interdependence, employees have high mutual dependence on each other as well as higher centrality. Consequently, relationships with reciprocal interdependence have the strongest and most immediate risk of interfering with each other's objectives.
- **Scarce Resources:** Resource scarcity generates conflict because each person or unit requiring the same resource necessarily undermines others who also need that resource to fulfill their goals. Most labor strikes, for instance, occur because there aren't enough financial and other resources for employees and company owners to each receive the outcomes they seek, such as higher pay (employees) and higher investment returns (stockholders). Budget deliberations within organizations also produce conflict because there aren't enough funds to satisfy the goals of each work unit. The more resources one group receives, the fewer resources other groups will receive. Fortunately, these interests aren't perfectly opposing in complex negotiations, but limited resources are typically a major source of friction.
- **Ambiguous Rules:** Ambiguous rules-or the complete lack of rules-breed conflict. This occurs because uncertainty increases the risk that one party intends to interfere with the other party's goals. Ambiguity also encourages political tactics and, in some cases, employees enter a free for- all battle to win decisions in their favor. This explains why conflict is more common during mergers and acquisitions. Employees from both companies have conflicting practices and values, and few rules have developed to minimize the maneuvering for power

and resources. 35 When clear rules exist, on the other hand, employees know what to expect from each other and have agreed to abide by those rules.

- **Communication Problems:** Conflict often occurs due to the lack of opportunity, ability, or motivation to communicate effectively.

Check your progress
<ul style="list-style-type: none">• Differentiate between conflict resolution and conflict management.• What are the various types of conflict?• Write different sources of conflict in organizations?

5.5 CONFLICT RESOLUTION

Conflict can be addressed in many ways, but the important goal is to achieve or set the stage for true **conflict resolution**-a situation in which the underlying reasons for dysfunctional conflict are eliminated. When conflicts go unresolved the stage is often set for future conflicts of the same or related sort. Rather than trying to deny the existence of conflict or settle on a temporary resolution, it is always best to deal with important conflicts in such ways that they are completely resolved. This requires a good understanding of the stages of conflict, the potential causes of conflict, and indirect and direct approaches to conflict management.

5.5.1 INDIRECT CONFLICT MANAGEMENT STRATEGIES

- **Reduced Interdependence** When workflow conflicts exist; managers can adjust the level of interdependency among teams or individuals. One simple option is *decoupling*, or taking action to eliminate or reduce the required contact between conflicting parties. In some cases team tasks can be adjusted to reduce the number of required points of coordination. The conflicting units can then be separated from one another, and each can be provided separate access to valued resources. Although decoupling may reduce conflict, it may also result in duplication and a poor allocation of valued resources.

Buffering is another approach that can be used when the inputs of one team are the outputs of another. The classic buffering technique is to build an inventory, or buffer, between the teams so that any output slowdown or excess is absorbed by the inventory and does not directly pressure the target group. Although it reduces conflict, this technique is increasingly out of favor because it increases inventory costs. This consequence is contrary to the elements of just-in-time delivery, which is now valued in operations management.

Conflict management can sometimes be facilitated by assigning people to serve as formal linking pins between groups that are prone to conflict. Persons in *linking-pin roles*, such as project liaisons, are expected to understand the operations, members, needs, and norms of their host teams. They are supposed to use this knowledge to help the team work better with others in order to accomplish mutual tasks. Although expensive, this technique is often used when different specialized groups, such as engineering and sales, must closely coordinate their efforts on complex and long-term projects.

- **Appeals to Common Goals** An *appeal to common goals* can focus the attention of potentially conflicting individuals and teams on one mutually desirable conclusion. By elevating the potential dispute to a common framework where the parties recognize their mutual interdependence in achieving common goals, petty disputes can be put in perspective. In a course team where members are arguing over content choices for a PowerPoint presentation, for example, it might help to remind everyone that the goal is to impress the instructor and get an A — All for the presentation and that this is only possible if everyone contributes their best. An appeal to higher goals offers a common frame of reference that can be very helpful for analyzing differences and reconciling disagreements.
- **Hierarchical Referral** *Hierarchical referral* uses the chain of command for conflict resolution.¹⁵ Here, problems are moved from the level of conflicting individuals or teams and referred up the hierarchy for more senior managers to address. Whereas hierarchical referral can be definitive in a given case, it also has limitations. If conflict is severe and recurring, the continual use of hierarchical referral may not result in true conflict resolution. Managers removed from day-to-day affairs may fail to diagnose the real causes of a conflict, and conflict resolution may be superficial. Busy managers may tend to consider most conflicts as results of poor interpersonal relations and may act quickly to replace a person with a perceived “personality” problem.
- **Altering Scripts and Myths** In some situations, conflict is superficially managed by scripts, or behavioral routines, that become part of the organization’s culture.¹⁶ The scripts become rituals that allow the conflicting parties to vent their frustrations and to recognize that they are mutually dependent on one another via the larger corporation. An example is a monthly meeting of “department heads,” which is held presumably for purposes of coordination and problem solving but actually becomes just a polite forum for superficial agreement.¹⁷ Managers in such cases know their scripts and accept the difficulty of truly resolving any major conflicts. By sticking with the script, expressing

only low-key disagreement, and then quickly acting as if everything has been resolved, for instance, the managers publicly act as if problems are being addressed. Such scripts can be altered to allow and encourage active confrontation of issues and disagreements.

5.5.2 DIRECT CONFLICT MANAGEMENT STRATEGIES

In addition to the indirect conflict management strategies just discussed, it is also very important for everyone to understand how conflict management plays out in face-to-face fashion. Consultants and academics generally agree that true conflict resolution can occur only when the underlying substantive and emotional reasons for the conflict are identified and dealt with through a solution that allows all conflicting parties to —win.¶ However, the reality is that direct conflict management may pursue lose-lose and win-lose as well as win-win outcomes.

- **Lose-Lose Strategies** *Lose-lose conflict* occurs when nobody really gets what he or she wants in a conflict situation. The underlying reasons for the conflict remain unaffected, and a similar conflict is likely to occur in the future. Lose-lose outcomes are likely when the conflict management strategies involve little or no assertiveness. **Avoidance** is an extreme form that basically displays no attention toward a conflict. No one acts assertively or cooperatively; everyone simply pretends the conflict does not really exist and hopes it will go away.
- **Lose-Win (Accommodation, or smoothing)** as it is sometimes called, involves playing down differences among the conflicting parties and highlighting similarities and areas of agreement. This peaceful coexistence ignores the real essence of a given conflict and often creates frustration and resentment.
- **no lose - no win (Compromise)** occurs when each party shows moderate assertiveness and cooperation and is ultimately willing to give up something of value to the other. As a result of no one getting their full desires, the antecedent conditions for future conflicts are established.



Fig. 5.1: Model for Conflict Resolution

- **Win-Lose Strategies (forcing)** in *win-lose conflict*, one party achieves its desires at the expense and to the exclusion of the other party's desires. This is a high assertiveness and low-cooperativeness situation. It may result from outright **competition** in which one party achieves a victory through force, superior skill, or domination. It may also occur as a result of **authoritative command**, whereby a formal authority such as manager or team leader simply dictates a solution and specifies what is gained and what is lost by whom. Win-lose strategies of these types fail to address the root causes of the conflict and tend to suppress the desires of at least one of the conflicting parties. As a result, future conflicts over the same issues are likely to occur.

- **Win-Win Strategies** *Win-win conflict* is achieved by a blend of both high cooperativeness and high assertiveness. **Collaboration**, or *problem solving*, involves recognition by all conflicting parties that something is wrong and needs attention. It stresses gathering and evaluating information in solving disputes and making choices. Win-win outcomes eliminate the reasons for continuing or resurrecting the conflict because nothing has been avoided or suppressed. All relevant issues are raised and openly discussed.

The ultimate test for collaboration and a win-win solution is whether or not the conflicting parties see that the solution to the conflict (1) achieves each party's goals, (2) is acceptable to both parties, and (3) establishes a process whereby all parties involved see a responsibility to be open and honest about facts and feelings. When success in each of these areas is achieved, the likelihood of true conflict resolution is greatly increased. However, it is also important to recognize that collaboration and problem solving often take time and consume lots of energy; something to which the parties must be willing to commit. Collaboration and problem solving

may not be feasible if the firm's dominant culture rewards competition too highly and fails to place a value on cooperation.

Check your progress
<ul style="list-style-type: none">• Write direct strategies of conflict resolution.• What is the best strategy to resolve a conflict and why?

5.6 NEGOTIATION

Frequently, an important part of the process of conflict resolution involves negotiations. Negotiations may be viewed as a process in which two or more parties attempt to reach acceptable agreement in a situation characterized by some level of disagreement. In an organizational context, negotiation may occur (1) between two people (as when a manager and subordinate decide on the completion date for a new project the subordinate has just received); (2) within a group (most group decision making situations); (3) between groups (such as the purchasing department and a supplier regarding price, quality, or delivery date), which has been the focus in this chapter; and (4) over the Internet. The Internet now serves as a place to negotiate jobs, consulting projects, training program prices, and supplier product prices. The one difference in negotiating on the Internet is that it is done with written communication only. Many of the skills discussed in this section apply to both face-to-face negotiations and Internet transactions.

5.6.1 NEGOTIATION GOALS AND OUTCOMES

Two important goals must be considered in any negotiation: substance goals and relationship goals. *Substance goals* deal with outcomes that relate to the –contentl issues under negotiation. The dollar amount of a wage agreement in a collective bargaining situation is one example. Relationship goals deal with outcomes that relate to how well people involved in the negotiation and any constituencies they may represent are able to work with one another once the process is concluded. An example is the ability of union members and management representatives to work together effectively after a contract dispute has been settled.

Unfortunately, many negotiations result in damaged relationships because the negotiating parties become preoccupied with substance goals and self-interests. In contrast, **effective**

negotiation occurs when substance issues are resolved and working relationships are maintained or even improved. Three criteria for effective negotiation are:

- *Quality*: The negotiation results offer a –quality| agreement that is wise and satisfactory to all sides.
- *Harmony*: The negotiation is –harmonious| and fosters rather than inhibits good interpersonal relations.
- *Efficiency*: The negotiation is –efficient| and no more time consuming or costly than absolutely necessary.

5.7 ETHICAL ASPECTS OF NEGOTIATION

Managers and others involved in negotiations should strive for high ethical standards of conduct, but this goal can get sidetracked by an overemphasis on self-interests. The motivation to behave ethically in negotiations is put to the test by each party's desire to –get more| than the other from the negotiation and/or by a belief that there are insufficient resources to satisfy all parties. After the heat of negotiations dies down, the parties involved often try to rationalize or explain away questionable ethics as unavoidable, harmless, or justified. Such after-the-fact rationalizations may be offset by long-run negative consequences, such as not being able to achieve one's wishes again the next time. At the very least the unethical party may be the target of revenge tactics by those who were disadvantaged. Furthermore, once some people have behaved unethically in one situation, they may become entrapped by such behavior and prone to display it again in the future.

5.8 ORGANIZATIONAL SETTINGS FOR NEGOTIATION

Managers and team leaders should be prepared to participate in at least four major action settings for negotiations. In *two-party negotiation* the manager negotiates directly with one other person. In a *group negotiation* the manager is part of a team or group whose members are negotiating to arrive at a common decision. In an *intergroup negotiation* the manager is part of a group that is negotiating with another group to arrive at a decision regarding a problem or situation affecting both. And in a *constituency negotiation* each party represents a broader constituency, for example, representatives of management and labor negotiating a collective bargaining agreement.

5.9 NEGOTIATION STRATEGIES

When we think about negotiating for something, perhaps cars and salaries are the first things that pop into mind. But in organizations, managers and workers alike are constantly

negotiating over not only just pay and raises, but also such things as work goals or preferences and access to any variety of scarce resources. These resources may be money, time, people, facilities, equipment, and so on. In all such cases the general approach to, or strategy for, the negotiation can have a major influence on its outcomes. In OB we generally talk about two broad approaches-distributive and integrative.

In **distributive negotiation** the focus is on –positions| staked out or declared by conflicting parties. Each party is trying to claim certain portions of the available –pie| whose overall size is considered fixed. In **integrative negotiation**, sometimes called *principled negotiation*, the focus is on the –merits| of the issues. Everyone involved tries to enlarge the available pie and find mutually agreed-upon ways of distributing it, rather than stake claims to certain portions of it. Think of the conversations you overhear and are part of in team situations. The notion of –my way or the highway| is analogous to distribution negotiation; –let’s find a way to make this work for both of us| is more akin to integrative negotiation

591 **Distributive Negotiation:** In distributive bargaining approaches, the participants would each ask this question: –Who is going to get this resource?| This question frames the negotiation as a –win-lose| episode that will have a major impact on how parties approach the negotiation process and the outcomes that may be achieved. A case of distributive negotiation usually unfolds in one of two directions, with neither one nor the other yielding optimal results.

“Hard” *distributive negotiation* takes place when each party holds out to get its own way. This leads to competition, whereby each party seeks dominance over the other and tries to maximize self-interests. The hard approach may lead to a win-lose outcome in which one party dominates and gains. Or it can lead to an impasse.

“Soft” *distributive negotiation*, in contrast, takes place when one party is willing to make concessions to the other to get things over with. In this case one party tries to find ways to meet the other’s desires. A soft approach leads to accommodation, in which one party gives in to the other, or to compromise, in which each party gives up something of value in order to reach agreement. In either case at least some latent dissatisfaction is likely to develop. Even when the soft approach results in compromise (e.g., splitting the difference between the initial positions equally), dissatisfaction may exist since each party is still deprived of what it originally wanted.

592 **Integrative Negotiation:** In the integrative approach to negotiation, participants begin by asking not –Who’s going to get this resource?| but –How can the resource best be used?| The latter question is much less confrontational than the former, and it permits a broader range of alternatives to be considered in the negotiation process. From the outset there is much more of a –win-win| orientation.

At one extreme, integrative negotiation may involve selective avoidance, in which both parties realize that there are more important things on which to focus their time and attention. The time, energy, and effort needed to negotiate may not be worth the rewards. Compromise can also play a role in the integrative approach, but it must have an enduring basis. This is most likely to occur when the compromise involves each party giving up something of perceived lesser personal value to gain something of greater value. For instance, in the classic two-party bargaining case over salary, both the graduate and the recruiter could expand the negotiation to include the starting date of the job. Because it will be a year before the candidate’s first vacation, she may be willing to take a little less money if she can start a few weeks later. Finally, integrative negotiation may involve true collaboration. In this case, the negotiating parties engage in problem solving to arrive at a mutual agreement that maximizes benefits to each.

5.10 HOW TO GAIN INTEGRATIVE AGREEMENTS

Underlying the integrative or principled approach is a willingness to negotiate based on the merits of the situation. The foundations for gaining truly integrative agreements can be described as supportive attitudes, constructive behaviors, and good information.

Attitudinal Foundations There are three attitudinal foundations of integrative agreements. First, each party must approach the negotiation with a *willingness to trust* the other party. This is a reason why ethics and maintaining relationships are so important in negotiations. Second, each party must convey a *willingness to share* information with the other party. Without shared information, effective problem solving is unlikely to occur. Third, each party must show a *willingness to ask concrete questions* of the other party. This further facilitates information sharing.

Behavioral Foundations During a negotiation all behavior is important for both its actual impact and the impressions it leaves behind. Accordingly, the following behavioral

foundations of integrative agreements must be carefully considered and included in any negotiator's repertoire of skills and capabilities:

- Separate people from the problem.
- Don't allow emotional considerations to affect the negotiation.
- Focus on interests rather than positions.
- Avoid premature judgments.
- Keep the identification of alternatives separate from their evaluation.
- Judge possible agreements by set criteria or standards.

Information Foundations The information foundations of integrative agreements are substantial. They involve each party becoming familiar with the BATNA, or –best alternative to a negotiated agreement. That is, each party must know what he or she will do if an agreement cannot be reached. This requires that both negotiating parties identify and understand their personal interests in the situation. They must know what is really important to them in the case at hand, and they must come to understand the relative importance of the other party's interests. As difficult as it may seem, each party must achieve an understanding of what the other party values, even to the point of determining its BATNA.

5.11 COMMON NEGOTIATION PITFALLS

The negotiation process is admittedly complex on ethical, cultural, and many other grounds. It is further characterized by all the possible confusions of complex, and sometimes even volatile interpersonal and team dynamics. Accordingly, negotiators need to guard against some common negotiation pitfalls when acting individually and in teams.

The **first** pitfall is the tendency in negotiation to stake out your position based on the assumption that in order to gain your way, something must be subtracted from the gains of the other party. This *myth of the fixed pie* is a purely distributive approach to negotiation. The whole concept of integrative negotiation is based on the premise that the pie can sometimes be expanded or used to the maximum advantage of all parties, not just one.

Second, because parties to negotiations often begin by stating extreme demands, the possibility of *escalating commitment* is high. That is, once demands have been stated, people become committed to them and are reluctant to back down. Concerns for protecting one's ego and saving face may lead to the irrational escalation of a conflict. Self-discipline is needed to spot this tendency in one's own behavior as well as in the behavior of others.

Third, negotiators often develop *overconfidence* that their positions are the only correct ones. This can lead them to ignore the other party's needs. In some cases negotiators completely fail to see merits in the other party's position-merits that an outside observer would be sure to spot. Such overconfidence makes it harder to reach a positive common agreement.

Fourth, communication problems can cause difficulties during a negotiation. It has been said that –negotiation is the process of communicating back and forth for the purpose of reaching a joint decision.‖ This process can break down because of a *telling problem*-the parties don't really talk to each other, at least not in the sense of making themselves truly understood. It can also be damaged by a *hearing problem*-the parties are unable or unwilling to listen well enough to understand what the other is saying. Indeed, positive negotiation is most likely when each party engages in active listening and frequently asks questions to clarify what the other is saying. Each party occasionally needs to –stand in the other party's shoes‖ and to view the situation from the other's perspective.

5.12 RESISTANCE TO CHANGE

In organizations, resistance to change is any attitude or behavior that indicates unwillingness to make or support a desired alteration. Leaders often view any resistance as something that must be –overcome‖ in order for change to be successful. This is not always the case, however. It is helpful to view resistance to change as feedback that the leader can use to facilitate gaining change objectives. The essence of this constructive approach to resistance is to recognize that when people resist change, they are defending something that is important to them that appears to be threatened.

5.12.1 WHY EMPLOYEES RESIST CHANGE

Change management experts have developed a long list of reasons why people resist change. Some people inherently oppose change because of their personality and values. Aside from these dispositional factors, employees typically oppose organizational change because they lack sufficient motivation, ability, role clarity, or situational support to change their attitudes, decisions, and behavior. In other words, an employee's readiness for change depends on all four elements of the MARS model. These MARS elements are the foundation of the six most commonly cited reasons why people resist change: (1) negative valence of change, (2) fear of

the unknown, (3) not-invented-here syndrome, (4) breaking routines, (5) incongruent team dynamics, and (6) incongruent organizational systems and structures.

(1) Negative Valence of Change Employees tend to resist change when they believe the new situation will have more negative than positive outcomes. In other words, they apply (although imperfectly) the rational choice decision-making model to estimate whether the change will make them better or worse off. This cost–benefit analysis mainly considers how the change will affect them personally. However, resistance also increases when employees believe the change will do more harm than good to the team, organization, or society.

(2) Fear of the Unknown Organizational change usually has a degree of uncertainty, and employees tend to assume the worst when they are unsure whether the change will have good or bad outcomes. Uncertainty is also associated with lack of personal control, which is another source of negative emotions. Consequently, the uncertainty of organizational change is usually considered less desirable than the relative certainty of the status quo. This condition shifts the cost–benefit calculation of the change even further into negative territory.

(3) Not-Invented-Here Syndrome Employees sometimes oppose or even discreetly undermine organizational change initiatives that originate elsewhere. This –not-invented-here syndrome is most apparent among employees who are usually responsible for the knowledge or initiative. For example, information technology staff are more likely to resist implementing new technology championed by marketing or finance employees. If the IT staff support the change, they are implicitly acknowledging another group’s superiority within IT’s own area of expertise. To protect their self-worth, some employees deliberately inflate problems with changes that they did not initiate, just to –prove that those ideas were not superior to their own. As one consultant warned: –Unless they’re scared enough to listen, they’ll never forgive you for being right and for knowing something they don’t.¶

(4) Breaking Routines People are creatures of habit. They typically resist initiatives that require them to break those automated routines and to learn new role patterns. And unless the new patterns of behavior are strongly supported and reinforced, employees tend to revert to their past routines and habits. –When you are leading for growth, you know you are going to disrupt comfortable routines and ask for new behavior, new priorities, new skills,¶ says Ray Davis, executive chair of Oregon-based Umpqua Bank, which is regarded as one of America’s most innovative financial institutions. –Even when we want to change, and do change, we tend to relax and the rubber band snaps us back into our comfort zones.¶

(5) Incongruent Team Dynamics Teams develop and enforce conformity to a set of norms that guide behavior. However, conformity to existing team norms may discourage employees from accepting organizational change. For instance, organizational initiatives to improve customer service may be thwarted by team norms that discourage the extra effort expected to serve customers at this higher standard.

(6) Incongruent Organizational Systems Rewards, information systems, patterns of authority, career paths, selection criteria, and other systems and structures are both friends and foes of organizational change. When properly aligned, they reinforce desired behaviors. When misaligned, they pull people back into their old attitudes and behavior. Even enthusiastic employees lose momentum after failing to overcome the structural confines of the past.

5.13 OVERCOMING RESISTANCE TO CHANGE

Resistance to change needs to be overcome. Change will become dysfunctional if resistance is not properly handled. Without full or at least adequate acceptance of everyone concerned successful implementation of the change does not occur. How do you successfully deal with resistance or control it? There are several useful strategies or ways for overcoming resistance to change and they are given below.

1. Education

Education contains training and communication. Every employee needs to be educated about the nature of the change, its rationale, its benefits, and the way of implementing it. Relevant knowledge, skills and positive attitude can be imparted to everyone who is supposed to understand and support the change. Workshops, meetings, sending employees to participate in outside programmes and self study manuals are some methods which can be used for the purpose of education about the change. Proper training will address to the problem of obsolescence of competencies of the employees. Proper exchange of information needs to be done from those who initiate and implement the change (change agents) to those who are affected by the change and vice versa. As a result barriers such as fear of unknown, fear of loss, and fear of failure can be removed even though it takes a considerable time.

2. Participation

When people who are affected by organizational change are allowed to involve in the design and implementation of the change, resistance to change can be avoided or at least minimised. It is well established that people who participate in making a decision tend to be more

committed to the outcomes of the decision than those who are not involved. Owing to participation, employees have an opportunity to understand and clarify the change, and contribute ideas and comments. Consequently they become an integral part of the change process and they will not want to see unsucccess of the change resulting in increasing their commitment to implement it successfully. People may not enjoy change really. But if they participate in it, it is more likely that change becomes a positive experience to them.

3. Use of Rewards

People who accept the change and support it should be rewarded. Rewards include praise, recognition, feedback, promotion and even monetary incentives. Rewarding employees for behaving in the way that is intended is an effective way of facilitating change. This is specially critical when an organization is in the transition period of introducing the change. An example is praising an employee who learns successfully to use a new equipment. Another example is to give feedback to an employee that will provide an assurance to uncertainty and help to shape the desired behaviour. It is possible that rewarding those who support change shapes the attitudes and behaviour of those who resist.

4. Use of Punishments

People who reject the change and engage in sabotage it should be punished. Punishments include oral warning, written warning, fining, transferring, demoting and the like. This strategy involves explicit and implicit coercion which forces people to accept change under threat of undesirable consequences (punishments). Punishing employees for behaving in the way that is not intended may be an effective way of making change (which needs to be done within a short time) happen. Though quick and effective in the short run, it might rouse the anger of people and provoke them to resort to mean behaviour in the long run.

5. Negotiation

When a certain individual or group who will exert power is against the change (due to a serious disadvantage), negotiation is a good strategy. Through negotiation it is possible to reach an acceptable agreement between the party that is at the disadvantage due to the change and the party that wants to do the change. Usually it necessitates to offer some kind of incentives or special benefits to the party at disadvantage in order to stop the resistance.

6. Leadership

A manager who possesses strong leadership traits is able to use personal reasons for change without arousing resentment within followers. Right leadership is respected and admired by followers. Rather than using legitimate power a manager can use his or her excellent moral and leadership qualities to impress people for change. A climate where followers not only accept change but also have willingness to propose changes can be created.

7. Top Management Support

Top management of the organization can provide technical, facilitative and emotional supports to employees who have adjustment problem to the proposed change. Technical support is an attempt to remove barriers relating to a technical change, and it can include providing the appropriate tools and materials, giving technical advice, imparting technical training etc. Facilitative support is removing structural blocks and it includes creating an environment for establishing clear goals, defining and redefining jobs, appropriate delegation of authority etc. Emotional support is psychological assistance and it can include empathic listening, helps to manage stress and developing new relationships. Though this strategy is time consuming and expensive it is effective as it involves top management.

8. Identification and Neutralization of Change Resisters

As an important strategy it needs doing identification and neutralization of change resisters. Owing to fear of unknown, fear of failure, fear of loss and other reasons there are resisters who need to be identified clearly and their resistance needs to be prevented from having any effect to disturb. An offhand remark about change that expresses concerns and fears about impending change can be contagious, sending fear into the workplace. It is possible for people who promote organizational change to counteract change resisters. Resisters make various statements which reflect resistance to change and these statements may get spreading throughout the organization. Without being delay these statements should be countered.

Table 5.1 presents several statements that reflect a fear of change and ways of responding to them.

WHEN THEY SAY	YOU SHOULD COUNTER BY SAYING
1. That seems risky.	1. Yes, but the risk is worth taking. After all, it is even riskier to do nothing.
2. Let's get back to basics.	2. The world has changed so much that what once seemed appropriate because it was "basic" no longer works today.
3. It worked in the past.	3. May be so, but as conditions have changed, there is reason to consider a new approach.
4. Things are okay as they are.	4. Possibly, but unless we take action, things are unlikely to be okay in the future.
5. I don't see any threat.	5. There's always a threat. Just because you don't see any compelling threat it doesn't mean that one doesn't exist.
6. That's not our core competence.	6. Just because a particular area was used to be an organization's core competence it doesn't mean that it should stay that way.
7. The numbers don't work.	7. In the new Internet-based economy, new rules of accounting may be considered.
8. Once we start down that road, we can never go back.	8. Don't be afraid of relinquishing control. Anything that doesn't work can be stopped.
9. There will be unforeseen consequences.	9. This is always the case. In fact, that is precisely why it is necessary to consider making changes.

Table 5.1: Ways of Responding to Change Resisters; Source: Adapted from Greenberg and Baron (2007)

9. Creation of a 'Learning Organization'

It is important to develop a capacity at organizational level to adapt and change continuously. At every level of the organization, employees are supposed to set aside old ways of thinking, engage freely in sharing new ideas with others, and work towards achieving the mission and vision. To develop the continuous capacity to adapt and change, a learning organization needs to be created. A learning organization is an organization that is successful at acquiring, cultivating, and applying knowledge that can be used to help it adapt to changes. Top management's commitment to change, adoption of an informal organizational structure and developing an open organizational culture which embraces risk taking, openness, and growth are three steps to be taken by management to make the organization become a continual learner.

10. Creating a Culture for Innovation

Innovation is generating or adding a new thing which is useful by utilizing a new idea or a set of new ideas. New thing may be a new good or a service. Or it may be a new policy or a procedure. Innovation is a new idea applied to initiating or improving a product, process, or service. It can be viewed as a process by which an organization uses new ideas and resources to develop new products and operation systems so that it can better respond to the customers' needs. It is important for an organization to do the following so as to create a culture for innovation:

- a. Encourage all employees to do experimentation.
- b. Give autonomy to employees and encourage them to use organizational resources to facilitate the continuous development of new processes and products.
- c. Recognize and reward successes of employees by linking rewards directly to performance.
- d. Ensure that there are no penalties for failures which will extinguish risk taking and innovation.

Read the following vignette. Is there an appropriate reward system to promote innovation in the organization?

A large firm manufacturing toys engages in promoting innovation through a reward system. Creative behaviour and every successful innovation are rewarded. Managers are required to be very careful in responding to innovative failure. The firm withholds pay raises or reducing promotion opportunities to those who make innovative failures due to incompetence, systematic errors, or sloppiness. Those who act in good faith to develop an innovation that simply does not work out is not penalized for failure.

Yes. The organization has an appropriate reward system because it rewards creative behaviour, it does not punish employees who act in good faith to develop an innovation that simply does not work out, and it punishes those who make innovative failures owing to incompetence, systematic errors, or sloppiness. A good reward system will encourage employees to take risks and make successful innovations.

Read the following vignette. Is William a change leader?

William is the Head of a department of a large firm. He is a hard working person and a smart working person as well. He has been working for the department for two years and indeed under his leadership the department progressed very well. His perspectives and behaviours in his job included the following:

- Adopted improved procedures and rules for doing his job.
- Brought about improved procedures and rules for the department by eliminating redundant procedures.
- Corrected several faulty practices.
- Implemented solutions to pressing organizational problems.
- Introduced a new structure to improve efficiency.
- Formed and empowered three groups to make constructive suggestions for improving how things operate within the department.

Yes. William is indeed a change leader. He can be seen as a change initiator and he took charge of change in the department.

Check your progress

Write different sources of conflict resolution in organizations?

Define resistance to change.

Describe various reasons why people resist change.

What are the various strategies for overcoming resistance to change?

5.14 LETS SUM UP

Conflicts are inevitable. They are part of all relationships between individuals who work together. There are several reasons that conflict may arise during supervision. Some of those reasons are a difference in personalities, learning styles, values and expectations, a lack of knowledge, and so forth. Conflict and stress have important implications for understanding, modifying, and controlling human behavior at work. In the current unit various types and classifications of conflict have been discussed. Also various strategies to resolve these conflicts have been delineated. Several negotiation strategies have been detailed. Ways to overcome resistance to change are also well explained. In brief, workplace conflict is understood as a stressful and unpleasant but inevitable part of human work life.

5.15 KEYWORDS

Conflict: Conflict is when two people or groups disagree, and the disagreement causes friction

Conflict resolution: A situation in which the underlying reasons for a given destructive conflict are eliminated. Effective resolution begins with a diagnosis of the stage to which conflict has developed and recognition of the cause(s) of the conflict.

Negotiation: Negotiation is a process in which two or more parties exchange goods or services and attempt to agree on the exchange rate for them. In an organizational context, negotiations may take place between two people, within a group, between groups and over the Internet.

Distributive Negotiation: it focuses on positions staked out or declared by the conflicting parties. Parties try to claim certain portions of the existing pie. The key questions is: –Who is going to get this resource?||

Integrative Negotiation: Sometimes called principled negotiation. It focuses on the merits of the issues. Parties try to enlarge the available pie. The key questions is: –How can the resource best be utilized?||

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5.17 QUESTIONS FOR PRACTICE

1. How can we overcome resistance to change?
2. Discuss the common negotiation pitfalls.
3. How can integrative agreements be gained?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

SKILL ENHANCEMENT COURSE: ENHANCING HAPPINESS AT WORKPLACE

UNIT 6: MAINTAINING WORK LIFE BALANCE

STRUCTURE

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6.0 INTRODUCTION

Work-life balance (WLB) refers to the equilibrium between one's personal life and professional life/career/work. Work-life balance is very important among employee and employers in organizations. In today's competitive business environment, working people are facing more significant challenges in balancing their work and family responsibilities. The typical employee in the 1960s or 1970s showed up at a specified workplace Monday through Friday and worked for clearly defined 8-or 9-hours. That's no longer true for a large segment of today's workforce. Employees are increasingly complaining that the line between work and non-work time has become blurred, creating personal conflicts and stress. In this sense, some researchers argue that, technological advancement leads to less work-life conflict by allowing them working from multiple locations, including the home through e-mails and other electronic communication methods. On other hand, Robbins and Judge (2013) have explained that communication technology allows many technical and professional employees to do their work at home, in their cars and other places which away from their workplace. Hence, it is extremely difficult to get away from their jobs. Nowadays, organizations are asking employees to put in longer hours to reach their goals and objectives. Further, creation of global organizations led to the world that never sleeps. Thus, work-life conflict is considered as a contemporary issue in today's world and led to several social conflicts.

Hence, employees are forced to search for a job where they can balance their work and family responsibilities to ensure good quality life. Recent studies suggest that employees want jobs that give them flexibility in their work schedules so they can better manage work-life conflicts. Nowadays, employees are seriously concerned about their work-life balance before accepting the job offer beyond the salary and other fringe benefits. Also employees do not show interest in working beyond their home town in order to eliminate the work-life conflict. Thus, organizations also increasingly required to focus work-life balance (WLB) of their employees to unleash the employees as well as organizational performance to ensure the

competitive advantage. Any organization is aiming to increase competitive advantage needs to develop an approach to human resource and work-life balance strategies that cater for the diverse needs of the workforce. In order to respond this issue, managers are paying a great attention on designing workplaces and jobs that can help employees deal with work-life conflicts. Thus, organizations today offer a range of work-life and work-family programmes and benefits such as job sharing, work flexibility and on-site child-care designed to reduce the stress associated with balancing multiple roles.

Many scholars have conducted research studies regarding work-life balance and organizational dynamics. Researchers argued that, an organization's performance directly depends on the individuals it employs. As an organization's competitive advantage is typically based on strong human resources, it is crucial for organizations to improve employee performance to enrich the overall organizational performance. Hence, organizations seriously focus on enhancing positive work related attitudes (eg: job satisfaction, organizational commitment) and work related behaviors (eg: OCB, work engagement) to unleash the job performance of employees.

In this context, several researchers argued that it is possible to enhance the positive work-related attitudes and behaviors among employees through the work-life balance promoting HRM practices such as telecommuting, job sharing, flextime, etc. Organizations with more satisfied employees tend to be more effective. For many companies, work-life balance seems to lead to several positive outcomes such, low turnover, less absenteeism higher work engagement, OCB, in-role performance, increased employee productivity, job satisfaction, organizational commitment etc. which in turn lead to higher profitability, better financial performance. Wheatly (2012) indicate that work-life balance of employees is a win-win situation for both employer and employees.

In 1998, *Management Today* conducted their first 'Work life Survey'. Results of the survey found that although for many, work remained a high source of satisfaction; it wasn't going too well for Britain's managers. The price of a satisfying career can be high with 84 per cent admitting to making important personal sacrifices in pursuit of their career. Using the original 1998 survey as a benchmark, *Management Today* undertook a second survey in 2001. Results of the survey showed evidence that the long-hours culture is leveling off and even improving, but that cutting back on office hours and even introducing flexible working schedules is not having the expected effect on relieving pressure and improving the sense of balance. Three-quarters of respondents report that their workload pressure has increased over the past three

years and the number of managers who feel they have been forced to put work before family life is slightly up.

Thevanes and Arulrajah (2017) have identified work-life balance promoting practices as a one of the sustainable HRM practices which equally contributes to economic, social and environmental performance of the organizations. In this sense, for the employees who work in the home town, the work-life conflict is much less than the others whose work site is far away from home. An employee has the privilege of spending more time with his family and easily fulfills his/her family commitments. So the employees become a vibrant team of happy and committed individuals driving the organizations towards sustainable growth. In addition to that, Robbins and Judge (2013) revealed that organizations that don't help their people achieve work-life balance will find it increasingly difficult to attract and retain the most capable and motivated employees. Hence, organizations should give more priority to enhance the work-life balance of employees to create the satisfied, committed and retained workforce to enrich the organizational performance.

In this unit we will discuss about the importance of work life balance. Various factors affecting work-life balance will be detailed and several strategies of managing work-life balance will be discussed. Lastly, various strategies to effectively manage work-related stress will be discussed.

6.1 OBJECTIVES

After completing this unit, you should be able to:

- Understand the concept of work-life balance
- Explain the Importance of work life balance
- Know about the factors affecting Work-Life Balance
- Be aware of various ways of managing a healthy work-life balance
- Know the strategies to effectively manage Work-Related Stress

6.2 IMPORTANCE OF WORK LIFE BALANCE

6.2.1 Work life balance means less stress

Workplace stress is the biggest cause of poor wellbeing of employees. Additionally, majority of employees identify their jobs as their #1 source of stress. The biggest problem is that most people think they have no choice. But that's not really true. Remember that work life balance

is ultimately created through your choices. That's also what's causing much of one's stress. By agreeing to take on more work when one doesn't have the capacity or not delegating work that could be delegated, one is creating more stress for oneself.

Here are the choices that one could start making for oneself to relieve a lot of his/her stress and anxiety:

- Saying no to things that aren't priorities.
- Delegating as much as can be delegated.
- Choosing to do things that are priorities (and letting go of non-priorities).
- Prioritizing your own wellbeing.

The end result is a more manageable workload and more time doing the things that are important to you. That's going to greatly decrease one's stress and anxiety levels.

6.2.2 Work life balance will improve one's mental health

One of the biggest reasons why work life balance is important is that it relates to one's mental health. When one feels balanced one is more capable of dealing with negative emotions and thoughts. The human brain isn't meant to feel stressed-out and under pressure all the time. Creating more balance in one's life gives one breathing space to think, which allows one's subconscious thoughts to bubble up to the surface. That helps one to better understand one's feelings, know one's thoughts, and actually deal with them (instead of allowing them to stay pent up within, ready to blow up at the most inopportune moment).

6.2.3 Work life balance means better physical health

Part of creating balance for oneself includes taking care of one's physical health. And yes, that includes things like:

- Eating healthy meals,
- Reducing sugar and alcohol intake,
- Healthy sleep habits,
- Regular exercise.

But there's actually more to it than that. If we look at most professionals, they are chained to a desk most of the day and glued to their couch at night because of how exhausted and stressed they are (while drinking a glass or two of wine to take the edge off). That means that they're rarely moving, often sitting and almost never outside. And they're coping by using alcohol (which upon occasion isn't a big deal but isn't a healthy way to cope with stress). **The simple fact is that human beings aren't meant to sit so much. Nor are they meant to be**

cooped up indoors. They're meant to stand, move and get outdoors. That means that achieving balance includes more movement and outdoor activity. Physical activity (especially when you get your heart rate up) and spending time outdoors generates endorphins, which are hormones that make you feel more positive and good about oneself. Doing this also helps one sleep better, give them more energy, and will give them a more positive outlook.

6.2.4 A balanced lifestyle enhances one's ability to be present

One of the biggest complaints most employees have is their inability to be present both at home and at work and it looks like this:

- Their mind feels like it's always —on, racing and cluttered with thoughts that can sometimes be difficult to decipher.
- Always thinking about work when with family and friends (which then leads them to constantly check email).
- Worrying about what's going on in their personal life when trying to work (such as their overflowing laundry, the fight they had with their spouse that morning or how guilty they feel about not making it to their child's piano recital the other night).

The good news is that human brain can be trained to be more present and calm through consistent practice of specific mindfulness practices. Doing this is the part of how one can create a balanced life. Mindful awareness will help one to be more attuned to people's emotions and feelings; better at responding to people intuitively (which will positively affect one's relationships with family, friends, colleagues, and even clients); and aware of the good around you (and not just focused on the bad).

6.2.5 Work life balance improves one's relationships

Working too much means less time with those one loves. It's pretty difficult to be present and give one's full attention to one's loved ones when exhausted and overwhelmed. **A balanced lifestyle means there should be equilibrium between the time given to one's profession and the time given to one's family and friends.** Connecting with and relating to people isn't happening enough these days. People are too busy (and allowing technology to get in the way of real human connection). **Having a balanced lifestyle means developing deep connections with other people (and not just family, but colleagues and friends**

too). One derives more purpose from these connections and also feels more connected to his/her work (in a meaningful way).

626 A Balanced Lifestyle Increases Engagement at Work

When employees are happy and feel motivated by their job, they're more likely to be loyal and engaged. Being engaged is about feeling committed to something that one is doing or task at hand. Engaged employees are involved in, enthusiastic about and committed to their work. Many employers falsely believe that engagement is created through pressure or incentives. Although this might work (a little) in the short-term, it ultimately creates stress, anxiety, and resentment. That's not exactly a recipe for long-term engagement or morale. **A less stressed, mentally and physically healthy employee who feels connected to co-workers is more likely to be motivated to work harder. And that increased motivation means that one is going to perform at a higher level and be more engaged.** Even better is that increased engagement results in better workplace morale, more accountability and better communication.

627 Work Life Balance Increases Creative Thinking

Our brain needs space to think. It's not meant to be constantly bombarded by people, social media, email, phone calls, and texts. And we also NEED space for clear, creative thinking. Ever wrack your brain on a problem and feel stuck because no answer comes? Yet an answer magically appears (and you can't believe you didn't see it sooner) quickly after you let go of worrying about it? The same things happens when you have an unhealthy work life balance. **When you're stressed, overwhelmed and/or anxious, you have no capacity to think creatively. But with balance comes clear, creative thinking. And that means better work product too!**

628 Balance Makes one More Productive

Everyone wants to be more productive. The thing that WILL make one more productive is a better work life balance. With a healthy work-life balance one feels better (both physically and mentally), be more focused and present, and able to think more calmly, clearly, and creatively. Plus, one is more motivated to work hard. Also, **one is more likely to perform at a higher level because of one's balanced lifestyle.**

629 Real Balance Brings Happiness and Fulfillment

One of the big reasons why work life balance is important (even imperative) is for one's own happiness and fulfillment. Balance is about feeling good about oneself and being in control of one's life and career path (both keys to creating happiness for oneself and bringing real meaning to one's life). Think about the reasons listed above about why work life balance is important. Most (if not all) of them will make you feel more positive, happy and fulfilled.

6210 Work Life Balance Brings Higher Levels of Success

If career success is important to an individual (and one believes that balance is synonymous with settling and anathema to success), then there is good news because. . . Work life balance will make one more (not less) successful. There's a misconception that balance doesn't work for those who want to be successful. But that's just not true (and it's based on a common misconception that work life balance is about settling for less). Work life balance is about creating a life of success on ONE'S OWN TERMS by: prioritizing and focusing on what's most important to oneself; ensuring one's own well-being (thereby enabling oneself to serve others to the best of one's ability); and being in control of one's own life. Besides, a balanced lifestyle makes one more well-rounded, a more creative thinker and more productive. And that means that one will have more ability for success in both one's personal and professional life.

6.3 FACTORS AFFECTING WORK-LIFE BALANCE

6.3.1 The Balance Theory and Work-Life Balance

In general, the balance theory, a theory originated from the work of Fritz Heider (1946), posits that if people see a set of cognitive elements as being a system, then they will have a preference to maintain a balanced state among these elements. From the perspective of most employees, they would see that their paid work and all important aspects of their life, such as family, community activities, voluntary work, personal development, leisure and recreation, as a set of cognitive elements that must be in the state of balanced, and thus need to be managed effectively. In other words, there is a need for these employees to maintain work-life balance, otherwise both their performance at work and everywhere else will be jeopardized. However, maintaining work-life balance is not easy, especially if the individuals (i.e. employees) do not have the capacity to do it effectively and the organizations that they work for do nothing to

help them. Hence, there is a need to determine factors that could help employees maintain their work-life balance.

Previous studies have shown that there are many factors that could affect work-life balance. Some of the factors that have been shown to have a positive relationship with work-life balance include job satisfaction; and telework. On the other hand, some factors were found to have a negative impact on work-life balance, for example work overload, and job demands. Indeed there are many factors that have been said to affect work-life balance, but there are still many more that need to be discovered.

6.3.2 Emotional Intelligence and Work-Life Balance

One factor that has been discussed to have an effect on work-life balance is an individual's emotional intelligence. According to Thorndike (1920), having emotional intelligence means the ability to understand and manage people and to act wisely in human relations. In agreement, Mayer and Salovey (1997) indicated that emotional intelligence is –the ability to perceive emotions, to access and generate emotions so as to assist thoughts, to understand emotions and emotional knowledge, and to reflectively regulate emotions so as to promote emotional and intellectual growth. It is important to have emotional intelligence in balancing one's work-life because it enables one's thinking and actions deal with anything with a measure of balance, maturity and also retain a positive viewpoint almost all the time.

However, thus far only a couple of empirical study has been conducted to link emotional intelligence and work-life balance. One study was conducted by JothiSree and Jyothi (2012), and they found that emotional intelligence plays an important role for women employees who are trying to achieve a good work-life balance. Similar findings were also reported by Ramanithilagam and Ramanigopal (2012) in their study which was conducted in India. Therefore, it is important to highlight here that emotional intelligence could be a very important factor in maintaining work-life balance.

6.3.3 Spiritual Intelligence and Work-Life Balance

Another individual factor that have been said to influence individual's work-life balance is spiritual intelligence. Spiritual intelligence is one of the new concepts of intelligence which helps a person solve problems. Spiritual intelligence has many effects on human life, especially at his workplace and at home. Emmons (2000) defined spiritual intelligence as –the adaptive use of spiritual information to facilitate everyday problem solving and goal attainment. According to Emmons (2000), having spiritual intelligence means one has the ability to transcend the physical and material, experience heightened states of consciousness,

sanctify everyday experience, and utilize spiritual resources to solve problems. Though it has not been proven that spiritual intelligence has a significant relationship with work-life balance, it is an important factor that affects the quality of life, which directly affect work-life balance. In essence, people with higher spiritual intelligence experienced higher states of consciousness, and therefore are more able to use their intellectual resources to solve problems, and in this case the problem of work-life imbalance can be solved. Spiritual intelligence is important for work-life balance because spiritual intelligence motivates people to balance their work schedules, so that they can spend time with their family. In addition to that, by using spiritual intelligence, employees will be able to change stress into positive power and also spiritual intelligence also allows them to be present in the moment free of anger, resentment, worry, and fear.

6.3.4 Job Engagement and Work-Life Balance

Another factor that could affect work-life balance is job engagement. Engagement is the state in which individuals are emotionally and intellectually committed to the organization as measured by three primary behaviors such as say, stay and strive. Schaufeli, Salanova, Gonzalez-Roma, and Bakker, (2002) specifically define job engagement as a positive, fulfilling work-related state of mind that is characterized by vigor, dedication, and absorption. Indeed, job engagement has a positive impact on work performance because engaged employees are fully involved in day-to-day work and able to perform better in their job, and this premise is supported by previous research which found significant positive relationship between job engagement and employee performance. However, the relationship between job engagement and work-life balance could be rather tricky, and thus research that links this two variables are still limited.

This study argued that job engagement could affect employees' work-life balance. There are previous study support that, there is a significant relationship between employee job engagement and work-life balance. In general, these studies argued that work-life balance has a significant influence on job engagement, and not the other way around. It is important to highlight that highly engaged employees are vigorous, dedicated and absorbed employees. It is most likely that highly engaged employees in their work will able to manage a good work-life balance. It is because the people are expected to be dedicated employees who are highly involved in their work and committed to their profession. When this happen, work-life balance could be increase.

6.3.5 Organizational Support and Work-Life Balance

Work-life balance is not only the responsibility of the employees, but also of the employers. Organizations also must take care of their employees by helping them maintaining a healthy balance between their personal and professional life. In other words, organizational must provide the needed support for the employees to maintain work-life balance. Organizational support is important because providing support means that firms value the contribution of their employees and cares for their employee's wellbeing.

Organizational support is important in maintaining a good work-life balance. Organizations that did not understand the importance of work-life balance might abuse their employees' hard work and effort. On the other hand, organizations that care about the well-being of their employees would show support by implementing program and policies that emphasize on work-life balance. Researchers found that such effort have a positive impact on employees work-live balance. Besides that, other literatures have also shown that organizational support has an effect on work-life balance, in which it moderates the relationship between various factors and work-life balance. In short, organizational support was found to play an important role in the regulation and management of work-life balance. In fact, organizational support in the form of work-life balance programmes (i.e. flexible work arrangements and also family leave policies) or initiatives could help employees manage a good balance with their work life and personal life.

6.3.6 Work Overload and Work-Life Balance

Specifically work overload is one of the major factor that was said to influence work-life balance. Work overload describes a perception that one has too much to do. Individual who perceive their workload to be more than they can handle are likely to experience exhaustion and fatigue, which may negatively influence one's motivation to respond to the demands of other domains (i.e. friends and family). Furthermore, experience shows that when employees are overworked they actually do not produce extra output. In fact, when employees were overloaded with work, they often get frustrated that their work-life balance seems to be nonexistent.

6.3.7 Technology Advancement and Work-Life Balance

One of the main reasons for this increasing concern of work-life balance is due to technology advancement which has impact on work and personal lives. Advance technology is good for the workplace because it enables a more flexible approach to when and where to work. However, it is also argued that technology can help and hinder work-life balance by making

work more accessible at all times of the day and night. In support of that, Stephens, McGowan, Stoner, and Robin (2007) also highlighted that connectivity technology is making some lives less flexible and making it harder to maintain work-life balance. This argument is supported by the finding of Stawarz, Cox, Bird, and Benedyk (2013), who found that tablets have negative impacts on work-life balance, and Waller and Ragsdell (2012) who found that e-mail has a negative impact on employees' lives outside of working hours. In short, technological advancement provides flexibility with respect to the timing and location of work, and makes it easier to accommodate both work and family, but it has a negative impact on work-life balance. Therefore, technologies have done more to damage work-life balance than to help it, and this is not so good for the employees.

Check your progress

<p>What do you understand by the term work life balance (WLB)?</p>
--

<p>Why employees' work life balance is important to an organization?</p>
--

<p>What are the factors affecting Work-Life Balance?</p>
--

6.4 MANAGING WORK–LIFE BALANCE

6.4.1 Let go of perfectionism

A lot of overachievers develop perfectionist tendencies at a young age when demands on their time are limited to school, hobbies and maybe an after-school job. It's easier to maintain that perfectionist habit as a kid, but as you grow up, life gets more complicated. As you climb the ladder at work and as your family grows, your responsibilities mushroom. Perfectionism becomes out of reach, and if that habit is left unchecked, it can become destructive, says executive coach Marilyn Puder-York, PhD, who wrote *The Office Survival Guide*.

The key to avoid burning out is to let go of perfectionism, says Puder-York. –As life gets more expanded it's very hard, both neurologically and psychologically, to keep that habit of perfection going, she says, adding that the healthier option is to strive not for perfection, but for excellence.

6.4.2 Unplug

From telecommuting to programs that make work easier, technology has helped our lives in many ways. But it has also created expectations of constant accessibility. The work day never seems to end. –There are times when you should just shut your phone off and enjoy the

moment,^{ll} says Robert Brooks, a professor of psychology at Harvard Medical School and co-author of *The Power of Resilience: Achieving Balance, Confidence and Personal Strength in Your Life*. Brooks says that phone notifications interrupt your off time and inject an undercurrent of stress in your system. So don't text at your kid's soccer game and don't send work emails while you're hanging out with family, Brooks advises. Make quality time true quality time. By not reacting to the updates from work, you will develop a stronger habit of resilience. –Resilient people feel a greater sense of control over their lives,^{ll} says Brooks, while reactive people have less control and are more prone to stress.

6.4.3 Exercise and meditate

Even when we're busy, we make time for the crucial things in life. We eat. We go to the bathroom. We sleep. And yet one of our most crucial needs - exercise - is often the first thing to go when our calendars fill up. Exercise is an effective stress reducer. It pumps feel-good endorphins through your body. It helps lift your mood and can even serve a one-two punch by also putting you in a meditative state, according to the Mayo Clinic.

Puder-York recommends dedicating a few chunks of time each week to self-care, whether it's exercise, yoga or meditation. And if you're really pressed for time, start small with deep breathing exercises during your commute, a quick five minute meditation session morning and night, or replacing drinking alcohol with a healthier form of stress reduction.

These exercises require minor effort but offer major payoffs. Psychotherapist Bryan Robinson, who is also professor emeritus at the University of North Carolina at Charlotte and author of the book *Chained to the Desk*, explains that our autonomic nervous system includes two branches: the sympathetic nervous system (our body's stress response) and the parasympathetic nervous system (our body's rest and digest response). –The key is to find something that you can build into your life that will activate your parasympathetic nervous system,^{ll} says Robinson. Short, meditative exercises like deep breathing or grounding your senses in your present surroundings, are great places to start. The more you do these, the more you activate your parasympathetic nervous system, which –calms everything down, (and) not just in the moment,^{ll} says Robinson. –Over time you start to notice that in your life, your parasympathetic nervous system will start to trump your sympathetic nervous system.^{ll}

6.4.4 Limit time-wasting activities and people

First, identify what's most important in your life. This list will differ for everyone, so make sure it truly reflects your priorities, not someone else's. Next, draw firm boundaries so you can devote quality time to these high-priority people and activities.

From there, it will be easier to determine what needs to be trimmed from the schedule. If email or internet surfing sends you into a time-wasting spiral, establish rules to keep you on task. That may mean turning off email notifications and replying in batches during limited times each day. If you're mindlessly surfing Facebook or cat blogs when you should be getting work done, try using productivity software like Freedom, LeechBlock or RescueTime. And if you find your time being gobbled up by less constructive people, find ways to diplomatically limit these interactions. Cornered every morning by the office chatterbox? Politely excuse yourself. Drinks with the work gang the night before a busy, important day? Bow out and get a good night sleep. Focus on the people and activities that reward you the most.

To some, this may seem selfish. –But it isn't selfish, says Robinson. –It's that whole airplane metaphor. If you have a child, you put the oxygen mask on yourself first, not on the child. When it comes to being a good friend, spouse, parent or worker, –the better you are yourself, the better you are going to be in all those areas as well.

6.4.5 Change the structure of your life

Sometimes we fall into a rut and assume our habits are set in stone. Take a birds-eye view of your life and ask yourself: *What changes could make life easier?*

Puder-York remembers meeting with a senior executive woman who, for 20 years of her marriage, arranged dinner for her husband every night. But as the higher earner with the more demanding job, the trips to the grocery store and daily meal preparations were adding too much stress to her life. –My response to her was, "Maybe it's time to change the habit," recalls Puder-York. The executive worried her husband might be upset, but Puder-York insisted that, if she wanted to reduce stress, this structural change could accomplish just that. So instead of trying to do it all, focus on activities you specialize in and value most. Delegate or outsource everything else. Delegating can be a win-win situation, says Stewart Freidman, a management professor at the University of Pennsylvania Wharton School and author of *Leading the Life You Want: Skills for Integrating Work and Life*. Freidman recommends talking to the –key stakeholders in different areas of your life, which could include employees or colleagues at work, a spouse or a partner in a community project. –Find out

what you can do to let go in ways that benefit other people by giving them opportunities to grow," he says. This will give them a chance to learn something new and free you up so you may devote attention to your higher priorities.

6.4.6 Start small. Build from there

We've all been there: crash diets that fizzle out, New Year's resolutions we forget by February. It's the same with work-life balance when we take on too much too quickly, says Brooks. Many of his workaholic clients commit to drastic changes: cutting their hours from 80 hours a week to 40, bumping up their daily run from zero miles a day to five miles a day. It's a recipe for failure, says Brooks. When one client, who was always absent from his family dinners, vowed to begin attending the meals nightly, Brooks urged him to start smaller. So he began with one evening a week. Eventually, he worked his way up to two to three dinners per week.

6.4.7 Work-Related Stress and Its Management

When asked if they often feel stressed, most employees these days say –Yes!! Not only do most people understand the concept; they claim to have plenty of personal experience with it. **Stress** is most often described as an adaptive response to a situation that is perceived as challenging or threatening to the person's well-being. It is a physiological and psychological condition that prepares us to adapt to hostile or noxious environmental conditions. Our heart rate increases, muscles tighten, breathing speeds up, and perspiration increases. Our body also moves more blood to the brain, releases adrenaline and other hormones, fuels the system by releasing more glucose and fatty acids, activates systems that sharpen our senses, and conserves resources by shutting down our immune system. One school of thought suggests that stress is a negative evaluation of the external environment. However, critics of this –cognitive appraisal perspective point out that stress is more accurately described as an emotional experience, which may occur before or after a conscious evaluation of the situation.

Whether stress is a complex emotion or a cognitive evaluation of the environment, it has become a pervasive experience in the daily lives of most people. Stress is typically described as a negative experience. This is known as *distress*—the degree of physiological, psychological, and behavioral deviation from healthy functioning. However, some level and form of stress—called *eustress*—is a necessary part of life because it activates and motivates people to achieve goals, change their environments, and succeed in life's challenges. Our

focus is on the causes and management of distress, because it has become a chronic problem in many societies

Check your progress

- | |
|---|
| <ul style="list-style-type: none">• Write the techniques of managing Work-Life Balance. |
|---|

6.5 MANAGING WORK-RELATED STRESS

Stress has also been linked to work-life balance. Work-related stress is a growing problem around the world that affects not only the health and well-being of employees, but also the productivity of organizations. Most job roles have elements which can cause the employee to experience stress. Stress does not only affect employees on an individual level, but it also impacts their relations with family, friends, and their colleagues at the work place. High degree of stress has been reported among employees who have difficulty of balancing work and non-work demands. There are a wide variety of practices currently being used to help employees achieve work-life balance. It is important to note that some work-life balance programs help employees handle stress and otherwise cope more effectively while other programs help to reduce the absolute stress levels by rebalancing work life.

Also, usually employees deny the existence of their stress until it has more serious outcomes. This avoidance strategy creates a vicious cycle because the failure to cope with stress becomes another stressor on top of the one that created the stress in the first place. To prevent this vicious cycle, employers and employees need to apply one or more of the stress management strategies described next: remove the stressor, withdraw from the stressor, change stress perceptions, control stress consequences, and receive social support.

6.5.1 Remove the Stressor

There are many ways to remove the stressor, but some of the more common actions involve assigning employees to jobs that match their skills and preferences, reducing excessive workplace noise, having a complaint system that takes corrective action against harassment, and giving employees more control over the work process. Another important way that companies can remove stressors is by facilitating better work–life balance. Work–life balance initiatives minimize conflict between the employee’s work and non-work demands. Five of the most common work–life balance initiatives are flexible and limited work time, job sharing, telecommuting, personal leave, and child care support.

- *Flexible and limited work time.* An important way to improve work–life balance is limiting the number of hours that employees are expected to work and giving them flexibility in scheduling those hours. For example, San Jorge Children’s Hospital offers a unique form of work flexibility that has dramatically reduced turnover and stress. The Puerto Rican medical center introduced a –ten month work programl in which employees can take summer months off to care for their children while out of school.
- *Job sharing.* Job sharing splits a career position between two people so they experience less time-based stress between work and family. They typically work different parts of the week, with some overlapping work time in the weekly schedule to coordinate activities. This strategy gives employees the ability to work part-time in jobs that are naturally designed for full-time responsibilities.
- *Telecommuting.* Telecommuting (also called *teleworking*) involves working from home or a site close to home rather than commuting a longer distance to the office every day. It potentially improves work–life balance by reducing or eliminating commuting time and increasing flexibility to perform non-work obligations (such as picking up the kids from school).¹⁰⁹ However, telecommuting may increase stress among those who do not receive enough social interaction outside of the workplace and among those who lack the space and privacy necessary to work at home.
- *Personal leave.* Employers with strong work–life values offer extended maternity, paternity, and other forms of personal leave, which gives them flexibility in managing family and other non-work demands. Most countries provide 12 to 16 weeks of paid leave, with some offering one year or more of fully or partially paid maternity leave.
- *Child care support.* Many large and medium-sized employers provide on-site or subsidized child care facilities. Child care support reduces stress because employees are less rushed to drop off children and less worried during the day about how well their children are doing.

6.5.2 Withdraw from the Stressor

Removing the stressor may be the ideal solution, but it is often not feasible. An alternative strategy is to permanently or temporarily remove employees from the stressor. Permanent withdrawal occurs when employees are transferred to jobs that are more compatible with their abilities and values. Temporarily withdrawing from stressors is the most frequent way that employees manage stress. Vacations and holidays are important opportunities for employees to recover from stress and re-energize for future challenges. A small number of companies offer paid or unpaid sabbaticals. Many firms also provide innovative ways for

employees to withdraw from stressful work throughout the day such as game rooms, ice cream cart breaks, nap rooms, and cafeterias that include live piano recitals.

6.5.3 Change Stress Perceptions

The level of stress that people experience from a stressor depends on how they perceive that stressor. Consider two employees who are assigned a difficult project. One employee experiences distress because he or she views the task as a hindrance to career success. The other employee feels eustress because the task is perceived as a challenge that will further develop personal competencies. There are many personal characteristics that cause employees to perceive stressors differently. One important factor is positive self-evaluation and optimism. Consequently, one way to manage stress is to help employees improve their self concept so job challenges are not perceived as threatening. Personal goal setting and self-reinforcement can also reduce the stress that people experience when they enter new work settings. Research also suggests that some (but not all) forms of humor can improve optimism and create positive emotions by taking some psychological weight off the situation.

6.5.4 Control Stress Consequences

Regular exercise and maintaining a healthy lifestyle are effective stress management strategies because they control stress consequences. Physical exercise reduces the physiological consequences of stress by helping employees moderate their breathing and heart rate, muscle tension, and stomach acidity. Many companies offer Pilates, yoga, and other exercise and meditation classes during the workday. Research indicates that various forms of meditation reduce anxiety, reduce blood pressure and muscle tension, and moderate breathing and heart rate. Wellness programs can also assist in controlling the consequences of stress. These programs inform employees about better nutrition and fitness, regular sleep, and other good health habits. Many large companies offer *employee assistance programs (EAPs)*— but some counseling also varies with the industry.

6.5.5 Receive Social Support

Social support occurs when coworkers, supervisors, family members, friends, and others provide emotional and/or informational support to buffer an individual's stress experience. For instance, one recent study found that employees whose managers are good at empathizing experienced fewer stress symptoms than did employees whose managers were less empathetic. Social support potentially (but not always) improves the person's optimism and

self-confidence because support makes people feel valued and worthy. Social support also provides information to help the person interpret, comprehend, and possibly remove the stressor. For instance, to reduce a new employee's stress, coworkers could describe ways to handle difficult customers. Seeking social support is called a –tend and befriendl response to stress, and research suggests that women often follow this route rather than the –fight-or-flightl response mentioned earlier.

6.5.6 Encourage time off

Vacations are not a luxury, they are a necessity. A break from work will provide you with the chance to switch off and enjoy yourself, it is also a great opportunity to recuperate and recharge. This is essential to help your people improve productivity and focus when they return to the office.

Numerous studies show that vacations increase company productivity and reduce stress. The American Sociological Association compiled a report, which suggests that a larger number of vacations lead to a decline in the psychological distress of people.

An effective way to encourage your people to take time off is to implement a –use it or lose itl system – whereby any unused days will not be carried over at the end of the year or repaid financially.

6.5.7 Implement short breaks throughout the day

If taking time off isn't an option for the employees, then it is important to encourage small breaks throughout the day. The human body is not designed to stare at a bright screen for hours on end. It is not good for our health, or our mental wellbeing. To combat this, it is important to consider installing a games room (obviously not video games) where people can socialize and take their minds off work. Consider encouraging light exercise throughout the day and introducing walking meetings outside the office. Going out can also be considered as an option like going out as a team to grab a coffee. Some leading companies will get meditation practitioners in to help calm and de-stress their employees. All of these techniques will positively impact a teams' work performance, productivity and workplace happiness.

6.5.8 Ask employees for guidance

If you are struggling to come up with innovative ways to improve your employees' work-life balance, then why not ask them? If you notice that your people are struggling to find balance, then find out what changes *they* think would improve their situation. By collaborating with your team, you will get more of an insight into the way they think, and you will be able to work together on strategies more effectively in future. To help you facilitate these

discussions, consider having regularly scheduled meetings, or implement real-time cultural feedback programmes to provide you with data-driven insights. This way you can accurately gauge how your people are feeling at any given time and make adjustments to ensure that they have the right balance.

6.5.9 Practice what you preach

Finally, it is important to lead by example. If you tell your employees to leave at six and not work over the weekend, but you're sending them emails during these periods it sends a very mixed message. It also puts additional pressure on your employees to mirror your working hours. Lead by example and witness how your work practices will permeate throughout the business. There is a law in France called the –Right to disconnect. It ensures there are limits on the amount of work undertaken outside of office hours. It is important to respect the balance and privacy of your team when they are not in the office. This means you should avoid contacting them outside of office hours to allow them to fully switch off, and recharge from everyday work stresses. Most of us will spend a massive percentage of our time at work. We let it take over and feed into all aspects of our lives. Bearing this in mind it is essential to find the right balance and implement it in your workplace. This will allow you and your people to switch off from work and give your personal lives equal measures of attention too. By loosening the reigns when it comes to your people's work-life balance, you will make huge strides towards building an engaged and productive team.

Check your progress
<ul style="list-style-type: none">• How would you define work related stress?• How one can effectively manage work related stress?

6.6 LET'S SUM UP

Work plays a significant part in all our lives. Our earnings ensure that the lights stay on, there's food on the table and the rainy-day pot is full. It is no easy task to achieve work-life balance in today's unpredictable and fast-paced business world. As we grow increasingly more connected through technology and social media, it is becoming more and more difficult to separate work from our personal lives. It is commonplace to check emails at all hours, take business calls at the dinner table and work on our laptops on weekends. Employers expect more from their people, which leads to them feeling more pressure to achieve greater results. Consequently, this leads to longer working hours, and less time spent at home, thus creating the work-life imbalance. Work life imbalance is associated with many negative consequences

for one's overall health and wellbeing. Also, it has detrimental impact on an organization's growth and success. Maintaining a healthy work-life balance is not only important for health and relationships, but it also improves employee productivity, and ultimately employee performance. Especially in today's troubled times the COVID-19's demand to work from home has rather given rise to the need to maintain the balance in work and personal lives.

6.7 KEYWORDS

- **Work-Life Balance:** the equilibrium between one's personal life and professional life/career/work.
- **Work-Related Stress:** the response people may have when presented with work demands and pressures that are not matched to their knowledge and abilities and which challenge their ability to cope.
- **The Balance Theory:** a theory of attitude change, proposed by Fritz Heider. It conceptualizes the cognitive consistency motive as a drive toward psychological balance. The consistency motive is the urge to maintain one's values and beliefs over time.
- **The Emotional Intelligence:** Emotional intelligence (otherwise known as emotional quotient or EQ) is the ability to understand, use, and manage your own emotions in positive ways to relieve stress, communicate effectively, empathize with others, overcome challenges and defuse conflict.
- **Spiritual Intelligence:** the adaptive use of spiritual information to facilitate everyday problem solving and goal attainment.

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6.9 QUESTIONS FOR PRACTICE

1. What do you mean by managing Work-Life Balance?
2. List the factors that affect Work-Life Balance.
3. How one can effectively manage work related stress?



**The Motto of Our University
(SEWA)**

SKILL ENHANCEMENT

EMPLOYABILITY

WISDOM

ACCESSIBILITY

**JAGAT GURU NANAK DEV
PUNJAB STATE OPEN UNIVERSITY, PATIALA**

(Established by Act No. 19 of 2019 of the Legislature of State of Punjab)

BACHELOR OF ARTS (LIBERAL ARTS)

SKILL ENHANCEMENT COURSE

SEMESTER IV

BLAB32408T

WEB DESIGNING AND DEVELOPMENT (SEC-2)(ii)

Head Quarter: C/28, The Lower Mall, Patiala-147001

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PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

In keeping with the nature of an Open University, this University provides a flexible education system to suit every need. The time given to complete a programme is double the duration of a regular mode programme. Well-designed study material has been prepared in consultation with experts in their respective fields.

The University offers programmes which have been designed to provide relevant, skill-based and employability-enhancing education. The study material provided in this booklet is self-instructional, with self-assessment exercises, and recommendations for further readings. The syllabus has been divided in sections, and provided as units for simplification.

The University has a network of 10 Learner Support Centres/Study Centres, to enable students to make use of reading facilities, and for curriculum-based counselling and practicals. We, at the University, welcome you to be a part of this institution of knowledge.

Prof. Anita Gill
Dean Academic Affairs



BACHELOR OF ARTS (LIBERAL ARTS) SKILL ENHANCEMENT COURSE

SEMESTER-IV (BLAB32408T) WEB DESIGNING AND DEVELOPMENT (SEC-2)(ii)

MAX MARKS:100

EXTERNAL:70

INTERNAL:30

PASS:35%

Credits: 4

Objective:

The objective of the course is to learn, to choose and to devise appropriate web analytic tools and techniques.

INSTRUCTIONS FOR THE PAPER SETTER/EXAMINER:

1. The syllabus prescribed should be strictly adhered to.
2. The question paper will consist of three sections: A, B, and C. Sections A and B will have four questions each from the respective sections of the syllabus and will carry 10 marks each. The candidates will attempt two questions from each section.
3. Section C will have fifteen short answer questions covering the entire syllabus. Each question will carry 3 marks. Candidates will attempt any 10 questions from this section.
4. The examiner shall give a clear instruction to the candidates to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.
5. The duration of each paper will be three hours.

INSTRUCTIONS FOR THE CANDIDATES:

Candidates are required to attempt any two questions each from the sections A, and B of the question paper, and any ten short answer questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

Section A

Introduction to HTML: Basic concepts and overview of HTML markup.

Web design, Process of Web designing and publishing, Implementation, Web site development phases, Domain and webhosting, Role of HTML in Web.

Overview of HTML: structure of HTML documents, document types, various elements of HTML.

Links, Addressing and Images: Linking basics, URL, linking in HTML, anchor attributes images and anchors, image maps, semantic linking with the <LINK> element, meta-information;

HTML image basics; images as buttons; and image maps.

Layout: Backgrounds, Colors, and Text; design requirements; HTML approach to Web design; fonts; colors in HTML; document-wide color attributes for <BODY>; and background images. Introduction to tables, LISTS; frames

Section B

Style Sheets: Basics, properties and positioning of style sheet.

HTML Forms: Preliminaries, controls and the<FORM> element;

Server-Side Programming: client/server side programming; common gateway interface (CGI);
Dynamic HTML: dynamic HTML and document object model; HTML and scripting access; rollover
buttons; moving objects with DHTML; and ramifications of DHTML

Text Book:

1. Thomas A. Powell , “HTML: The Complete Reference”, Osborne/McGraw-Hill

Suggested Readings:

1. Deitel, Deitel and Nieto : Internet & WWW. How to program, 2 nd Edition,
Pearson Education Asia.

2. E Stephen Mack, JananPlatt : HTML 4.0 , No Experience Required, 1998,
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SKILL ENHANCEMENT COURSE

SEMESTER-IV
(BLAB32408T) WEB DESIGNING AND DEVELOPMENT
(SEC) (ii)

COURSE COORDINATOR AND EDITOR: Dr. Amitoj Singh and Dr. Rohit Kumar

SECTION A

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UNIT 6	STYLE SHEETS
UNIT 7	ATTRIBUTES OF STYLE SHEETS
UNIT 8	HTML FORMS
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BACHELOR OF ARTS (LIBERAL ARTS)
SEMESTER IV

COURSE: WEB DESIGNING AND DEVELOPMENT

UNIT 1 INTRODUCTION TO HTML

STRUCTURE

- 1.0 Introduction**
- 1.1 Objective**
- 1.2 What is HTML?**
- 1.3 Introduction to Web Design**
 - 1.3.1 Features of Web Design**
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- 1.5 Introduction to Website**
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 - 1.6.1 Types of Web Page**
- 1.7 What is the Process of Web Designing?**
- 1.8 How to Publish the Website?**
- 1.9 Summary**

1.0 INTRODUCTION

Internet is the most common now these days and it is used in all the fields of life. Now we can access a wide variety of data or information over websites using the internet. This can be possible only if we have an internet connection and a browser on our system. The most popular browsers which are used for accessing the websites are Internet Explorer, Mozilla Firefox, Google Chrome, Netscape Navigator, Opera. While connecting, a browser presents the information received from the server on the system. Once the file is displayed on the browser its contents are stored in an HTML format i.e., Hypertext Markup Language. HTML format can be interpreted by the browser that is displayed on the system.

The process to create a web design begins with visual concepts that can be represented either by hand or with any software. After the designing process, designers can use HTML or CSS to build

a website. HTML manages the basic structure of the code while CSS manages the styles applied to the text on a website.

HTML is generalized from SGML i.e., Standard Generalized Markup Language. SGML is complex as compared to HTML. The basic purpose behind the invention of HTML is to create websites in a simple format and is easily accessed by browsers. HTML pages are created by using tags and data. The tags assist the browser with the kind of data and how the data appears on the browser. Different tags are available in HTML. These files have the extension of “.html” or “.htm”. For creating the web pages a tool is required to write the code.

HTML can also include different tags that helps in creating list, fonts, background images, images, hyperlinks, frames , forms, etc. that are discussed in later sections.

1.1 OBJECTIVES

The objective of this unit is to illustrate the foundation of HTML. After completing this unit, learners will be able to understand the fundamental concepts of HTML and they will be able to recognize the following features of web design:

- Introduction of HTML
- Overview and Basic concepts of HTML
- Web Design
- Process of Web Designing and Publishing
- Website Development Phases

This unit deals with the basics of web design and how the website will be created including the steps involved in designing and development.

1.2 What is HTML?

HTML stands for **Hyper-Text-Markup Language**. HTML isn't a programming language like C, C++, or another type of language. It is a web-based language that can run only on a browser; therefore, it is referred to as a scripting language. HTML is used for designing web pages. It acts as the basic building block to create any website that defines the appearance and contents of a webpage. It consists of a series of elements that informs the browser, how to display the content.

In **HTML**, each letter has a specific meaning:

- **Hyper** means a link between the two pages.
- **Text** means a normal text which user wants to show on the web page.
- **Markup** means symbols and sequence of characters added with normal text and tells the browser how to display the text.
- **Language** means **HTML** is a scripting language, not a programming language.

HTML is a Human-readable language because it can be modified with the help of text, images, and other content in form of the required format. The web page can be created by using

Notepad, Notepad++, Browser, and Internet. The source of the web page can be viewed by right click on the selected HTML page and click on the view source option. It will open a window containing the HTML source code. The basic structure to create a web page is:

```
<html>
  <head>
    <title> page title </title>
  </head>
  <body>
    Includes the text or images of web page.
  </body>
</html>
```

This is the basic structure to create a web page on a notepad or any other tool. It begins with the <html> tag and ends with the </html> tag. And after the beginning tag includes the <head> and </head>, <body> and </body> tags that include the title and actual content of the web page.

HTML includes a list of tags that can be merged in a single document and it can have text, graphics, audio, video, etc. The tags are usually given in simple words and abbreviations such as for paragraph <p>(opening) </p> (closing) is used. All the HTML tags start with an open bracket (<) and end with the closing bracket (>).

There are two types of tags in HTML.

1. **Singular tags:** These are standalone tags that do not have a closing tag. such as
 i.e. break row tag.
2. **Paired tags:** These are the tags that include the opening and closing tags. such as <p> opening and </p> closing tag.

1.3 Introduction of Web design:

Web design is the visual appearance and layout of a website. It is a way to design websites that are displayed on the browser with the help of the internet. A website is designed according to the user requirements and Web designers fulfill the user requirements related to the colors, font, and images, etc. The structure of the web page depends on the information, which user wants to display on their website. The designer designs the website that focuses on simplicity. Thus, the user operates the website without any trouble. Nowadays, there are two common methods for designing websites that work efficiently on mobile and desktop applications such as reactive and adjustable design.

In **Reactive design**, the layout moves dynamically and adjusted according to screen size;

In **Adjustable design**, the website layout is fixed according to the common screen sizes.

In the modern world, if we want to grow our business throughout the world, websites play a major role in advertisement. It can operate on both the computer system as well as mobile. The design of a website should follow these principles such as contrast, balance, emphasis, unity, and the elements such as shapes, images, color, texture, etc.

1.3.1 Key Features while designing the web page:

1. **Navigation**: The design of a website should be straightforward. It should be navigated easily and the menu should be accessible from any web page. The user or viewer can easily access the page and is aware of the exact location on the website.
2. **Accessibility**: During web designing, web developers make sure that it will be accessible throughout the world. Most of the user who visits our website is not professional, thus they need a straightforward design that should be simple to access the website. Accessibility also includes the scope of information accessible. The website contains information that is easily accessible by all users.
3. **Speedy**: While designing a website, the web developer makes sure that website speed is much better. If the website does not load within five seconds, the user will skip and continue to the other site that will affect the business.



Figure 1: Features of Web Design

4. **Related Information**: The users may visit the website and acquire the related information according to the need. Thus, it is the responsibility of the designer to create a website that includes useful information that should be easily available, concise, and informative. Content writing plays a major role in this feature.

5. **Search Engine Optimization (SEO):** A properly designed website can be accessed by many users and the other strategy for attracting users is search engine optimization. It includes the search keywords, profile links, and other factors. This is created to improve the ranking.
6. **Maintenance:** A website can be accessed over 24 hours; thus, it requires proper maintenance to support the users at any time.
7. **Mobile-Friendly:** In the modern era, if we need to grow our business then the website is the best way to spread all over the world. Therefore, the mobile phone will help to reduce the burden in the form of mobile apps. The website developed by the designer must be mobile-friendly that it can be accessed on any mobile device.

Check Your Progress 1

1. State Whether True or false:
 - i. The markup language tells the browser how to manage and display content on the web page.
 - ii. There exist two types of tags in HTML one is singular and the other is paired.
 - iii. Once the designing of a website can be done it can be edited.
 - iv. In an adjustable design, the website layout is not fixed according to the screen.
2. Explain the features of designing the website.
3. Define HTML and the types of tags in HTML.

1.4 Web Browser:

Web Browser is software that can be used to access the information available on the Internet. Whenever a user wants to access information, the browser fetches the data from the server and displays it on the screen. The browser makes surfing easy and multiple pages can be accessed by the browser at once. There exist different types of browsers:

1. WWW (world wide web)
2. Mosaic
3. Netscape Navigator
4. Internet Explorer
5. Firefox
6. Google Chrome

1.5 Introduction to Website:

A website is a collection of web pages. It is connected with the client through a single URL. All the web pages are stored in a central location on the server that is accessed by visiting the homepage of a website using a browser. A website contains information in the form of images, content, and videos. The first website was designed with small text and a few pictures. With the advancement of technology and the expansion of bandwidth by internet providers, websites have become more and more complicated. In the modern world, more than 1.3 billion websites are available over the internet. Most of the websites are available for every age group of people,

therefore the websites arise in an endless variety, including educational sites, news sites, forums, social media sites, e-commerce sites, and many more.

1.5.1 Types of Websites:

1. **E-Commerce Website:** E-commerce stands for electronic commerce. An e-commerce website refers to an online shopping place where users can buy and sell products or other services over the internet. Most common websites such as a flip cart, Amazon, and Shopify.
2. **Blogs:** The blog contains discussion or information, that is represented in reverse order and the recent post appears at the top of the web page. A blogger regularly updates the articles, videos, and photos. In the modern world, every business and the major brand has its blogs, even celebrities and politicians write their blogs for updating their views.
3. **Social Media Websites:** It is an online medium where people create a social network with other people sharing similar career or personal interests, backgrounds, real-life connections, activities, etc. Examples of social networks are Facebook, Twitter, Instagram, Snapchat, and LinkedIn.
4. **Magazines Websites:** An online magazine website provides articles of current awareness, photos, and videos that are informational and educational also. A few years ago, the magazine industry has changed from a printed platform to a digital platform. Some magazines are related to young children are Men's Health, linked, and The New Yorker.
5. **Portfolio Website:** A portfolio website created by creative professionals such as artists, writers, designers, filmmakers, and builders for showing their best work. A portfolio website is a bit more creative by nature, thus the layout and features are unique.

<https://www.facebook.com/users/profile>. HTML



Protocol



URL



Directory



Web Page

1.6 Introduction to Webpage:

Web pages are documents that are written in HTML language and are translated by a web browser. Web pages contain the content, information, images, and videos related to that particular page. The web pages are created in two ways, static and dynamic web pages. These are the pages written in scripting languages such as PHP, ASP, etc. A website is a collection of web pages and a web page is an individual document written in HTML.

1.6.1 Types of Webpage

A web page is a document available over the internet. It includes graphics, images, contents, links, audio, video, etc. It can be created in two ways:

1. Static Page
2. Dynamic Page

1. **Static Page**: Static pages are those pages that contain static content (text or images). Thus, the viewer can view the web page content without being able to change it. The content of the webpage is fixed and never be changed by the viewer. It is also known as a stationary or flat web page. These pages are loaded on the client's browser in the same way as stored in the server. Users can just read the information available on the static web pages. These are created with the help of HTML.
2. **Dynamic Page**: Dynamic pages are those where the content of the webpage depends on the viewer's input. Different information is provided to the user whenever the user accesses the web page. These are the temporary pages that are available according to the user's request. In dynamic pages, a portion of the content is restricted, it should be visible only when the login credentials are given by the user. Dynamic pages can decide what should be displayed on the browser with the help of scripts. Scripts have their way to issue commands to the browser.

Advantages of Static pages

1. Static pages are quick and easy to implement and development of static pages are so easy.
2. The cost of static pages are cheap with less amount of hosting.

Disadvantages of Static pages

1. In Static pages are updation of the content takes more time, so it is time consuming process.

Advantages of Dynamic pages

1. Updation of dynamic pages are easily implemented.
2. Dynamic pages shows more functionality than static pages.
3. Dynamic content help in search engines.

Disadvantages of Dynamic pages

1. Dynamic pages are more expensive at hosting time.
2. Dynamic pages are so slow than static pages because of database and images.

Difference between static pages and a new pages.

Sr no	Static Pages	Dynamic Pages
1	Content is predefined in static pages.	Content is generated quickly and changes regularly.
2	HTML is only one used for designing the websites.	PHP, Asp.net ,JSP and number of languages to develop dynamic websites.
3	It sends same response for every request.	It may generate different pages after each request.
4	Content is only changed when updation is needed.	Contact is changed during runtime.
5	Static pages are more flexible.	Dynamic pages are less flexible.

Table 1: Comparison of Static and Dynamic pages

1.7 What is the Process of Web Designing?

The process to design a website is different from communication processes. Web designers usually think about the design of a webpage with the center of attention on technical difficulties such as code, the blueprint of a web page, and code management. However, good design is based on how much users access the website. Well-designed websites attract visitors and assist people to understand the products, companies, and services, which are given by the website. The process to design a website requires the following steps:

1. **Goal identification**: Initially, identification of the goals lets the web designer focus on what will provide the website and what will be the impact of the website on the viewers. It should be done in close collaboration with the client. This phase includes the following questions that need to explore in designing a website.
 - Who will use the site?
 - What will they suppose to find?
 - Is this website a static site or a dynamic site?
 - How this site is different from its competitor website?

These are important considerations while designing a website. Initially, if all these questions are not clearly stated, it may lead to the wrong direction for the project.

Tools used for goal setting of a website at the identification stage:

- Audience

- Brief introduction
- Analyses of a Competitor site
- Brand features

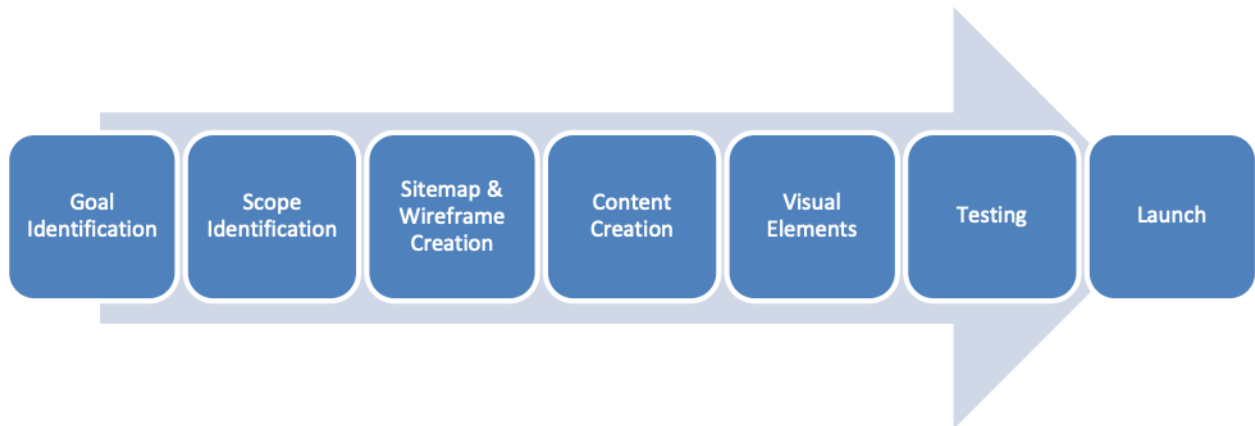


Figure 2: Web Design Process

2. **Scope identification**: Once the goal of the website is identified, the next step is to define the scope of the project. The scope includes the work that needs to be performed to achieve the objective. In other words, scope means the process to identify, achieving the project goal, cost of the project, and timeline to achieve the objective. The client sets one goal in mind, but it may change during the design process. This is not an issue for the designers but may lead to more effort for the project. If the rise in expectations is not according to the increased timeline or budget, the project will become completely unrealistic.

Tools used for scope identification are a Gantt chart and a contract. The Gantt chart includes the details of the timeline of the project and the designer follows this Gantt chart for web design.

3. **Sitemap and wireframe creation**: Once the scope of the website is determined, the designer can set up the roadmap under the client's guidance and a detailed view of the content. Thus, the designer can design the website according to user requirements. The sitemap provides the basis for designing an effective and well-designed website. The designer gets a clear view of website architecture and shows the relationship between different pages and content. After the sitemap, a wireframe is built that provides a framework for storing the design of a site that helps in the identifications of gaps and challenges with a sitemap. A wireframe guides a designer that shows the final look of the site.

Tools used for sitemap and wireframe

- Pen/pencil and paper
- Sketch
- Writemaps
- Mindnode, etc.

4. **Content Creation:** Once the framework is created, the next step is to write the content for the site. The content of the site has two purposes. First, the content of the website engages the readers and encourages them to take appropriate action for fulfilling the goals. If the content of a website is not appropriate like dull or not formatted, the readers may not visit the website for long. Short and useful contents grab the attention of readers. Secondly, the content also promotes site visibility by search engines. This can be done by Search Engine Optimization.

Tools used for Content creation and SEO

- Google Docs
- Dropbox Paper
- Content Management System (CMS)
- Google Keyword Planner
- Google Trends

5. **Visual Elements:** The next step is to create a visual presentation of the content on the site. This can be possible by the design elements such as logos, color, images, etc. Images are playing a significant role by giving a professional look and feel to the website. It delivers a message to the readers without even reading the content and is mobile-friendly.

Tools used for Visual Elements

- Photoshop
 - Illustrator
 - Coolare
 - PicMonkey
 - Venngage
 - Google Drawings
6. **Testing:** After the visual content and the site is ready, the designer first tests the working of all the web pages. Web designers follow manual and automatic testing, thus after launching the website the client does not face any problems. Testing thoroughly every page and all the links to make sure the website is working properly. Some errors in the website may result in any fault to the working of the site, which must be fixed earlier before presenting the site publicly.

Tools used for Testing are

- SEO Spider
 - W3C line checker
7. **Launch:** Once every page of the website has been tested, and the client and designer are satisfied with the working of a website, the next step is to launch the website. Web designing is an ongoing process that needs regular maintenance.

8. **Site maintenance:** Websites need constant attention and maintenance, which requires updating the information, change the requirements, and fixing the errors. These are the major considerations in the maintenance of the website.

All these steps for designing the website are equally important, and the strategy should be followed for its implementation. This is a sequential process that works step by step.

Check Your Progress 2

1. State whether True or False:
 - i. The designer is not concerned about the look and feel of a website but is also about the interface.
 - ii. Is a Static page a temporary page?
 - iii. An E-commerce website can display information about the current awareness.
2. Define a Website and the types of a website.
3. Explain the process of web designing.
4. Define Web pages and their types.
5. Difference between website and webpage.

1.8 How to Publish the Website?

Web publishing is a process to publish your content on the internet by creating, updating, and uploading. The content on a website includes images, texts, videos, etc. Once the testing phase overs, the designer needs to set it up online. Therefore people can access the website. Publishing a website is a multiform method and it requires three things: Software for developing a website, Internet Connection, and the webserver. It works through the following steps:

1. Firstly buy the web hosting and the domain name from hosting companies.
2. The web hosting companies provided the rented space and put our website files on their web server.
3. Select the domain name that is a unique address where people search our website such as <https://www.facebook.com>.

Check Your Progress 3

1. HTML stands for
 - a. High Text Machine Language
 - b. HyperText and links Markup Language
 - c. HyperText Markup Language
 - d. None of these
2. The correct order of HTML tags are
 - a. Head, Title, HTML, body
 - b. HTML, Body, Title, Head

- c. HTML, Head, Title, Body
 - d. HTML, Head, Title, Body
3. HTML uses
- a. User defined tags
 - b. Pre-specified tags
 - c. Fixed tags defined by the language
 - d. Tags only for linking
4. Which tag is used for the declaration for an HTML document?
- a. <html>
 - b. <! DOCTYPE Html>
 - c. <body>
 - d. <p>
5. HTML fundamental blocks also known as _____.
- a. HTML Body
 - b. HTML Tag
 - c. HTML Attribute
 - d. HTML Element
6. The first tag of HTML document is
- a. <head>
 - b. <title>
 - c. <html>
 - d. <document>
7. Web pages are interpreted by
- a. Compiler
 - b. Server
 - c. Web Browser
 - d. Interpreter
8. Which is not a browser?
- a. Microsoft's Bing
 - b. Netscape Navigator
 - c. Mozilla Firefox
 - d. Opera
9. The brackets used for HTML tags are
- a. Curly
 - b. Round
 - c. Square
 - d. Angle

10. Content which is not displayed on the web page are covered in _____ tag.
 - a. <head>
 - b. <title>
 - c. <body>
 - d. <html>
 11. Which of these is also known as nexus browser?
 - a. Opera
 - b. Chrome
 - c. Firefox
 - d. WWW
 12. Which is the world's popular browser?
 - a. Opera
 - b. Chrome
 - c. Firefox
 - d. Mosaic
 13. Which browser first introduces GUI?
 - a. Opera
 - b. Netscape
 - c. Firefox
 - d. Mosaic
 14. How can a website be published?
 15. What are the different versions of HTML?
 16. What do you mean by site map and wireframe creation?
-

1.9 SUMMARY

This unit describes the basic concepts of the design and development of a website. It also defines the method to create HTML pages and the role of HTML pages. The HTML page is divided into two parts. One is the head section and the other is the body section. The content of the web page is given in the body part of the webpage. The head section includes the title of the web page. It also covers the introduction to web design and the features for designing efficient web design. The unit also describes the website and types of the websites such as E-commerce sites, blogs, social media sites, etc. A website consists of many web pages. There exist different types of web pages such as static and dynamic pages. The unit covers the different phases of web designing and the way to publish a website. The phases to develop the website are also explained in this unit. This unit includes the basic information of browser and its types. And the steps to be included for publishing a website.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: WEB DESIGNING AND DEVELOPMENT

UNIT 2 OVERVIEW OF HTML

STRUCTURE

- 2.0 Introduction**
- 2.1 Objective**
- 2.2 Implementation of Web**
- 2.3 What are the phases of website development?**
- 2.4 Role of HTML**
- 2.5 Overview of HTML**
- 2.6 Basic Concepts of HTML**
- 2.7 Structure of HTML Document**
- 2.8 Various Elements of HTML**
 - 2.8.1. Paired Tags**
 - 2.8.2. Singular Tags**
 - 2.8.3. Self-Closing Tags**
 - 2.8.4. Formatting Tags**
- 2.9 Summary**

2.0 INTRODUCTION

HTML is a Hypertext Markup Language which is generalized from SGML i.e., Standard Generalized Markup Language. SGML is difficult to understand and implement for beginners. Thus, HTML plays an important role in the development of web pages simply and easily that can be accessed on the browser. HTML includes different types of tags. The two most important categories of tags are Singular and Paired tags. Singular can be represented only with an opening tag and Paired includes opening and closing tags. The tag represents the browser the action that should be taken on the given data between them. Formatting tags can be used to give headings or paragraphs a proper format that should be visible on the browser.

2.1 OBJECTIVES

The learners will be able to understand the concepts of HTML and they will be able to design and format the webpages using different formatting tags given in this unit. This unit includes the details of the following topics:

- Implementation of web
- Phases of website development
- Role of HTML in the web
- Paired and Singular Tags
- Formatting Tags

2.2 Implementation of Web

Implementation of web includes the following steps that should be followed in actual implementation. These are:

1. **Product Design:** The web designer first creates a blueprint of the website and the packages, pages, and connection diagram. These are the primary guidelines for a web designer to start working on the web. The design plays a major role in the implementation.
2. **Specifications of the web:** The second step is the specification of the web that sets the parameters, limitations, or other specifications for designing. It helps in designing the web and making decisions for the designer.
3. **Specifications for update and maintenance:** Once the analysis has been done on the web, the designer may get the possible corrections that need to be implemented in HTML or any information updates that need to be performed to get the dynamic website.
4. **Specification for technology:** This specification includes the objective of the project and the strategy that should be followed in designing a website. It covers the constraints such as deadline, budget, or technical restrictions and the detail of the team involved in the project.
5. **Inputs from users:** The designers are in touch with the users through the mail for feedback. The user sends the feedback for the overall working of the web. This feedback should be considered and followed for implementation issues. The goal of a designer is to create the best working website. The client may send the queries and updated information to the designer to update the website.

6. **Integrating:** The design, strategy listed in the above phases must be combined for implementing a web.
 7. **Designing:** It includes the designing of an actual web by following the blueprint that meets the need of a client.
 8. **Creating:** By using templates, web components, and software, a designer can create or implement the web easily and quickly.
 9. **Writing:** The files of the web are created either by hand or through the editors or with the help of an integrated development environment.
 10. **Maintaining:** This phase of implementation checks the files that they are technically correct, up-to-date, and usable that meets the client's need.
-

2.3 What are the phases of Website development?

Web Development includes the different processes for developing a website. It consists of several phases that are information gathering, planning, designing, development, testing, maintenance. It requires a team that is responsible for the different tasks of website development.

A website represents a company and people will search the website during the research. It should be unique. A web designer uses HTML, CSS to create a website. Website development is the process that carries multiple steps during development and various phases are given below:

1. **Information gathering:** This is the first and the most important phase of website development. This is the primary phase of website development that is information gathering. This phase analysis the requirements and needs of clients. It is also known as the discovery phase. At this stage, the designer gets a perception to create a website and identify the goal of the website and the target audience. These are the crucial factors at this phase of development.
2. **Planning:** "A good website is that the results of smart planning" is what we tend to believe. Once the information is gathered, the next step is to do the planning. It involves prioritizing the task for the development phase. Here, the sitemap is created, and then the menus and content are decided for the site. The basic purpose of a sitemap is to create a user-friendly site and it also decides the functions that we want to add to the site.

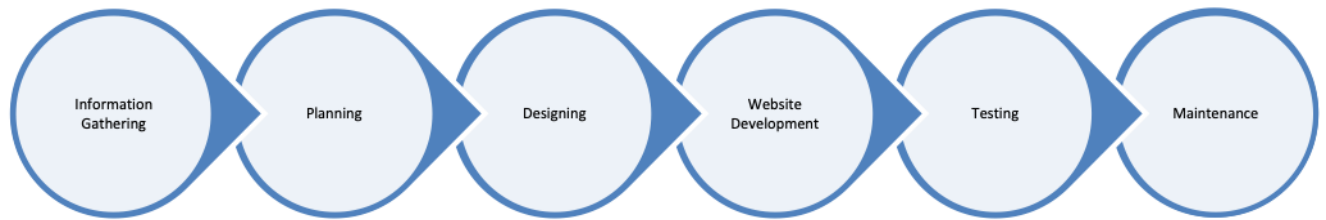


Figure 1: Website Development Phases

3. Designing: The next phase in the development is designing which is the artistic phase. The best design is possible when there is no communication gap between client and designer i.e., communication plays a significant role in this phase. Web designers understand every part of the client's assumptions and try to draw on the web page, from overview to final layout. This phase also finalizes the logos and the templates used for designing the website. Other things that should be kept in mind while designing a website are color contrast, text area, images, font, size, video, etc. This phase discovers the shape of a website.

4. Website development: This phase implements the code for the website. This phase is also known as the implementation phase. The designer makes the working website by writing code for smooth functioning. At this phase, the actual implementation of the website starts. Similar to the sitemaps, initially the home pages are implemented then the other pages start implementing. This phase merges the information gathered in the earlier phases. Here, the database is created, and programming is done.

5. Testing and Delivery: After the implementation phase, the next phase is testing and delivery. Testing will fix the errors through manual and automated testing. The software tester is responsible for preparing the test cases and these test cases are solved by the web developer with the help of test cases and again this process will continue until all the errors have been fixed. Following are the types of Testings:

- Design Testing
- Functional Testing
- Content Testing
- Speed
- Browser Compatibility

After these tests are necessary before the official launch of the website. Once the testing is done, the website is delivered.

6. Maintenance: The last phase of website development is maintenance. This stage performs the maintenance of the website for a limited period. It involves updations and modification of contents or design of the website. Extra charges need to be paid for the extension of the limited period of maintenance. Most of the companies provide source code, documentation, and other

support to the customers. This is also a very important phase of website development because once the website is live, it may need maintenance.

2.4 Role of HTML

HTML stands for Hyper-Text-Markup Language. The role of HTML is to design the layout and it also defines the content of the website. The document includes tags, that specify the structural layer of a web page. Web Designer has maintained the relationship between the entire sites with the help of HTML and represent the connection of documents with one another. HTML is very useful to represent the content according to the user's need where tags and attributes assist the designer to balance the creativity and artistic sides. HTML plays a vital role in designing the website or without HTML the future of designing the websites will not be possible. The layouts, images, display, and font of a website make it attractive for the viewers. This is a unique language interpreted by the browser like chrome, Mozilla, etc.

2.5 Overview of HTML

HTML was developed by Tim Berners-Lee in 1991 and the first version of HTML was 1.0, after that number of versions were introduced with advanced features for modern browsers.

HTML versions	Features	Year
HTML 1.0	Text and Image control only	1991
HTML 2.0	Improved markup tags, Forms and Tables	1995
HTML 3.2	Better Support for new Form elements, CSS and Frames	1997
HTML 4.0.1	External CSS with extended support	1999
HTML 5	Audio tags, Semantic tags, Email, and Password from the user.	2014

Table 1: Versions of HTML

At present, HTML has great improvement and web designers have maintained the standard of W3C (World Wide Web Consortium). W3C is an international authority that develops open standards to ensure the long-term growth of the web.

2.6 Basic Concepts of HTML

1. **HTML Editor:** HTML editor is used for writing the text, format the text and it can be

used to translate to other languages, for instance, CSS, XML, or JavaScript. Some editors might be easier to use while others perform more functionality with better performance and some of them are given below:

- 1.1. Notepad++:** It is free available on the internet and that was developed for Windows as well as Linux operating system. Notepad++ is simple to use for beginners as well as professionals both.

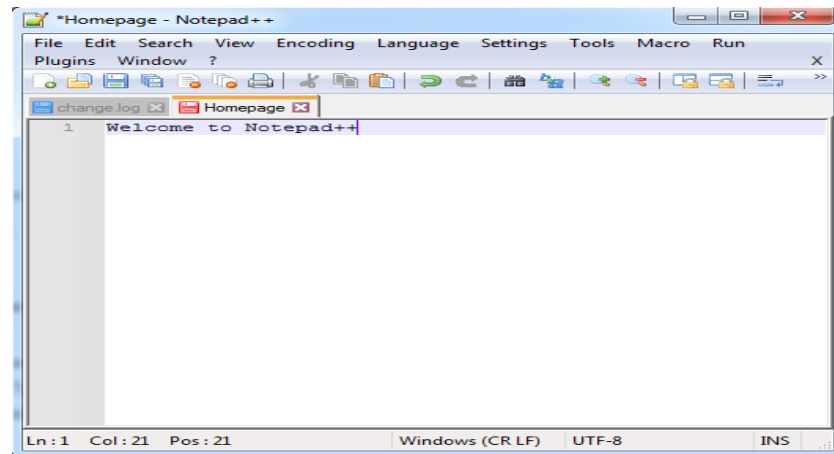


Figure 2: Notepad++

Key Features:

- Notepad++ platform is easy to use, lightweight, and fast.
- It handles multi-language on a single platform.
- It is easily compatible with Windows and other operating system.
- It is free available on the internet.

- 1.2. Adobe Dreamweaver:** It is one of the most popular editors that handle both textual and WYSIWYG methods. It is a most powerful and flexible tool. Dreamweaver is used for both front-end programming as well as back-end programming languages.

Key Features:

- Dreamweaver allows the web designer to write code in any major programming languages such as C, C++, XML, PHP, and many more.
- It supports textual and WYSIWYG editor modes.
- It is easy to format the text and quick access on the browser.
- The performance of Adobe Dreamweaver is magnificent and support by Adobe Inc.



Figure 3: Adobe Dreamweaver

2. **Browser:** A web browser is application software for accessing the information from World Wide Web. When the user searches the data from a specific website, the browser help to get the related content from a web server and then shows it on the browser window. It just connects the server and the user with the help of the internet. Today's Google chrome is the fastest and most popular browser and other browsers such as Firefox, Internet Explorer and Safari contribute their services throughout the world.



Figure 4: Browsers

3. **HTML Structure:** Webpage can contain number of tags with attributes; however, every HTML webpage contain five basic tags such as `<!doctype>`, `<html>`, `< head >`, `<title>`, `< body >`. Each tag has open tag `< >` and closing tag `</ >` except `<!doctype>`. To illustrate with, `<html>` has its closing tag `</html>` and `<title>` tag has its closing tag `</title>` etc.

The basic structure of HTML tags:

```
<HTML>
< HEAD >
    <TITLE> First document</TITLE>
< /HEAD >
< BODY >
    <H1> WEB PAGE INTRODUCTION</H1>
</BODY>
</HTML>
```

Key Features:

- The closing tag is compulsory with opening a tag.
- Forward Slash (/) is used while closing the tag.

2.7 Structure of HTML Documents

The basic structure of HTML is given as:

```
<!DOCTYPE html>
<HTML>
< HEAD >
    <TITLE> </TITLE>
< /HEAD >
< BODY >
.....
</BODY>
</HTML>
```

These tags give instructions to the browser and tags are given in the opening angular brackets such as (<) and (>).

1. **<!DOCTYPE html>** : All the documents must start with this tag. This is not a declaration tag, rather it provides information to the browser about the type of document. This tag is optional in an HTML document.
2. **<HTML> Tag**: This tag specifies the beginning of HTML document with <HTML> tag and ending the document with the </HTML>. It also includes the < head > and < /head > tags and <BODY > and </BODY> tags.
3. **< HEAD > Tag**: This tag identifies the document header and the < HEAD > tag contains following tags such as <TITLE>...</TITLE>, <SCRIPT>...</SCRIPT>, <LINK>...</LINK>, <STYLE>...</STYLE> and also identifies the metadata. This information is not displayed in the browser window. This is the optional tag in the HTML document.

4. **<TITLE> Tag:** The <TITLE> tag is used under the < head > <title> **Text** </title> </head> to represent the title of webpage document. The title should be displayed on the title bar of browser's window.
5. **< BODY > Tag:** This tag represents the document's body which contains other HTML tags according to client requirements. The < BODY > tag contains the actual part that is visible on the browser and it is closed with the </BODY> tag.

Steps to Creating HTML Simple Document: To Create the HTML page then follow the following steps:

1. Use any text editor like Notepad++.
2. Write the <html> tag on the top of the page.
3. After that adding the < head > tag on the next line.
4. < head > tag contain the <title></title> tag and closing header tag:</head>.
5. After that type, the < body >tag and write the text, which we want to display and closing the </body>tag.
6. Finally, type the closing tag of </html>.
7. In the file menu of Notepad++, choose Save As.
8. Type the name of the file with HTML extension .html i.e., **filename.html**.
9. Click Save.

View of HTML Page: To display our page then follow the following steps:

1. First Open the Web browser and click File--→Open File from the top menu.
2. Navigate the location of the file.
3. Click on the web page file and then click open.
4. The web page is open on the browser window.

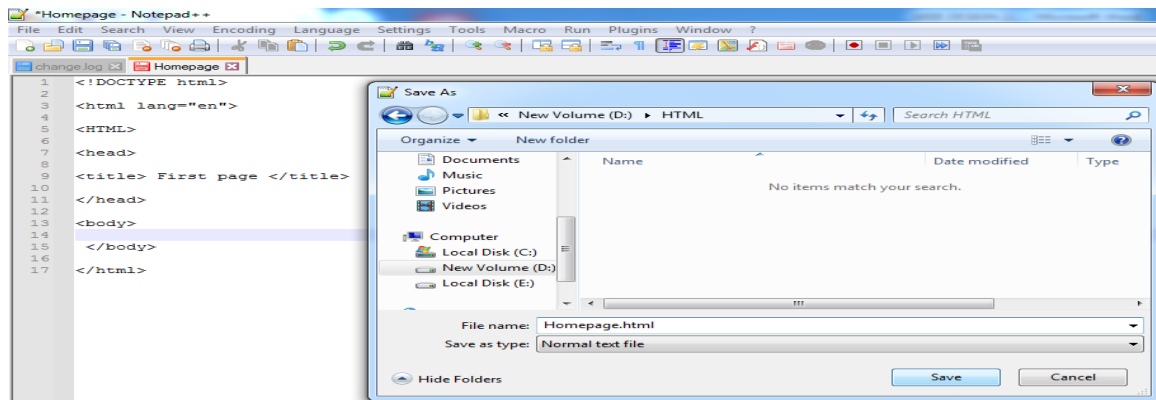


Figure 5: Web page code with output

2.8 Various Elements of HTML

Elements can be defined as commands which are being directly attached to the text in an HTML document. It represents the instructions to the web browser to do some tasks and display information on the browser. In an HTML document, various tag names reflect different outputs on the web browser. In HTML all tags are different from each other and perform a different task. The tag names are enclosed in between angular brackets for a 'less than' or 'greater than sign (<) and (>) and the ending tag is represented with a forward slash (/) before the tag name.

Types of elements in HTML:

Web page is created by using various type of tags. HTML tags are also known as elements. Thus, it can be divided and defined on a different basis. Let us discuss the tags based on the following categories.

2.8.1. Paired tags: In HTML most of the tags are defined in a paired format such as HTML, head, title, body, and so on, all are paired tags. An HTML pair tag represented with opening <> and closing tag </> both.

Tag	Description	Syntax	Example
Heading tags	The heading tags used to represent the main heading/subject related to whole page and these tags levels are starting from <h1> to <h6> where <h1> defines the most important heading on the other side <h6> defines the least important.	<h1> Text </h1> <h2> Text </h2> <h3> Text </h3> <h4> Text </h4> <h5> Text </h5> <h6> Text </h6>	<h1> Heading 1</h1> <h2> Heading 2</h2> <h3> Heading 3 </h3> <h4> Heading 4</h4> <h5> Heading 5</h5> <h6> Heading 6</h6>
Anchor Tag	The <a> tag is used to create a link between two web pages and it can be possible through a most important attribute is href.		Facebook
Pre-initialization	The <pre> display the text exactly as written in the HTML source code.	<pre> Text </pre>	<pre> The <pre> display the text exactly as written in the HTML source code. </pre>
Paragraph	The < p > tag defines the paragraph. If designers break the line then they will use tag.	< p > Content < /p >	< p > This tag defines the paragraph. < /p >
Address	The <address> tag defines the residence information	<address> Address </address>	<address> Sandeep Kumar B-1/2770, Gobind Nagar,

	for the owner / owner of a related document.		 Sector-22, Punjab. </address>
Blockquote	The <blockquote> tag specifies a limited section that is quoted from another source.	<blockquote> Content </blockquote>	<blockquote cite = "https://blog.kerridgecs.com/10-inspirational techquotes"> "Technology is best when it brings people together." </blockquote>
Marquee	The <marquee> tag is used for scrolling the text either horizontally or vertically. Its direction can be up, left, right, down.	<marquee> Text </marquee>	<marquee direction = "right"> Text </marquee>

Table 2: Paired tags example

2.8.2. Singular tags: In HTML some of the tags do not need a closing tag or companion tag. Singular tags are also known as an empty tags. The <hr> tag defines a thematic break in an HTML page (e.g., a shift of topic). The <hr> element is most often displayed as a horizontal rule that is used to separate content (or define a change) in an HTML page.

Tag	Description	Syntax	Example
Break	The tag is used for break the single line and there are no need to insert a closing tag.	 	< p > Technology is best when it brings people together. < /p >
Image	The tag is used for showing visual effects that make web pages are more attractive.		
Horizontal Line	The <hr> tag is mostly used for displaying the horizontal rule.	<hr>	<h2> HTML </h2> < p > HTML is a language for describing web pages. < /p > <hr/>

Table 3: Singular Tags Examples

- i. **Self-closing tags:** In HTML, these HTML tags do not have a companion tag (partner tag), where the opening tag is only compulsory in an HTML document. It contained important information in the form of attributes. An image tag is the best example of self-closing tags.

Tag	Description	Syntax	Example
Image	The tag is used for showing visual effects that make web pages are more attractive.		

Horizontal Line	The <hr> tag is mostly used for displaying the horizontal rule.	<hr/>	<h2> HTML Definition</h2> < p > HTML is a language for describing web pages.< /p > <hr/>
-----------------	---	-------	---

Table 4: Self- closing Tags Examples

- ii. **Formatting tags:** In HTML formatting tags are used to change the text format according to user requirements. Due to these tags, the text looks better, and feel such tags are bold italicized or underlined. In HTML the formatting tags are divided into categories:

Tag	Description	Syntax	Example
Bold and Strong	The tag is used for displaying the text in bold letter and The tag used to display the text with strong importance.	 Content Content 	 Technology is best when it brings people together. Technology is best when it brings people together.
Italic and Emphasized	The <i> tag is used for displaying the text in italic format and The tag is used to display the text in emphasizes way. The HTML element defines emphasized text. The content inside is typically displayed in italic.	<i> Content </i>	<i> Technology is best when it brings people together. </i>
Underline	The <u> tag is used for displaying the text in normal way but it can include underline below the text.	<u> Content </u>	<u> Technology is best when it brings people together. </u>
Align	The alignment specifies how the text appear in the document	<p align = "left center Right justify > Content< /p >	<p align = "center "> This paragraph is aligned center. < /p >

Table 5: Formatting tags

Check Your Progress 1

- State Weather True or false:
 - HTML tags are given in singular tags only.
 - HTML heading can have 6 different levels.
 - An HTML document can be divided into three parts: < head >, < body >, <STYLE>.
 - < p > tag is used for the paragraph that skips one line.
- Write the HTML code that makes use of the following tags:

- Italics
 - Break
 - Paragraph
 - Headings
3. Explain the phases of web development.
 4. What is the role of HTML?
 5. Explain in detail the list of formatting tags in HTML.
-

Hands on Practice

Example 1:

```
<!DOCTYPE html>
<html>

  < head >
    <title> Smaller Text Example </title>
  </head >

  < body >
    < p > The following word uses a < small > small </small > typeface. </p >
    < p > The following word uses a < big > big </big > typeface. </p >
    < p > The following word uses a <sup> superscript </sup> typeface.</p >
  </body>

</html>
```

Example 2:

```
<!DOCTYPE html>
<html lang = "en">
< head >
  <title> Formatting Text in HTML </title>
</head >
< body >
  < p >This is <b> bold text </b>. </p >
  < p >This is <strong> strongly important text </strong>.</p >
  < p >This is <i> italic text </i>.</p >
  < p >This is <em> emphasized text </em>.</p >
  < p >This is <mark> highlighted text </mark> . </p >
  < p >This is <code> computer code </code> . </p >
  < p >This is <small> smaller text </small>. </p >
  < p >This is <sub> subscript </sub> and <sup> superscript </sup> text. </p >
  < p >This is <del> deleted text </del>. </p >
  < p >This is <ins> inserted text </ins>. </p > < p > This is <b> bold text </b>. </p >
</body>
</html>
```

Example 3:

```
<!DOCTYPE html>
<html lang = "en">
< head >
  <title>HTML strong Vs b Tag</title>
</head >
< body >
  < p > <strong> WARNING! </strong> Please proceed with caution. </p >
  < p > The concert will be held at <b> Hyde Park </b> in London. </p >
</body>
</html>
```

Example 4:

```
<html>
< head >
<title> Example of marquee tag in HTML </title>
</head >
< body >
  < marquee behavior = "scroll" direction = "left" scrollamount = "3"> Slow speed scroll speed
</ marquee >
  < marquee behavior = "scroll" direction = "left" scrollamount = "10"> Medium speed scroll
speed </marquee >
  < marquee behavior = "scroll" direction = "left" scrollamount = "17"> Fast speed scroll speed
</marquee >
</body>
</html>
```

2.9 Summary

This unit helps beginners to understand the steps to create simple web pages. The implementation of the website also follows the sequence of steps that need to be performed to get a better website. To create a web page, a designer may require a tool to write the code. It can be a simple text editor or any other Integrated software. After designing a simple web page, the next step is to run the code with the help of a browser. The browser does not display the tags but the content, images given in the Html file. The < head > tag includes the title of the document and the < body > tag contains the content of the web page. The important is to display the text in proper format by using formatting tags. A large number of formatting tags exist in the HTML. Headings are represented using <H1> to <H6> tags for sections and subsections. < p > tag is used to create a paragraph and , <I>, <U> tags are used for bold, italic, and underline the particular text.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: WEB DESIGNING AND DEVELOPMENT

UNIT 3 TAGS OF HTML

STRUCTURE

- 3.0 Introduction**
- 3.1 Objective**
- 3.2. Hyperlinks**
 - 3.2.1. Internal Links**
 - 3.2.2. External Links**
- 3.3 Images**
 - 3.3.1. Attributes of HTML Image tag**
 - 3.3.2. Common Image Formats**
 - 3.3.3. Image as a link**
 - 3.3.4. Image as Button**
 - 3.3.5. Image Mapping**
- 3.4 Semantic Link tag**
- 3.5 META Tag**
- 3.6 Summary**

3.0 INTRODUCTION

Along with basic tags, there exist some tags that makes an interactive webpage. In which hyperlinks, images plays an important role. Hyperlinks are also playing an important role in designing a large number of web pages that help in linking one document with another. Links can be of two types. One is internal link and the other is external link. A web page can be made more attractive by placing the image on it. As we know "A picture is worth a thousand words", thus the designer is not required to make content, rather it creates an interactive website by placing images. There exist different types of images that can be applied on a web page to make the web site attractive. Semantic links and meta tags can also be used on the website that creates an efficient web page.

3.1 OBJECTIVES

The learners will be able to understand the concepts of HTML and they will be able to design the webpage using images and hyperlinks given in this unit. This unit includes the details of the following topics:

- Hyperlinks
- Working of Images
- Image Map
- Meta Tag

This helps in understanding the link of one document with another document. In this way a large website can be created that link one web page with the another in sequence.

3.2 Hyperlinks

The website consists of many web pages that are linked with one another through Hyperlinks. HTML provides linking of one document with another document as well as with images. It has two ends one contains the source address and another contains the destination. Links are used to connect the various resources such as images, videos, documents, and a program also.

Syntax:

Links are specified in HTML by using the <a> anchor tag.

```
<a href = "url"> Text </a>
```

Where the href contains the specific destination address and Text represents the visible part of the link. Links are of two types:

3.2.1 Internal links: An internal link is the type of a link whose target is to open an image or document on the same website. By using these links, the color of text changes in different formats such as:

1. The default color of an unvisited link is blue and underlined.
2. The default color of the visited link is purple and is underlined.
3. The default color of an active link is red and underlined.
4. When the mouse pointer moves over the hyperlink, the shape of the pointer changes to a hand shape.

Syntax:

Links are specified in HTML by using the <a> anchor tag.

For Location :

For Link: Text

3.2.2. External links: External link is a type of link that connects one website with another website when a user navigates to other pages by clicking on a link of another website and reached that another location which is given in the <a> tag.

Syntax:

Links and specified in HTML by using the <a> anchor tag.

 Text

Sr No.	Internal Links	External Links
1	These are fast and easy to control.	These are difficult to control.
2	It links the pages with the same website.	It links the pages with another website.
3	These are the links to the web pages on the same page or different page locations.	These are the links to the web pages on a different page or different website.

Table 1: Difference between Internal and External Links

The default colors of the links can be changed by using the following attributes in the <BODY> tag. These are given as:

Sr No.	Attributes	Description
1	LINK	It changes the color of the default hyperlink with the color specified in this attribute.
2	ALINK	It changes the color of the activated hyperlink with the color specified in this attribute.
3	VLINK	It changes the color of the already visited hyperlink with the color specified in this attribute.

Table 2: Color specified with a hyperlink

URL (Uniform Resource Locator) is defined as the address of the web page. It can be specified in two forms:

- 1. Absolute URL:** It refers to the complete address of the document on the world wide web. It includes the protocol to be used, the name of the server, complete pathname, then files name with extension.

For Example:

URL = " http://www.university.ac.in/syllabus/bca.html "

The first part specifies the HTTP i.e., the Hypertext transfer protocol that defines the set of rules. The next part specifies the server's name or domain name that specifies the location where the files are stored. And then followed by the directory which contains the actual HTML documents.

- 2. Relative URL:** It refers to the address of the document only. It does not contain the complete address compared to the absolute address. Protocol name and the server or

domain name are not included in the relative URL.
It can be specified according to the location of the web page.

- If both the pages are placed in the same folder.

Example:

```
<a href = "syllabus.html"> Syllabus </a>
```

- If the second page is in subfolder.

Example:

```
<a href = "course/syllabus.html"> Syllabus </a>
```

- If the webpage is in higher folder than the source file.

Example:

```
<a href = "../syllabus.html"> Syllabus </a>
```

Sr No.	Absolute URL	Relative URL
1	It is used for linking of different web pages.	It is used for linking the web pages within the website.
2	Exact location is to be given in this URL.	It is easy to maintain, even if the server or protocol changes.
3	Slower to access these links.	Faster to access these links.

Table 3: Comparison of absolute and relative URL

Attributes of <a> Tag:

Attributes	Description	Syntax	Example
Href	This is used to give the name of the web page to create a link. If the user wants to link to the particular location on the web page. This is given by the #(hash) sign.	 Text 	
Name	This is used to give name to the location for hyperlink.		 Text
Title	This is used to specify the description of hyperlink. Whenever user places cursor on the link, it displays the title on screen.	 Text 	 Text
Target	The default page is opened in the current browser but if the designer needs to open it on another page, then the target is specified in the tag. It can have the following values. _blank will open the linked page on new window. _self by default it opens the window in same document.		 First

	<p>_parent opens the document in the parent frame.</p> <p>_top will open the document in full body.</p>		
--	---	--	--

Table 4: Attributes of <a> anchor tag

E-mail Links: These are used to send email messages easily and quickly. Whenever the user clicks on the link, it will open up the outlook express or other mail options that enable the user to write e-mail messages to the address given in the links.

For example:

```
<a href = "mailto:abc@gmail.com"> E-mail Us </a>
```

Check Your Progress 1

1. State Wheather True or false:
 - i. By default, the hyperlink color is red.
 - ii. The target attribute of anchor always links to the beginning of the document.
 - iii. The color of the visited link or activated link can be changed in the <body> tag.
 - iv. The name of the location in target always begins with the # symbol.
2. Create an HTML code that contains different links of section 1, section 2, and section 3. By clicking on these links, it will jump to the exact section on the same web page. This web page contains long information about the sections.
3. Explain in detail the attributes of anchor tag in HTML.

3.3 Images

Images are the visual elements that make web pages more attractive and give distinctive look to the page, thus web designers must understand how to use the images properly. The images can be added to the web page by using the tag and use its attribute for its proper visibility.

** tag:** This tag is used for inserting images on the web page for showing some visual effects in the form of graphics, images, and pictures. HTML image tag is a singular tag that contain attributes only in tag.

Syntax:

```
<IMG SRC = "URL" ALT = "alternate text">
```

Example:

```
<!DOCTYPE html>
<html>
<body>
  <img src = "image_name.extension" alt = "alternate_text" />
</body>
```

</html>

3.3.1. Attributes of HTML image tag:

Image tag can contain attributes to represent the layout more beautifully, thus the following attributes are used in tag.

ATTRIBUTE	Description	Syntax	Example
SRC	It is the necessary attribute that describes the source or location of the image. In the image, the src attribute is essential to specify the source that tells the web browser where the image is located, so that image can be displayed correctly, if the path of the image doesn't correct then it will not be displayed on the web page.		<body> It means the image is present in the same folder as the HTML document. It means the image is present in the one folder down from the HTML document. It means that the image is in one folder up from HTML document. It means that the image is two folders up from the HTML document. </body>
ALT	It is alternative text for the image. If, for some reason browser doesn't display the image then the value of the alt attribute shows in the place of an image and it can be used for SEO (search engine optimization) for intended purpose.		<body> </body>
WIDTH AND HEIGHT	These attributes are setting the dimension of the image in percentage or pixel. The width and height attribute indicate the exact size of the image. Both are an optional attribute and in HTML5, CSS will be used in place of height and width attribute.		<body> </body>
ALIGN	It can be used to align the image horizontally to the right or the left side. By default, image is aligned to the left side on the web page.		<body> </body>

BORDER	It can be used for showing the border of the image in pixel.	 </>	<body> </body>
HSPACE	It is used to set the space to the left and right of the image.	 </>	
VSPACE	It is used to set the space to the top and bottom of the image.	 </>	

Table 5: Attributes of tag

3.3.2. Common Image Formats

The most common image formats are

Image File Format	Description	Abbreviation	File Extension
Gif	.gif images are used for buttons, clip art, and banners. The main advantage of .gif files can have a transparent background but it has limited colors only 256.	Graphics Interchange Format	.gif
Jpeg	JPEG has unlimited colors and a high compression rate; thus, it takes less memory on the hard disk. Although .jpeg files don't allow transparent background.	Joint Photographic Expert Group image	.jpg, .jpeg, .jfif, .pjpeg, .jpg
Png	png have large number of color combinations, low file size and don't allow transparent background same as .jpg. With high compression rate it can be best use in graphics.	Portable Network Graphics	.png

Table 6: Types of image formats

i. **Image as a link:** To use the image as a link in HTML, use the anchor tag<a> with the href attribute. In which tag is placed inside an anchor tag. Sometimes, the larger images may take a long time to display on the browser. In that case, the links can be used to display the full image on another page that reduces the time to load the image on the browser.

Syntax:

```

<html>
<head></head>
<body>
<a href = "*.html"> <img src = "*.jpg"> </a>
</body>
</html>

```

3.3.4. Image as Button: Image buttons have the same effect as a submit button, the only difference is instead of a normal submit button we can place an image of our choice. An Image button can be created as:

Syntax: `<input type = "image">`

Example: `<input type = "image" src = "img_submit.gif" alt = "Submit">`

Attribute	Description	Syntax	Example
TYPE	This attributes specifies the type of button and it contain the various values such as submit, reset, button, and menu.	<code><input type = "value"></code>	<code><input type = "image"></code>
NAME	This attributes is used to assign the name of the control.	<code><input name = "name of the control"></code>	<code><input name = "submit"></code>
SRC	This attribute specifies the address of the image where it is located.	<code><input src = " url "></code>	<code><input src = "img_submit.gif"></code>
ALT	This attribute specifies the alternate text while cursor on the button then the text will be displayed on it.	<code><input alt = "alternate text "></code>	<code><input alt = "alternate text"></code>

Table 7: Attributes for the image as Button

3.3.5. Image mapping: In image mapping, the image is specified with a different set of coordinates which act as hyperlink areas to connect with different locations.

An example of an image map is: Animal's map is an incomplete picture on a webpage that provides different links and these links are connected with other web pages image maps are the same as a map of currently we are different links are connected with different locations.

Types of image maps: There are two kinds of image maps.

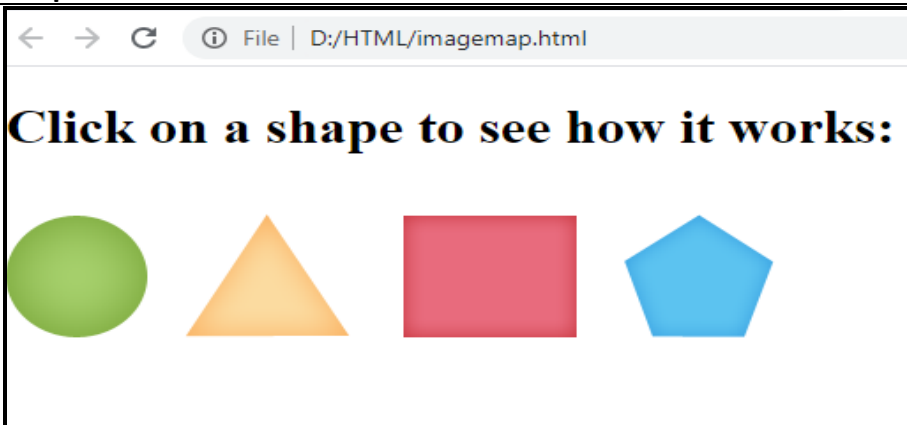
- 1. Server-Side Image Map:** This is an older method to create image maps. In this case, whenever the user clicks on the image, the browser sends the coordinates of the clicked region to the server, and then, the CGI program interprets the coordinates that these are valid or not. If it is a valid region, the server returns the URL of the region and sends it to

the browser.

2. **Client-Side Image Map:** The image map is also known as client-side because the browser does not need a CGI program and interprets the image map based on HTML tags client-side image maps are more reliable and faster than server-side image maps. The client-side image map does not need the presence of a server. Instead, it links the coordinates with the same HTML document.

To set up a client-side image map different tags are required and these are given as below:

1. **Map:** It is used to create a map of the image with different clickable areas.
2. **SRC:** It is used for the image source.
3. **Area:** It is used with the URL and the coordinates of an image.
4. **Coords:** It defines the exact coordinates in pixels of hotspot regions. The number and order depend on the shape attribute. The shape can be given in
 - a. **RECT:** x1, y1, x2, y2 (x1 and y1 represents the top-left coordinates and x2 and y2 represents the bottom-right coordinates).
 - b. **CIRC:** x, y, r (x and y are the centers of the circle, and r specify the radius).
 - c. **POLY:** x1, y1, x2, y2, ...xn, yn (each value of x and y represents the vertex of polygon and the value of n represents the number of vertices).

Example	Output			
<pre><html> <head> <title> Example of HTML image map </title> </head> <body> <h1> Click on a shape to see how it works: </h1> <map name = "shapes"> <area shape = "circle" coords = "40 , 40 , 40" href = "D: \ HTML \ images \ img1 . png" alt = "Circle"> <area shape = "rect" coords = " 226 , 2 , 323 , 80 " href = "D: \ HTML \ images \ img2 .png"</pre>	<div></div> <table><tr><td>After clicking the circle</td><td>After clicking the rectangle</td><td>After clicking the polygon</td></tr></table>	After clicking the circle	After clicking the rectangle	After clicking the polygon
After clicking the circle	After clicking the rectangle	After clicking the polygon		

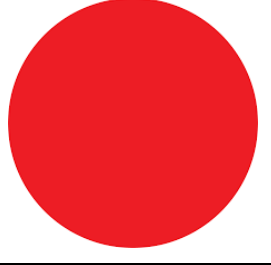

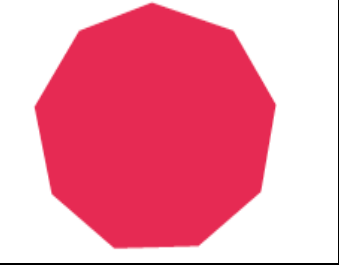
<pre>alt = "Rectangle"> <area shape = "poly" coords = "392 , 2 , 352 , 32 , 366 , 80 , 418 , 80 , 432 , 32 " href = "D : \ HTML \ images \ img3 .png" alt = "Pentagon"> </map> </body> </html></pre>	  
---	--

Table 8: Example of image Map

3.4 Semantic Link Tag

The HTML <link>tag is used to represent the relationship between the current document and an external resource, such as a CSS file. This tag is empty means it has no need to close and it is always enclosed under the<head> <link> </head> tags.

Attributes	Description	Syntax	Exmaple
Href	This attribute is used to represent the URL of the external resource.	<link href = "URL">	<link href = "http:// www .xyz.com/style.css">
rel	This attribute is used to represent the relationship between current and linked document and it takes various kind of value, such as author, next, prev, style sheet etc.	<link rel = "value">	<link rel = "stylesheet" href = "http://www.xyz.com/style.css">
Type	This attribute is used to represent the media type of the linked document.	<link type = "media_type">	<link rel = "stylesheet" type = "text/css" href = "http://www.xyz.com/style.css">
Sizes	This attribute is used to repersent the sizes of icons for visual media.	<link sizes = "HeightxWidth any">	<link rel = "icon" href = " http://www.xyz.com/style.css " type = "image/gif" sizes = "10x10">

Table 9: Attributes of Link tag

3.5 META Tag

The META tag is used for the easy accessibility of the web page. The search engines can easily locate the web page if the META tag is specified in the HTML code. Once a user enters a search string, the search engine displays the pages that contain the string, but the only condition is that the META tag contains the information on the web page. The search engine finds the META Tag of HTML to display the required page.

The Meta tags contain two attributes:

1. NAME: This attribute includes the type of META tag.
2. CONTENT: This attribute is containing the keywords that are listed by the search engine.

Attributes of meta tag :

Attributes	Properties	Discription
charset	character-set	It specify the character encoding for the HTML document.
content	text	It specifies the value associated with the http- equiv or name attributes.
http-equiv	content, security, policy, content-type, default-style, refresh	It provides an HTTP header for the info value of the content attributes.
name	application,name,author, description, generater, keywords	It Specify a name for the metadata.

Table 10: Attributes of Meta Tag

Check Your Progress 2

1. State Weather True or false:
 - i. HTML web pages can accept .JPEG and .GIF formats.
 - ii. HSPACE is used to describe the amount of space to the top and bottom of an image.
 - iii. ALT attribute always displays the text of an image, even if the image is displayed on the browser.
 - iv. SRC can also be specified with the absolute or relative pathname.
2. Explain the properties or attributes of an Image tag.
3. Explain the different types of images supported by the browser.
4. What do you mean by image map and how it is implemented on the browser?
5. What is the purpose of the META tag?

Objective Type questions:

1. What is the correct sequence of HTML?
 - a) HTML, BODY, HEAD, TITLE

- b) HTML, HEAD, TITLE, BODY
- c) HTML, TITLE, HEAD, BODY
- d) HEAD, BODY, HTML, TITLE

2. Which formatting tag is used to make the text bold?

- a) <pre>
- b)
- c)

- d) <i>

3. Which is the second largest heading in HTML?

- a) <h3>
- b) <h1>
- c) <h6>
- d) <h2>

4. The tag used to insert a line break in HTML is:

- a)

- b) <a>
- c) <hr>
- d)

5. How to create a list with bulleted items in HTML?

- a)
- b)
- c)
- d) <I>

6. Which syntax is correct for the hyperlink?

- a) Text
- b) Text
- c) Text
- d)

7. How to insert an image in the web document?

- a)
- b)
- c)
- d)

8. What is the correct way to send mail using the HTML element?

- a) Text
- b) Text
- c) <mail ab@a> </mail>
- d) None of the above

9. Which tag is used to create a paragraph in HTML?

- a) <a>
- b) <p>
- c)
- d) <pre>

10. The extension used to save HTML document is

- a) .ht
- b) .html
- c) .hml
- d) None of the above

11. The program created in HTML can be read and interpreted by

- a) Server
- b) Compiler
- c) Browser
- d) Interpreter

12. The tags in HTML can be

- a) Case - sensitive
- b) Upper case
- c) Lower case
- d) Case insensitive

Hands on Practice

Example 1:

```
<!DOCTYPE html>
<html>
  <head>
    <title> Hyperlink Example </title>
  </head>
  <body>
    <p> Click any of the following links </p>
    <a href = "index.html" target = "_blank "> Opens in New </a> |
    <a href = "index.html" target = "_self "> Opens in Self </a> |
```

```
<a href = "index.html " target = " _parent " > Opens in Parent </a> |  
<a href = "index.html" target = " _top "> Opens in Body </a>  
</body>
```

```
</html>
```

Example 2:

```
<!DOCTYPE html>  
<html>  
<head>  
<style>  
a:link {  
    color: green;  
    background-color: transparent;  
    text-decoration: none;  
}  
a:visited {  
    color: pink;  
    background-color: transparent;  
    text-decoration: none;  
}  
a:hover {  
    color: red;  
    background-color: transparent;  
    text-decoration: underline;  
}  
a:active {  
    color: yellow;  
    background-color: transparent;  
    text-decoration: underline;  
}  
</style>  
</head>  
<body>  
<p> You can change the default colors of links </p>  
<a href = "html_images.html" target = "_blank"> HTML Images </a>  
</body>  
</html>
```

3.6 Summary

This unit helps to create an interactive web page using the hyperlinks and images. Hyperlinks are used to create a link between one or more documents of a website. Internal links helps in linking a part of document within particular location and the external link helps in creating a link outside the document or a new document. tag is used to insert images in the HTML document and also used to create image maps or image links in HTML. Different formats of

images are there that helps in creating an attractive website. It can also be possible to create image maps. An example of image map is google map. Semantic links can be used to create link with external sources. The META tag is another useful tag that can be used for redirecting the search engine to the appropriate web page. It includes the keywords that are accessible by the search engine and displays the web page on the browser.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: WEB DESIGNING AND DEVELOPMENT

UNIT 4 LAYOUT

STRUCTURE

- 4.0 Introduction**
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4.0 INTRODUCTION

The previous unit contains information about the basics of HTML and after studying the implementation of the static web page. The next step is to learn the implementation of an

interactive website. An interactive website is easy to use and design. Interactive websites are the websites that take input from the user and based on the inputs, the output is displayed. This can be made possible with the advanced HTML features. Some advanced features are font, background iamges, Tables, etc. With the help of these tags, one can easily divide the browser's window into multiple parts and represent the list in proper order. There are some other attributes of advanced tags that are listed in this unit.

4.1 OBJECTIVES

After completing this unit, learners will be able to understand the concepts of HTML and they will be able to design the web pages.

- Webpage Background with color and images
- Control text attributes using different font
- Working with Background Images
- Data represented in the form of Tables

4.2 HTML Background

In HTML, the <body> tag contains the information or the content. All the content of the web page is to be given in the body section. Thus, the text can be any headings, textbox, checkbox, images, links, etc. anything that needs to be displayed on the browser must be given in the body section. To give the background image or color the designer must specify the setting in the body tag. HTML provides two ways to decorate the web page.

1. Background with colors
2. Background with images

4.2.1. Background with Colors:

The BGCOLOR attribute of the body tag is used to give the background color of the web page. The default color is white. The value of color can be given in two formats such as RGB format or Hexadecimal format. The value of this format is given as "#000000" to "#FFFFFF". The # indicates to the browser that it is a hexadecimal value. Total six digits are available in hexadecimal number in which the first two represents red color, second two represents the green color and the last two represents the blue color. Thus, the combination of primary colors Red, Green, Blue is also known as RGB colors. It is also given as for red "#FF0000", for green "#00FF00", and for blue "#0000FF" and the other combination gives the different color.

Syntax:

<Body BGCOLOR = " #FF0000 ">

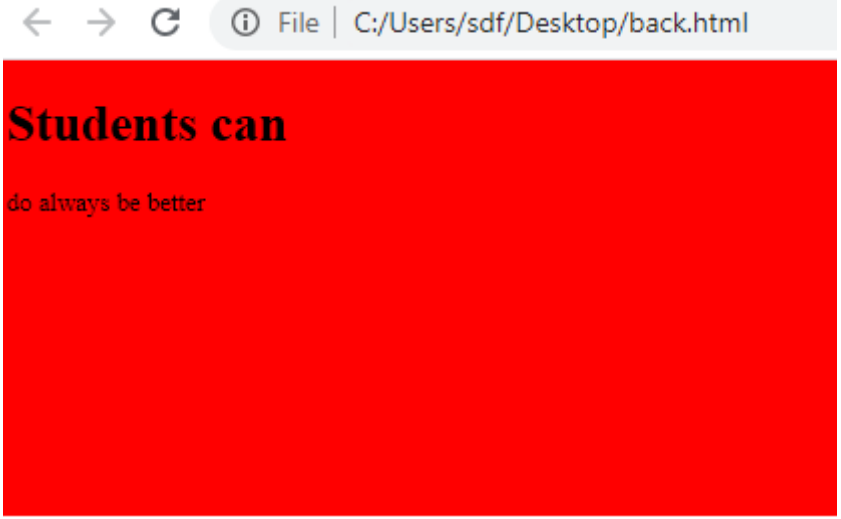
4.2.2. HTML background with images:

The background attribute can also represent a background image for an HTML webpage. The value of the attribute is the address (URL) of the image, which is used by the designer. The size of the image is given according to a page in pixels(px) or percentage (%) format. If the size of the image is smaller than the browser window, then it will repeat itself until it fills the whole window.

Note: The background attribute was deprecated in HTML5. The W3C (World Wide Web consortium) has eliminated these attributes from the latest version of HTML5, but at present, it will be used in CSS for setting the background.

Syntax: <Body Background = " URL of Image " >

Handy Tips of background color and image

Example of background-color	Output
<pre><html> <head> <title> HTML Backgorund Color </title> </head> <body bgcolor = red> <h1> Students can </h1> <p> do always be better </p> </body> </html></pre>	 <p>The screenshot shows a web browser window with a red background. The text 'Students can' is displayed in a large, bold, black font, and 'do always be better' is displayed in a smaller, regular black font below it. The browser's address bar shows the file path 'C:/Users/sdf/Desktop/back.html'.</p> <p>Figure 1: Output of background-color</p>
Example of background Image	Output

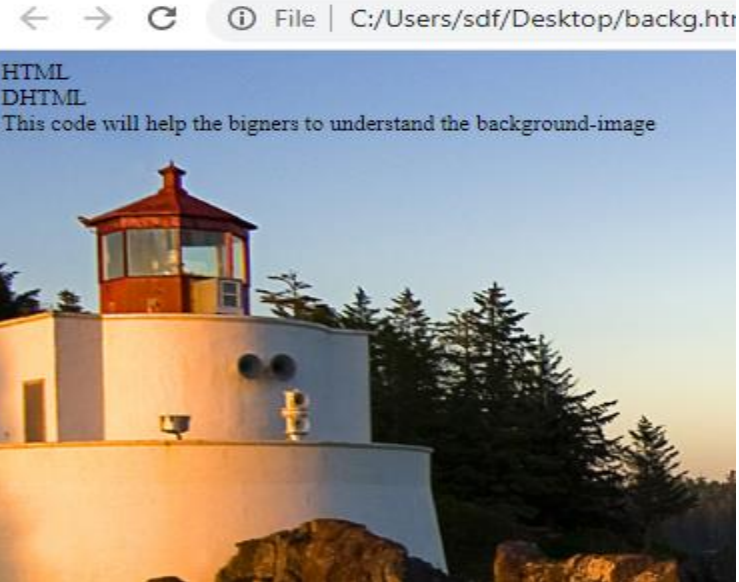
<pre> <Html> <Head> <Title> Background image </Title> </Head> <Body background = "C:\ Users \Public \Pictures \Sample Pictures \Lighthouse.jpg"> HTML
 DHTML
 This code will help the bigners to understand the background - image </Body> </Html> </pre>	 <p>Figure 2: Output of background image</p>
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Table 1: Example of Background-color and Background-image

4.3 Colors in HTML

Colors play an important role in creating attractive websites. By default, in HTML there is no separate tag to represent the colors, it makes use of the style attribute of the color's property. Colors give a stylish look to the web page, background, tables, paragraph, etc.

There are following three different color methods and these are explained as:

4.3.1. Color names: A web designer can design a web page with a color name such as yellow, red, and so on. W3C has listed 16 numbers of basic color names but major browsers supported 200 different color names.

4.3.2. Hexadecimal code or Hex code: A web designer can design the web page with another method i.e., hexadecimal code. It is a six-digit code representing the two amounts of red, two for green, and the last two digits for blue color that make up the color. Each hexadecimal code will be preceded by a hash sign (#).

	White	#FFFFFF
	Yellow	#FFFF00
	Fuchsia	#FF00FF
	Red	#FF0000
	Silver	#C0C0C0
	Gray	#808080
	Olive	#808000
	Purple	#800080
	Maroon	#800000
	Aqua	#00FFFF
	Lime	#00FF00
	Teal	#008080
	Green	#008000
	Blue	#0000FF
	Navy	#000080
	Black	#000000

Figure 3: Hexadecimal codes

4.3.3. RGB values: The web designer can design the web page with RGB () property. The property takes three values one for red, one for green, and one for blue, and it ranges from 0 to 255 or a percentage value.

Color	Color RGB
	rgb(0,0,0)
	rgb(255,0,0)
	rgb(0,255,0)
	rgb(0,0,255)
	rgb(255,255,0)
	rgb(0,255,255)
	rgb(255,0,255)
	rgb(192,192,192)
	rgb(255,255,255)

Figure 4: RGB color combinations

Note: Most of the computer systems supported 216 colors out of 256 different colors because all computer systems use 216 cross-platform colors, so these 216 colors are known as "web-safe" colors. RGB combinations can produce more than 16 million different colors to play with (256 * 256 * 256) patterns.

4.4 Text

The HTML <body> text Attribute is used to define a color for the text in the webpage.

Attribute	Description	Syntax	Example
-----------	-------------	--------	---------

color_name	It specifies the name of the color for the text in the Document.	<body text = "color_name">	<body text = "red">
hex_number	It specifies the hex code of the color of the Text in the Document.	<body text = " hexadecimal_code " >	<body text = " #ff0000 ">
rgb_number	It specifies the rgb value of the Text in the Document.	<body text = rgb_number (RR, GG, BB) >	<body text = rgb (255,0,0) >

Table 2: Text attributes for color

4.5 Design Requirement

Website Requirements only tell the designer what he will do for their clients. It also tells about features, functions, characteristics related to the website, and the content of the website. Requirements can begin as a step-by-step process, thus the client and the designer have no issue after the completion of the website or we can say it is an agreement between the two parties because it can be a complex task, therefore it cannot be possible without understanding. Several types of requirements may be defined during the process that comes together to focus and prioritize the project plan. The following requirements are given below:

Types of Requirements:

- **Business Requirements:** It defines the objectives and the problems solved related to the owner.
- **User Requirements** It describes the user expectations and interaction with the product by the user. In which user gives their requirement to the designer, so that designer fulfills all the tasks according to user needs.
- **Functional Requirements:** It provides detailed information about the product behavior, functional behavior, and needs related to the development of the project.
- **Quality-of-Service Requirements:** It provides a detailed overview of the characteristics of the product, to maintain its effectiveness and constraints under the development process.
- **Implementation Requirements:** It shows the team roles, detailed changes in process and migration from one system to another system, etc.

- **Some other Requirements:** In which some information related to logo designing, color combination, domain hosting, image optimization, user friendly, compatibility on mobile and computer system and maintenance.

4.6 Attributes for <BODY>

The <body> tag has the following attributes which can be used to set different colors.

Attributes	Description	Syntax	Example
BGColor	It will be used to set a color of the background of the page.	<body bgcolor = "colorname">	<body bgcolor = "red">
Text	It will be used to set a color for the individual text.	<body text = "color name">	<body text = "red">
alink	It will be used to set a color for the active link on a web page.	<body alink = "color name Hex number rgb_number ">	<body alink = "green">
Vlink	It will be used to set a color for the visited link when a client clicks on the text.	<body vlink = "color name hex number rgb number">	<body vlink = "green">

Table 3: Attributes of Body tag

Handy Tips of Body attributes:

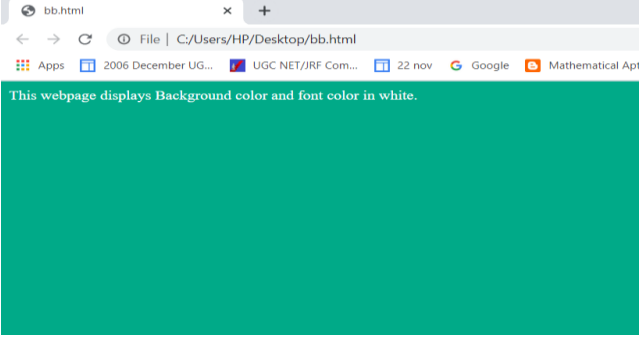
Example	Output
<pre> <html> <head> </head> <body bgcolor = " 00AA88 " text = white> This webpage displays Background color and font color in white. </body> </html> </pre>	 <p>The screenshot shows a web browser window with a single tab titled 'bb.html'. The address bar shows the file path 'C:/Users/HP/Desktop/bb.html'. The browser's toolbar includes icons for back, forward, and refresh, along with search engines like Google and Bing. The webpage content is a solid teal rectangle with the text 'This webpage displays Background color and font color in white.' written in white.</p>

Figure 5: Output of body attribute example

Table 4: Examples and output of Body attributes

4.7 HTML approach to Web design

Web designing is not only a process for creating a website. There are four different ways to create a website and all these techniques do not require the knowledge of HTML and CSS, though it is for the designer convenience that they have some basic idea of HTML and CSS. The four ways to creating a website are:

1. Program it from scratch:

If a new Web designer or beginner has already good HTML and CSS skills, then designing a website from the initial point is the most cost-effective otherwise HTML and CSS are a time-consuming option. Thus, there are several latest code editors available in the market such as Dreamweaver, notepad-plus-plus, etc. These editors help to create a website a little easier than HTML and CSS.

2. Start with a template:

A web designer creates the website by using a website template. In this case, the programmer has to use their programming skills for editing the content according to their needs.

3. Use a website builder:

Website builders advertise themselves as the easiest and quickest way to create a website. Companies are the best alternative for helping to create the website, they offer a full package for design a website with free hosting and a free subdomain name. Sometimes, companies charge monthly or yearly from their customers for the full domain name and they also charged for customer advertisements, extra storage space, and bandwidth restrictions.

4. Utilize content management system:

CMS is the short-term content management system if a person has skills related to HTML and CSS. Then, with the help of CMS, the designer can create the website according to their needs. Some CMS are available which helps to create HTML websites such as word press, Joomla, and blogger, all these are available online for free of cost. These CMS are built with a database and drag and drop facilities are available in these CMS.

4.8 Introduction to Font

Font tag is one of the most important tags used in an HTML webpage. It is used in place of the text with different attributes font size, color, and style. Font tag is used within the inline element to change some features of block text written in HTML document. The text enclosed within tag.

1. Size: The size attribute is used to define the text with a specific size from 1 to 7. The default size of the font is 3.

Very Small	Small	Regular	Medium	Large	Extra Large	Largest
1	2	3	4	5	6	7

Table 5: Size of font

2. Face or Type: This attribute is used to define the font type such as Times New Roman, Arial, etc. Its value can be the name of the available font or desired font that must exist in the system. If the name not already available in the system, the browser will take the default name.

3. Color: This attribute is used to change the color of the text with RGB or hexadecimal format as already described. The hexadecimal code is given in the earlier part. The default color of the font is black. If the text color is given in this tag, then the following text after this tag appears in the color given in that tag.

Handy Tips of Font tag:

Example	Output
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<pre> <html> <head> <title> Font Tag </title> </head> <body> <h2> Font tag example with attributes </h2> <p> "Successful and unsuccessful people do not vary greatly in their abilities.
 They vary in their desires to reach their potential." </p> <p> "Strive for progress, not perfection." </p> <p> "There are no shortcuts to any place worth going." </p> </body> </html> </pre>	 <p>Font tag example with attributes</p> <p>“Successful and unsuccessful people do not vary greatly in their abilities. They vary in their desires to reach their potential.”</p> <p>“Strive for progress, not perfection.”</p> <p>“There are no shortcuts to any place worth going.”</p> <p>Figure 6: Output of Font attribute example</p>
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Table 6: Examples and output of Font attributes

4.9 Introduction to TABLES

A two-dimensional matrix that consists of rows and columns is known as a Table. It is used to display data in the form of rows and columns on a web page. These are formulated by using top-down and left-right strategies. Following are the tags used to create a table, row, column.

<TABLE> </TABLE> In HTML, the table is created by adding all the tags in these tags.
<TR> </TR> Each row of the table starts with the beginning tag and ends with the ending tag. The number of columns can be calculated automatically by adding several cells in the row.

Tables rows in HTML can be given using two types:

- **<TH> ... </TH>** It is referred to as the Table Header. The content given in between the opening **<TH>** and closing **</TH>** tag is automatically aligned as a center and in

boldface.

- **<TD> ... </TD>** It is defined as Table data. It is used to represent the data cells given in horizontal rows. A table includes single data (single column) and multiple data (multiple columns). The text given in the table is by default left-aligned or justified.
- **<caption>** It is used to defines the caption of table.
- **<callgroup>** It is used to specifies a group of one or more columns in a table.
- **<tbody>** It is used to represent the group of the body content in a table.
- **<thead>** It is used to specify the group of header content in a table.
- **<tfooter>** It is used to group the footer content in a table.
- **<Label> tag** The label tag is used for screen reader users because our readers will read out the labels when users focus on the input tag. It should be same as ID attribute of the input element to bind them together.

4.9.1. Attributes of Tables: The attributes of the table can be used for setting the width, border, cell-spacing, etc. The most commonly adopted attributes are:

Attributes	Values	Syntax	Example
ALIGN	This attribute is used to set the horizontal alignment of the table concerning the browser window. The value for ALIGN attribute is left, center, right.	<Table align = " left center right ">	<Table align = " center ">
VALIGN	This attribute is used to set the vertical alignment of the content given in the cell. The value for VALIGN attributes is the top, middle, bottom.	< Table valign = "top middle baseline bottom" >	<Table valign = " middle">
BORDER	The border attribute displays the width of the table border. The table does not contain a border by default. by default its value is 1. While applying the border attribute, it appears in all the tables as well as in each cell of the table.	< Table Border > or < Table Border = "1" >	<Table Border> or <Table Border = "1">
WIDTH	The Width attribute sets the table width in the form number of pixels or according to the horizontal width of the browser in percentages such as (50%, 150%, etc.). If the width attribute is not specified then it will be adjusted according to the cell's data.	< Table width = "value" border = "value" >	<Table width = "50%" border = "2">

CELLPADDING	Cellpadding attributes set the free space between content and the boundary of the cell. The default value of cell padding is 1 pixel. Its value can be given either in pixels or in percentage.	< Table cellpadding = "value" border = "value" >	<Table cellpadding = "10%" border = "1">
CELLSPACING	The cellspacing attribute is used to set the spacing between the cells. The default value of Cellspacing is 2 pixels.	< table cellspacing = "value" border = "value" >	<table cellspacing = "5" border = "3">
ROWSPAN	The rowspan attribute allows a single cell to spread in more than one row or how many rows can be occupied by one cell. It can be represented with the <TD> or <TH> tag. the default value of the rowspan attribute is 1.	< TD rowspan = "value" >	<TD rowspan = "2">
COLSPAN	The colspan attribute allows a single cell to spread in more than one column or how many columns can be occupied by one cell. It can be represented with the <TD> or <TH> tag.	< TD colspan = "value" >	<TD colspan = "2">
RULES	This attribute is used to control the inner borders in a table between the cells. Its value can be given as none, cols, rows, all, groups. Syntax:	< table rules = " " >	<table rules = "">

Table 7: Attributes of <Table> tag

4.9.2. The Caption Tag: The caption represents the heading that gives readers a piece of information about the related content in the table. It can be given using the <CAPTION> ...</CAPTION> tag. This tag is given in between the <TABLE>... </TABLE> tags. It can appear above or below the table using the align attribute.

Attributes	Values
ALIGN	This tag places the caption of the table at the top or bottom. ALIGN = TOP caption appears above the table. ALIGN = BOTTOM caption appears below the table. Syntax:<CAPTION ALIGN = " TOP "> </CAPTION>

Table 8: Attributes of <Caption> tag

4.9.3. Nested Tables: These kinds of tables are created by placing one table inside another table. In other words, an entire table can be placed in a cell of another table.

Example of Nested Table is:

Handy Tips of Tables:

Example

```
<html>
<head>
  <style>
    table, th, td {
      border: 2px solid black ;
      border-collapse: collapse ;
      background-color: green ;
      align: center ;
    }
    th, td {
      padding: 5px ;
      text-align: left ;
      align: center ;
    }
    table#t01 {
      width: 100% ;
    }
  </style>
<title> Tables </Title>
</head>
<body>

  <table style = "width:50%">
    <tr> <td colspan = "3"> <b> Univeristy
Students Record </b> </td> </td>
    <tr>
      <th> <b> Firstname </b> </th>
      <th> <b> Lastname </b> </th>
      <th> <b> Age </b> </th>
```

Output

Univeristy Students Record		
Firstname	Lastname	Age
Priya	Sharma	22
Kajal	Rani	23
Sandeep	Sharma	20

Figure 7: Output of table

<pre> </tr> <tr> <td> Priya </td> <td> Sharma </td> <td> 22 </td> </tr> <tr> <td> Kajal </td> <td> Rani </td> <td> 23 </td> </tr> <tr> <td> Sandeep </td> <td> Sharma </td> <td> 20 </td> </tr> </table>

 </body> </html> </pre>	
---	--

Table 9: Example of Tables

Check your progress 1

6. State Weather True or false:

- v. The vertical and horizontal alignment can be controlled by the VALIGN and ALIGN attributes of the row using the <TR> tag.
- vi. Table header is defined using the <TD> ... </TD> tag.
- vii. RULES attribute controls the spacing between cells.
- viii. cellpadding is used to set the space between data in a cell.

7. Design a web page using HTML that includes the detail of academic achievement in the table.

8. Design a web page that contains the detail of the following trains.

- Name of Train
- Starting location
- Stopping location
- Check-in and check-out
- Price

A table includes the border and cell padding and alignment should be center. The output of the table is given in the following format.

Name of Train	Starting Location	Stopping location	Timings		Price
			Check-in	Check-out	
A	Delhi	Mumbai	9:00	9:10	200
B	Mumbai	Delhi	10:00	10:10	300

C	Rajasthan	Delhi	11:00	11:10	400
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Table 10: Example of Table

Hands on Practice

Example 1:

```

<!doctype html>
<html>
<head>
<meta charset = "utf-8">
<title> NestedTables </title>
</head>
<body>
<caption title = "Container Table"> Container Table </caption>
<table border = "5px" bordercolor = "red">
<tr>
<td >
<table>
<tr> <th colspan = "2"> Nested Table 2 </th> </tr>
<tr> <th> Column 1 </th> <th> Column 2 </th> </tr>
<tr> <td> Our First Table </td>
<td> Nested Within </td> </tr>
</table>
</td>
<td>
<table >
<tr> <th> Nested Table 2 </th> </tr>
<tr>
<td>
<ul>
<li> List Object 1 </li>
<li> List Object 2 </li>
<li> List Object 3 </li>
</ul>
</td>
</tr>
</table> </td> </tr>
<tr>
<td>
<table>
<tr> <th colspan = "2" align = "center"> Nested Table 3 </th> </tr>
<tr>
<td> <a href = ""> Nested Table </a> </td>
<td> Demo Continued </td> </tr>

```

```

</table> </td>
<td>
<table>
<tr> <th> Nested Table 4 </th> </tr>
<tr>
<td> <img src = "images.png" height = "120px" width = "120px" alt = "Sorry Image could not
be displayed"> </td> </tr> </table>
</td>
</tr>
</table>
</body>
</html>

```

Example 2:

```

<!DOCTYPE html>
<html>
<head> <title> Special symbols in HTML </title> </head>
<body>
<h3> Mathematical Operations Symbols </h3>
<p> Plus Minus Sign <b> &#177 </b> </p>
<p> Multiplication sign <b> &#215 </b> </p>
<p> Division sign <b> &#247 </b> </p>
<p> One fourth part showing sign <b> &#188 </b> </p>
<p> Half part showing sign <b> &#189 </b> </p>
<p> Three Fourth part showing sign <b> &#190 </b> </p>
<p> There Exist Sign <b> &#8707 </b> </p>
<p> Empty Set Sign <b> &#8709 </b> </p>
<p> CONTAINS AS MEMBER sign <b> &#8715 </b> </p>
<p> N - ARY PRODUCT sign <b> &#8719 </b> </p>
<p> N - ARY SUMMATION <b> &#8721 </b> </p>
<p> Not a element sign <b> &#8713 </b> </p>
</body>
</html>

```

Example 3:

```

<!DOCTYPE html>
<html>
<head>
<title> Setting Basefont Color </title>
</head>
<body>
<basefont face = "arial, verdana, sans-serif" size = "2" color = "#ff0000">
<p> This is the page's default font . </p>
<h2> Example of the &lt;basefont&gt; Element </h2>
</body>

```

</html>

Example 4:

```
<HTML>
<HEAD>
<TITLE>
  HTML Table Design
</TITLE>
<style>
table, th, td {
  border: 1px solid black;
}
</style>
</HEAD>
<BODY>
<TABLE style= "width: 80%" align = "center">
<caption> CSC503 timetable < / caption>
<tr >
<td width=50%> </td>
<th width = 150> Monday < /th>
<th width = 150> Tuesday </th>
<th width = 150> Wednesday </th>
<th width = 150> Thursday </th>
<th width = 150> Friday </th>
</tr>
<tr >
<td > 6-7pm </td>
<td > Look at website</td>
<td > free </td>
<td > Implementation </td>
<td > free </td>
<td > free </td>
</tr>
<tr >
<td > 7 - 8 pm </td>
<td > Take some notes</td>
<td > free </td>
<td > Implementation </td>
<td > free </td>
<td > free </td>
</tr>
<tr >
<td > 8 - 9 pm </td>
<td > Take some notes</td>
<td > free </td>
```

```
<td > Implementation </td>
<td > free </td>
<td > free </td>
</tr>
```

```
</TABLE>
</BODY >
</HTML >
```

4.10 SUMMARY

This unit covers the important and advanced features of HTML. This helps in designing an attractive website and the data is represented in the form of tables. It display the screen with the color or background images that help in designing an attractive website. The table can be designed by following the instructions given in this unit that includes the details in the form of biodata or any reports in a very simple way to better understand the information. The tables can also be represented in nested form. One can easily understand the tabular data instead of a paragraph. There exist some properties of table that can be represented as cellspacing, cellpadding, border, margin, color, bgcolor, etc. that help in giving an attractive look to the web page.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: WEB DESIGNING AND DEVELOPMENT

UNIT 5 LIST AND FRAMES

STRUCTURE

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- 5.1 Objective**
- 5.2 List**
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 - 5.3.1. <FRAMESET> Tag**
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- 5.4 Summary**

5.0 INTRODUCTION

The previous unit contains information about the basic tags and advanced features of creating tables and nested tables. Some other advanced features are List, Frameset, etc. With the help of these tags, one can easily divide the browser's window into multiple parts and represent the list in proper order. Lists can be categorized into Ordered List, Unordered List and Definition List. There are some other attributes of advanced tags that are listed in this unit.

5.1 OBJECTIVES

This unit helps the learners to understand the concepts of HTML Lists, frames and they will be able to design the web pages and website that contain multiple frames.

- Lists

- Frames for dividing the web page into different parts

5.2 List

The list represents the data in points mode such as items list, etc. The list breaks the long paragraphs into points for directing the reader's attention to important information. The list can be classified into three forms:

1. Ordered List
2. Unordered List
3. Definition List
4. Nested List

5.2.1. Ordered List:

The ordered List includes the numbered listing of items. The numbering is in the form of A, B, C or a, b, c or 1, 2, 3 or I, II, III, etc. The list is incremented after each successive order. An ordered list can be created by the following tags:

`` `` represents an ordered list with a beginning and ending tag.
`` `` represents list item.

Attributes of an ordered list: It includes the attributes of the ordered list:

Attributes	Values	Syntax	Example
TYPE	Following are the feasible options of the numbered list. <code><OL TYPE = "1" ></code> default case that includes numbers such as 1,2,3... <code><OL TYPE = "a"></code> Lowercase letters such as a, b, c..... <code><OL TYPE = "A"></code> Uppercase letters such as A, B, C..... <code><OL TYPE = "i" ></code> Lowercase letters that include numerals such as i, ii, iii.... <code><OL TYPE = "I"></code> Uppercase letters that include numerals such as I, II, III....	<code><OL TYPE = "1" ></code>	<code><OL TYPE = "1" ></code>
START	<code><OL TYPE = "A" START = 5></code> It starts the numbered list beginning from E. It can be set to any number.	<code><OL TYPE = "A" START = value></code>	<code><OL TYPE = "A" START = 5></code>

Table 1: Attributes of Ordered List

5.2.2. Unordered List

An unordered list includes the collection of items without having any sequence and order. The items in the list are represented in the form of bullets. An Unordered list can be created by the following tags:

`` `` represents an Unordered list with a beginning and ending tag.
`` `` represents list item.

Attributes of Unordered List:

Attributes	Values	Syntax	Example
TYPE	Following are the feasible options of the bulleted list. <code><UL TYPE = "square"></code> It shows the solid square bullet in black. <code><UL TYPE = "circle"></code> It shows the hollow circle. <code><UL TYPE = "disc"></code> By default it is used and it will give a solid filled circle.	<code><UL TYPE = "value"></code>	<code><UL TYPE = "square"></code>

Table 2: Attributes of Unordered List

5.2.3. Definition List

The definition list includes the definitions that are represented in the form of a dictionary or encyclopedia. It represents the dictionary, list of definitions, etc. in the order of the list. It includes the heading and the text appeared below the heading. This list is created using the following tags:

`<DL></DL>` Definition list creates the list of definitions.
`<DT></DT>` Definition term includes the heading.
`<DD></DD>` Definition description includes the definition

5.2.4. Nested List

Lists can be represented in nested form. A nested list can be defined as the list within another list. In other words, a Nested list can be represented as an element of another list or a sub-list. It works for creating a menu-like entity where the hierarchy is required

Example:

1. Tea
 - Black Tea
 - Green Tea
2. Milk
3. Shakes
 - a. Banana Shake
 - b. Mango Shake
 - c. Strawberry Shake

Advantages of HTML List:

1. **Flexibility:** If a designer has to change the order of the list items, then he/she just move the items according to requirement.
2. **Styling:** List allows the designer to style the list properly by using CSS, so it can be format according to need.
3. **Semantics:** HTML lists give the content the proper semantic rules. It helps the readers while reading as well as they does not confuse in text and numbers

Handy Tips of Lists:

Example	Output
---------	--------

```

html>
<head>
<title> Types of List </title>
</head>
<body>
<h2> Ordered List of items </h2>

<ol>
  <li> Item1 </li>
  <li> Item2 </li>
  <li> Item3 </li>
  <li> Item4 </li>
</ol>
<br>
<h2> Unordered List with Disc Bullets </h2>
<h2> List of items </h2>

<ul style = "list-style-type:disc">
  <li> Item1 </li>
  <li> Item2 </li>
  <li> Item3 </li>
  <li> Item4 </li>
</ul> <br>
<h2> A Description List </h2>
<dl>
  <dt> Item1 </dt>
  <dd> Item definition </dd>
  <dt> Item2 </dt>
  <dd> Item definition </dd>
</dl> <br>
<h2> A Nested List of items </h2>

<ul>
  <li> Item1 </li>
  <li> Item2 </li>
  <ul>
    <li> Item3 </li>
    <li> Item4 </li>
  </ul>
  </li>
  <li> Item5 </li>
</ul>
</body>
</html>

```

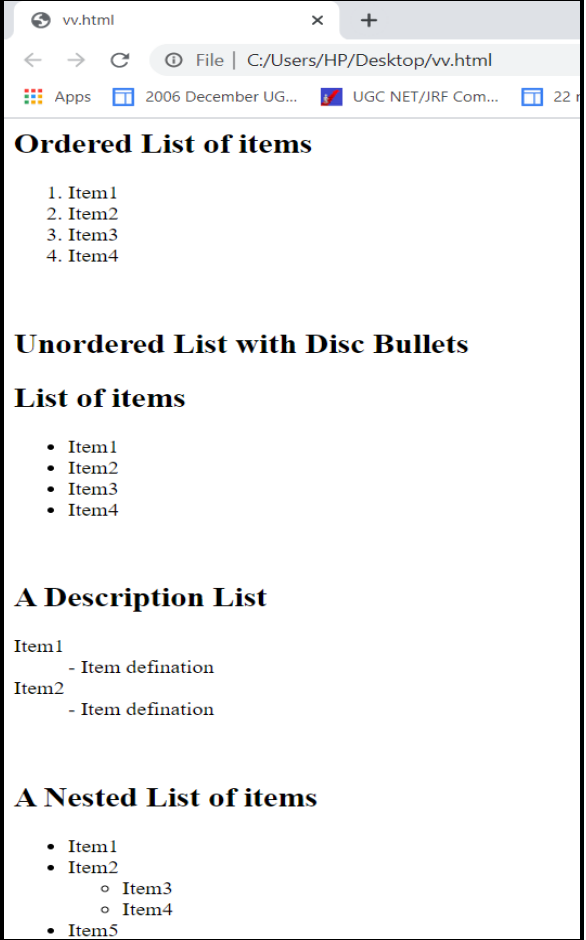


Figure 1: Output of Lists

Dropdown List:

Output

```

<!DOCTYPE html>
<html>
<head>
<meta name = "viewport" content = "width = device-
width, initial-scale = 1">
<style>
.dropbtn {
background-color: #04AA6D;
color: white;
padding: 16px;
font-size: 16px;
border: none;
}

.dropdown {
position: relative;
display: inline-block;
}

.dropdown-content {
display: none;
position: absolute;
background-color: #f1f1f1;
min-width: 160px;
box-shadow: 0px 8px 16px 0px rgba(0,0,0,0.2);
z-index: 1;
}

.dropdown-content a {
color: black;
padding: 12px 16px;
text-decoration: none;
display: block;
}

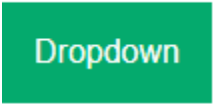
.dropdown-content a:hover {background-color: #ddd;}

.dropdown:hover .dropdown-content {display: block;}

.dropdown:hover .dropbtn {background-color:
#3e8e41;}
</style>
</head>
<body>

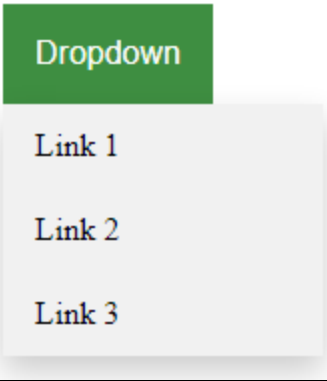
```

Before Click the Dropdown Button



Dropdown

After Click the Dropdown Button



Dropdown

Link 1

Link 2

Link 3

<pre> <h2>Hoverable Dropdown</h2> <p>Move the mouse over the button to open the dropdown menu.</p> <div class = "dropdown"> <button class = "dropbtn">Dropdown</button> <div class = "dropdown-content"> Link 1 Link 2 Link 3 </div> </div> </body> </html> </pre>	
--	--

Table 3: Example of Ordered and Unordered List

Check Your Progress 1

1. State Weather True or false:
 - i. List are categorized into three types: , , <DL>
 - ii. Starts attribute maintains the ordering sequence in an unordered list.
 - iii. An Unordered List type attribute's value can be disc, circle, square.
 - iv. Definition list consists of < DL>, <DT>, <DD> tags.
2. Design the following given web page using List.

<pre> // Example of Unordered List ▪ Time ▪ Space ▪ Business // Example of Ordered List v. Sports vi. Dance vii. Music // Example of Definition List Computer Common operating machines are particularly used in trade, education, and research. HTML Hypertext Markup Language. </pre>
--

Table 4: List example

5.3 Frames

Frames are one of the most important concepts in HTML. The chief objective of frames is to divide the browser's window into multiple regions where each region contains a different HTML page. Each region works independently and is known as Frame. The frame helps us to display multiple web pages on a single browser window. With the help of frames, one can load and reload several parts of the window instead of the complete browser window.

Each frame is separated by a border on a browser. Each frame may contain a different HTML document which is represented by its URL. The scroll bar is available in each frame to change the size of the frame and one frame can be linked with the other frame.

A collection of frames on the browser's window is known as a frameset. It does not contain any content, though it tells the browser to divide the window into frames. The frameset can be created using `<FRAMESET> ... </FRAMESET>` tags.

The two important frame tags are `<FRAMESET>` and `<FRAME>`.

5.3.1. `<FRAMESET>` Tag: It divides the browser's window into frames by embedding the `<FRAMESET> ... </FRAMESET>` tag in the HTML document. It requires one of the two attributes to divide the screen into rows and columns.

Attribute	Description
Rows	<p>This attribute divides the screen into multiple rows on the browser window. The number of frames specified by the number of values and is separated by a comma.</p> <p>The value can be in the form of</p> <ul style="list-style-type: none">• In Pixel• In Percentage• Symbol '*' represents remaining space.
Cols	<p>This attribute divides the screen into multiple columns on the browser window. The number of frames specified by the number of values and is separated by a comma.</p> <p>The value can be in the form of</p> <ul style="list-style-type: none">• In Pixel• In Percentage• Symbol '*' represents remaining space.

Table 5: `<Frameset>` attributes

5.3.2. <Frame> Tag: Once the <Frameset> divides the browser window into horizontal or vertical sections, each defined section can be loaded with a separate HTML document. It is a singular tag, and it contains the following attributes.

Attribute	Description
SRC = "URL"	This attribute indicates the address or URL of the document that is loaded in the frame.
Name	This attribute gives the name to the frame to be referenced. This can be used when the links of one frame need to be loaded in another frame. Syntax: <frame name = "value" src = "value">
MarginHeight = "n"	This attribute is used to set the white space above and below the frame. The value is to be specified in pixels. Syntax: <frame marginheight = "10">
Marginwidth = "n"	This attribute is used to set the white space left and right of the frame. The value is to be specified in pixels. Syntax: <frame marginwidth = "10">
Noresize	This attribute will not allow the users to resize the frame. It does not contain any value. The default setting of this attribute is disabled. Syntax: <frame noresize src = " ">
Scrolling	This attribute controls the appearance of the horizontal and vertical scroll bars in a frame. The values can be given as yes/no/auto. AUTO feature automatically adds the scrollbar as the content in the frame increases. YES indicates the scrollbars are included in the frame. NO indicates that no frame includes scroll bars.
Frameborders and Bordercolor	This attribute makes the border on or off and also adds the color of borders. frameborder takes 2 values: 1 (ON) or 0 (OFF). The default value will be 1. Syntax: <Frame Frameborder = "1">
Longdesc	This attribute is used to provide the link to another page with a longer description.

Table 6: <Frame> attributes

Advantage of Frames

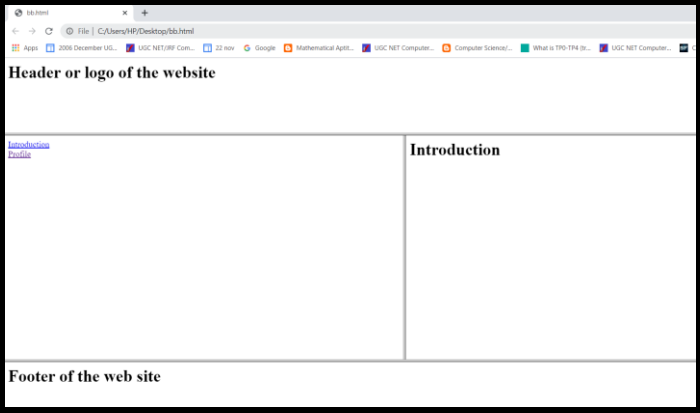
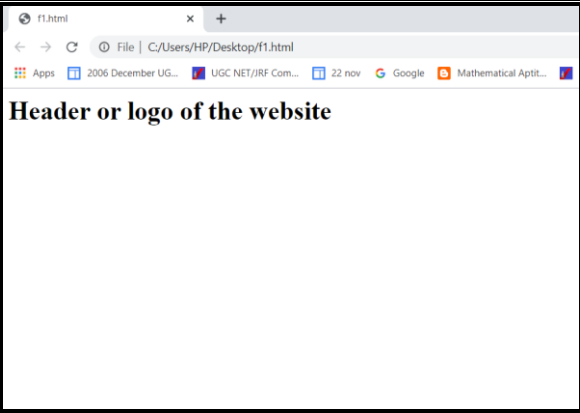
1. Without loading the complete window it can load and reload multiple regions.
2. By using a frame, multiple web pages can be displayed on a single browser instead of going back and forth.
3. Navigation system can be updated by making changes only on a single web page for the complete website.

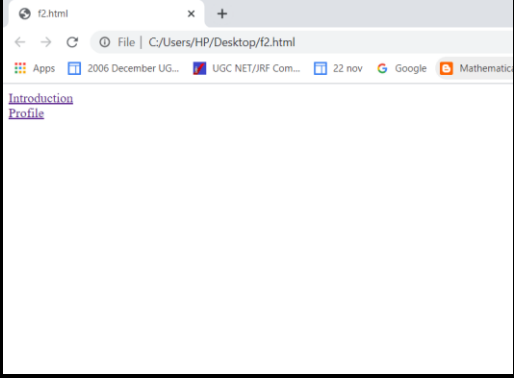

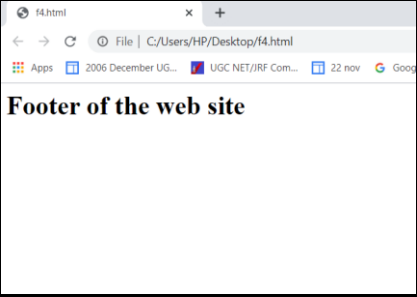
Disadvantage of Frames

1. The loading time of frames is increased as Frame is loaded separately.
2. Some devices smaller in size may not work with the frames.

3. Some browsers do not support frame technology.
4. Bookmarking is difficult on frames.
5. Mobile users may not work with frames.

Handy Tips of Frames:

<p>Example</p> <pre><frameset rows = "20%,60%,*"> <frame src = "f1.html"> <frameset cols = "50%,*"> <frame src = "f2.html"> <frame src = "f3.html" name = "f3"> </frameset> <frame src = "f4.html"> </frameset></pre>	<p>Output</p>  <p>Figure 2: Output of frames</p>
<p>F1.html</p> <pre><html> <head> </head> <body> <h1>Header or logo of the website</h1> </body> </html></pre>	 <p>Figure 3: Output of f1.html</p>
<p>F2.html</p>	

<pre> <html> <head> </head> <body> Introduction
 Profile </body> </html> </pre>	 <p>Figure 4: Output of f2.html</p>
<p>F3.html</p>	
<pre> <html> <head> </head> <body> <h1>Introduction </h1> </body> </html> </pre>	 <p>Figure 5: Output of f3.html</p>
<p>F4.html</p>	
<pre> <html> <head> </head> <body> <h1>Footer of the web site </h1> </body> </html> </pre>	 <p>Figure 6: Output of f4.html</p>
<p>F5.html</p>	

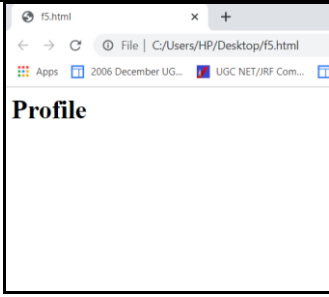
<pre> <html> <head> </head> <body> <h1>Profile </h1> </body> </html> </pre>	
<p>Figure 7: Output of f5.html</p>	

Table 7: Example of Frameset

Check Your Progress 2

- State Weather True or false:
 - The frame cannot be resized by default.
 - <FRAME> enables the web page to be divided into different regions.
 - The scrolling attribute enables the visibility of only the horizontal scrollbar.
 - URL contains the address of the document to be loaded in the frame.
- Create two vertical frames with 30%, *. The first frame contains the links of the company, profile, contact information, etc. And the second frame will display the document whose link is clicked
- Write the code to design the frame of the following figure:



Figure 7: Design Frames

Objective Type questions:

- What is the correct way to create a list by using the lowercase letters?
 - <ol type = "a">
 - <ul type = "a">
 - <ol alpha = "a">
 - None of the above.
- Which is the correct method to start an ordered list that starts with the number 4?
 - <ol type = "1" start = 1>
 - <ol type = "1" begin = 1>
 - <ol type = "1" start = 4>

h) `<ol type = "1" begin = 4>`

15. The tag that can be used to add power in the following example $(a+b)^2$.

e) `<sub>`

f) `<sup>`

g) `<p>`

h) None of the above

16. The correct way to apply the font tag in HTML is:

a) ` Text `

b) ` Text `

c) ` Text `

d) None of the above

17. Gif and jpeg are the formats of which kind of files?

e) Images

f) Audio

g) Video

h) None of the above

18. The tags used to create checkbox in the HTML are:

e) `<input name = "checkbox">`

f) `<checkbox> Text </checkbox>`

g) `<input type = "checkbox">`

h) None of the above

19. DD stands for

e) Data Description

f) Data Definition

g) Detailed Data

h) None of the above

20. Which tag is used to align the text center in the table?

e) `<tdalign>`

f) `<td valign = "center">`

g) `<td align = "center">`

h) `<tr valign = "center">`

21. The attributes of the `<frameset>` tag include

e) Rows

- f) Cols
- g) Both a and b
- h) None of the above

22. The attribute used to create two vertical frames are

- e) cols
- f) rows
- g) both a and b
- h) None of the above

23. The attribute used to force all the web links to open in the target frame is

- e) Frame and iframe
- f) Frame and target
- g) Base and target
- h) Base and frame

24. What is the use of iframe in HTML?

- e) It displays a web page within another web page.
- f) It displays a web page with animation effects.
- g) It displays a web page without a browser.
- h) All of the above.

Hands on Practice

Example 1:

```
<html>
<head>
<title> Example </title>
</head>
<body>
<h2>Horizontal List</h2>
<ul id = "menu">
  <li>HTML</li>
  <li>CSS</li>
  <li>JavaScript</li>
  <li>PHP</li>
</ul>
</body>
</html>
```

Example 2:

```
<html>
<head>
```

```

<title> Example </title>
</head>
<body>
<dl>
  <dt>Aries</dt>
  <dd>-One of the 12 horoscope sign.</dd>
  <dt>Bingo</dt>
  <dd>-One of my evening snacks</dd>
  <dt>Leo</dt>
  <dd>-It is also an one of the 12 horoscope sign.</dd>
  <dt>Oracle</dt>
  <dd> It is a multinational technology corporation.</dd>
</dl>
</body>
</html>

```

Example 3:

```

<html>
<head>
<title> Example </title>
</head>
<body>
  <p> List of Indian States with their capital </p>
  <ol>
    <li> Delhi
      <ul>
        <li> NewDelhi </li>
      </ul>
    </li>
    <li> Haryana
      <ul>
        <li> Chandigarh </li>
      </ul>
    </li>
    <li> Gujarat
      <ul>
        <li> Gandhinagar </li>
      </ul>
    </li>
    <li> Rajasthan
      <ul>
        <li> Jaipur </li>
      </ul>
    </li>
    <li> Maharashtra
      <ul>

```

```

        <li> Mumbai </li>
    </ul>
</li>
<li> Uttarpradesh
    <ul>
        <li> Lucknow </li></ul>
</li>
</ol>
</body> </html>

```

Example 4 :

```

<!DOCTYPE html>
<html>
    <head>
        <title> HTML Frames </title>
    </head>
    <frameset rows = " 10% , 80% , 10% " >
        <frame name = "top" src = "top_frame.html" />
        <frame name = "main" src = "main_frame.html" />
        <frame name = "bottom" src = "bottom_frame.html" />
    <noframes>
        <body> Your browser does not support frames. </body>
    </noframes>
</frameset>
</html>

```

Example 5:

```

<!DOCTYPE html>
<html>
    <head>
        <title> HTML Frames </title>
    </head>

    <frameset cols = " 25% , 50% , 25% " >
        <frame name = "left" src = "top_frame.htm" />
        <frame name = "center" src = "main_frame.htm" />
        <frame name = "right" src = "bottom_frame.htm" />
    <noframes>
        <body> Your browser does not support frames. </body>
    </noframes>
</frameset>
</html>

```

Example 6:

```

<!DOCTYPE html>
<html>
    <head>
        <title> HTML Target Frames </title>
    </head>

```

```
<frameset cols = " 200 , * " >
  <frame src = " / html / menu . html " name = "menu_page" />
  <frame src = " /html / main . html " name = "main_page" />
  <noframes>
    <body> Your browser does not support frames. </body>
  </noframes>
</frameset>
</html>
```

5.4 SUMMARY

This unit helps in designing an attractive website and the data is represented in the form of lists, frames are used etc. List tag helps the designer to design web pages with primary data. The list can be categorized into three types: Ordered, Unordered, and Definition. Ordered list helps in creating an order between different elements in the sequence and in Unordered list, there is no sequence in the number of elements. Frames can also be created for dividing the browser window, to display more than one document on a screen.

BACHELOR OF ARTS (LIBERAL ARTS)
SEMESTER IV

COURSE: WEB DESIGNING AND DEVELOPMENT

UNIT 6 STYLE SHEETS

STRUCTURE

- 6.0 Introduction**
- 6.1 Objective**
- 6.2 Introduction to CSS**
- 6.3 CSS Advantages**
- 6.4 CSS Syntax**
- 6.5 Type of Selectors**
- 6.6 CSS Comments**
- 6.7 CSS Inclusion**
 - 6.7.1. Embedded CSS**
 - 6.7.2. Inline CSS**
 - 6.7.3. External CSS**
 - 6.7.4. Imported CSS**
- 6.8 CSS Colors**
- 6.9 Summary**

6.0INTRODUCTION

Styles sheets are the most powerful mechanism in providing the styles to the web pages. It helps in making a standard or uniformity throughout the website. The styles sheets provide a method where properties, text, image formatting can be applied on the web page. The purpose of the style sheet is to give look and feel to the website using different properties. The tags given in the HTML document are pinned to the styles. The benefits are to create a global change in the website i.e., on all the pages from a single location. If any changes need to be performed, this can be done in one place only. This helps in generating the rules on the HTML document that specify the content appearing on the browser. For example, all the pages of the website contain a

background in cream color, all the paragraphs are given using Times New Roman font face, and all the headings follow the same pattern on all the pages. In this way, CSS helps in creating uniformity throughout the website.

6.1 OBJECTIVES

Once we know how to write the HTML code, the next step is the use of CSS which helps in giving styles to the content or images on a web page. This topic will cover the following in detail:

- Introduction to CSS
- The rules to write CSS code
- The working of CSS code in HTML document.
- The properties of different elements of CSS.

The remaining topics in this section will cover the various CSS properties that can be used for designing attractive pages.

6.2 Introduction to CSS

Cascading style sheet (CSS) describes how web pages are presented on the screen. A cascading style sheet is a code that helps to change the content of an individual page or style represented on the entire screen. W3C has actively announced the use of style sheets on the web page in 1994.

CSS controls the styles of a web page. Cascading style sheet (CSS) provides the easiest and effective way to represent various properties of the HTML tags. In CSS, each property has a name and value separated by a colon (:) and if a designer uses more than one property in the same line then the code is separated by (,) and each property declaration is separated by a semicolon (;) at the end of code.

This is a simple language used for designing web pages and makes them more attractive and presentable. This is to be used by the designers and the following are the features of CSS that must be required to create a website:

- **Designing Skills:** The web designer must have the skills of creating a website using HTML and CSS. With the knowledge of these languages, anyone can design a website.
- **Creating Astonishing sites:** CSS gives the websites a look by using different colors of text, styles of fonts, layouts, background colors, images, etc. for the different display devices and screen sizes.
- **Easy to Understand:** CSS is easy to understand, it provides control over the content in HTML documents. It is combined with HTML or XHTML i.e.; It works with the markup languages.

- **Language Understanding:** With the help of HTML and CSS, anyone can understand the related languages which become easy to learn and understand such as PHP, ASP.NET, JavaScript, etc.

HTML 4.0 provides the support for the following features:

- **Flexible Placement of style information:** By placing the style sheets in a separate files, makes it easy to reuse. Sometimes it is useful to include the rendering instructions in the document to which they apply, either added in the attributes of the element or at the start of the document.
- **Independence from specific language:** This specification does not tie HTML document to any particular style sheet language.
- **Cascading:** This is the capability provided by the style sheet like CSS that allows styles from several sources to be blended together. In this the styles can be given to the group of documents or it can be given to the any specific document. By storing these styles sheets separately, makes it reusable. Not all the style sheet languages support cascading feature.
- **Alternate Styles:** The document can be viewed by different ways. For example, a style sheet for rendering documents with small font size or the one that specifies larger font size for increased legibility. This specification allows the authors to specify a preferred style sheet as well as alternate styles that target specific users or media.

6.3 CSS Advantages

CSS is one of the most widely adopted languages used for giving styles on web pages. The advantages of CSS are as follows:

- **Time-saving:** CSS code can be written once and can be used multiple times in HTML documents. For example, the styles created for the paragraph can be used in multiple paragraphs.
- **Maintenance is easy:** If the designer needs to change the style, then it can be changed in one place and in the output, its effect applies to all tags that use a particular style.
- **Global standards for Web:** HTML tags are obsolete and the designers are focusing on CSS. Thus, using CSS within the HTML pages makes the pages compatible with the forthcoming browsers.
- **Compatibility:** CSS code can be compatible with all the devices i.e., one document of HTML can be accessed by a different kind of device like PDA, Mobiles, or Systems.

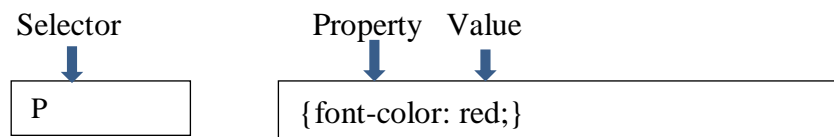
- **Fast Loading of Pages:** It contains less coding, as the code for CSS is written once and can be used multiple times on the HTML pages. This makes for faster loading of web pages.
- **Style sheets can be reusable:** Once the styles can be created by the designer, the style sheet can be used on any HTML document. This ensures that the web pages must have uniform appearance when they are displayed on the browser. For example, if we have more number of web pages and we have to define same style in all the pages, then this can be possible only with the help of CSS.
- **One Time Effort:** The style sheet can be created once and this sheet can be linked several times in the web pages. The most important thing in style sheets if any modification needs to be performed, it can be done at only one place and the changes are reflected on all the web pages.
- **Relative measurement:** By using the relative measurement in style sheet, the web page looks effective and interactive on the any screen with any resolution.

6.4 CSS Syntax

The rules must be followed for creating the styles which are interpreted by the browser. It can be applied to the specific element in the document. Syntax to create CSS styles consists of three parts:

1. **Selector:** It is an HTML tag on which the style can be applied. Each rule set must be wrapped in curly brackets { }. The tags can be like <h1> or <p> etc.
2. **Property:** A property is a rule of the attribute of an HTML tag. Put all the attributes in the curly brackets with the name and the value of the attribute and end with the semicolon (;). They could be color, border, etc.
3. **Value:** After the colon (:) the value of the attribute is defined and semicolon (;) used to separate each declaration from the next one. For example, the color property can be set to the value either Red or #FF0000, etc.

For Example:



Here, the P selector is used for the paragraph. And the property of font color can be set to the value red.

Another example of CSS:

p

```
{
font-family: Arial;
font-size:12px;
}
```

Explanation of the Syntax:

1. The selector is the HTML element which designer can change according to the style.
2. The declaration block contains a property and values separated by a colon (:).
3. The declaration block contains one or more declarations in a single line and it can be separated by a semicolon (;). Additionally, declaration blocks are contained in between the curly brackets ({}).

6.5 Types of Selectors

In CSS, there are many different types of selectors. Here, some common types of selectors are given in Table 1.

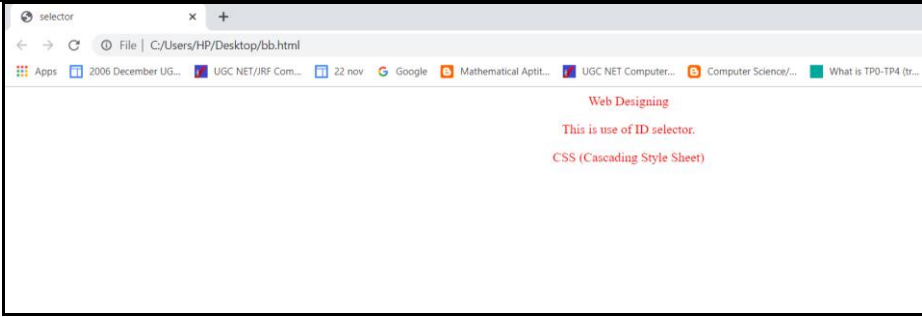
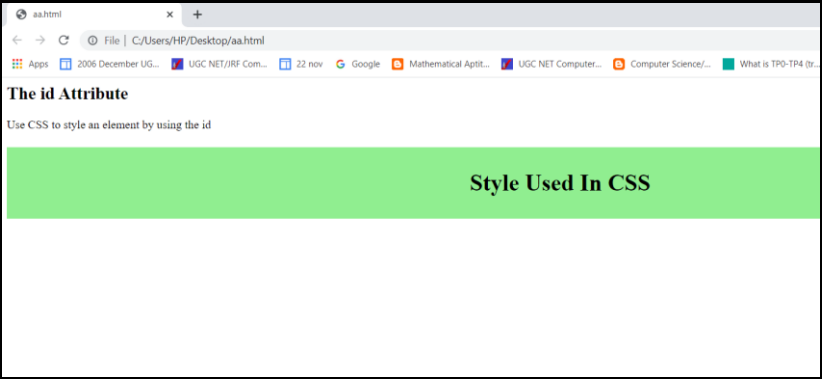
Selector	Description	Syntax	Example
Elements Selector	All HTML element of the specified type.	P { property: value; }	P { text-align: center; color: green; }
ID	This selector is specified with a particular element and represent with a hash sign (#).	#id_value { style properties; }	#id_name { text-align: center; color: green; }
Class	This selector is specified with the whole web page and it will be used on multiple instances on the same page. The class selector is represented with a dot(.) sign.	.class { style properties; }	.class_name { text-align: right; color: green; }
Attribute Selector	The elements on the page with the specified attribute.	a[target] { background-color: yellow; }	<head><style> input[type = text] { width: 150px; display: block; margin-bottom: 10px; background-color: yellow; } </style></head> <body> <form name = "input" action =

			<pre> "" method = "get"> Firstname:<input type = "text" name = "Name" value = "Peter" size = "20"> </form></body> </pre>
Pseudo Class	This selector is used with specified elements but only when the specified state such as when a user moves the mouse over the text, visited and unvisited link differently, and when a user gets focus on the text.	<pre> selector: pseudo- class { property: value; } </pre>	<pre> p::first-line { color: blue; text-transform: uppercase; } </pre>
Universal Selector	The universal selector (*) selects all the HTML elements on the page.	<pre> *{style properties} </pre>	<pre> *{ text-align: right; color: red; } </pre>
Grouping Selector	The grouping selector selects the entire HTML element with the same style in a single declaration. CSS provides the best way to represent the same style in a single group selector but it can be separated by comma (,).	<pre> element, element { style properties; } </pre>	<pre> h1 { text-align: align; color: green; } h2{ text-align: left; color: green; } h1, h2 { text-align: left; color: green; } </pre>

Table 1: Types of Selectors

Handy Tips for the selectors:

Example of the ID selector	Output
-----------------------------------	---------------

<pre> <html> <head> <title> selector </title> <style> p { text-align: center; color: red; } </style> </head> <body> <p>Web Designing</p> <p id = "a">This is use of ID selector.</p> <p>CSS (Cascading Style Sheet)</p> </body> </html> </pre>	 <p style="text-align: center;">Figure 1: Output of CSS document using ID</p>
Another Example of ID Attribute	
<pre> <html> <head> <style> #mystyle{ background-color: lightgreen; color: black; padding: 30px; text-align: center; } </style> </head> <body> <h2>The id Attribute</h2> <p>Use CSS to style an element by using the id</p> <h1 id = "mystyle">Style Used In CSS</h1> </body> </html> </pre>	 <p style="text-align: center;">Figure 2: Output of CSS document using ID</p>
Example of Class Selector	Output

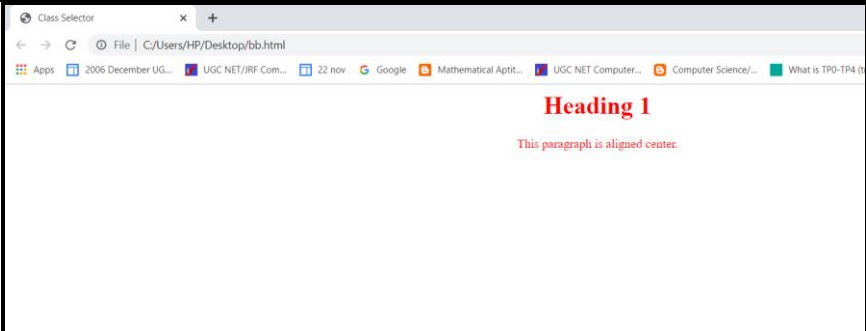
<pre> <html> <head> <title> Class Selector </title> <style> .center { text-align: center; color: red; } </style> </head> <body> <h1 class = "center">Heading 1</h1> <p class = "center">This paragraph is aligned center.</p> </body> </html> </pre>	 <p>Figure 3: Output of CSS document using class</p>
--	--

Table 2: Example of Selectors

6.6 CSS Comments

CSS comments are useful for describing the code and they can be placed inside the style element start with /* and ends with */. Comments are usually ignored by the browser. A web designer can add comments where ever they want in the code. Comments can also be useful for single lines as well as multi lines. Due to these above elements commented lines will not be displayed on the browser window.

The syntax for single line and multiple lines:

/* This is a single line as well as used for multiple lines comment */

6.7 CSS Inclusion

Styles can be represented in four ways in HTML documents. The most common ways of using CSS are Embedded, Inline, and External CSS.

6.7.1. Embedded CSS: In this, the CSS rules can be added in the <style> tag. This tag is given in between the <HEAD> and </HEAD> tags. These rules are applied according to the tags of HTML in the body section. It should be applied only within the document. The style tag contains two attributes.

Attributes	Description	Syntax	Examples
TYPE	It specifies the language to be used i.e., CSS.	<code><style type = "text/css"></code>	<code><style type = "text/css"></code>
MEDIA	It specifies the medium on which the document will be displayed. By default, its value is all.	<code><style type = "text/css" media = "all"></code>	<code><style type = "text/css" media = "all"></code> Or media value can be a screen, tv, projection, print, etc.

Table 3: Attributes of <style> tag

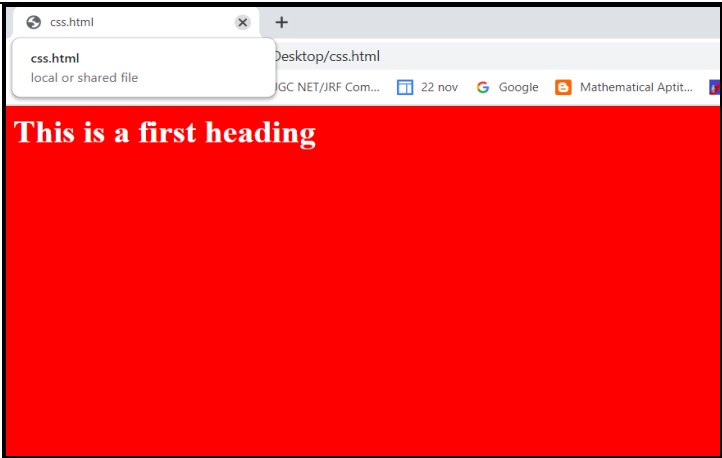
Advantages of Embedded Style Sheets:

1. It controls the styles of a document in one place.
2. No extra file needs to be created or downloaded for the style information.

Disadvantages of Embedded Style Sheets:

1. If the same style is to be applied to another element, then it needs to be written again.

Handy Tips for the embedded CSS

Example of Embedded CSS	Output
<pre> <html> <head> <style type = "text/css"> body { background-color: RED; } h1 { color: WHITE; } </style> </head> <body> </pre>	 <p>The screenshot shows a web browser window with a red background and white text that reads "This is a first heading". The browser's address bar shows "css.html" and "local or shared file". The browser's tabs show "css.html", "Desktop/css.html", "JGC NET/JRF Com...", "22 nov", "Google", and "Mathematical Aptit...".</p>

<pre><h1>This is a first heading</h1> </body> </html></pre>	<p>Figure 4: output</p>
---	--------------------------------

Table 4: Example of embedded CSS

6.7.2. Inline CSS: This style can be applied to the tag itself. Syntax to create Inline style is as follows:

```
<element style = "style rules">
  For example:
  <h1 style = "font-color: red;">
```

Advantages of Inline Style Sheets:

1. It controls the style of only a single element.
2. It overrides external or document styles.

Disadvantages of Inline Style Sheets:

1. The style needs to be applied again, throughout the document.
2. It is bound to HTML elements; thus, it is difficult to update the styles.

Handy Tips for the Inline CSS

Example of Inline CSS	Output
-----------------------	--------

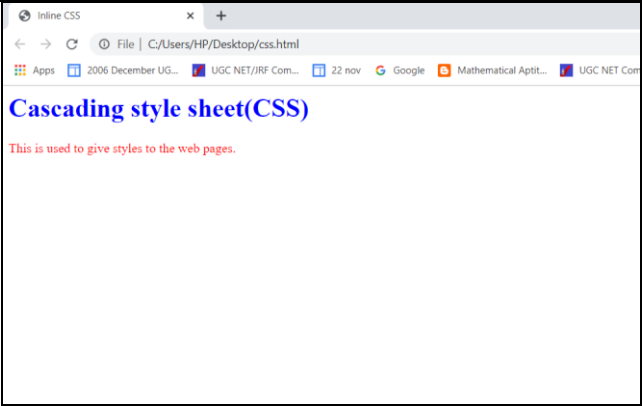
<pre> <html> <head> <title>Inline CSS</title> </head> <body> <h1 style = "color:blue; text-align:left;"> Cascading style sheet (CSS) </h1> <p style = "color:red;"> This is used to give styles to the web pages. </p> </body> </html> </pre>	 <p style="text-align: center;">Figure 5: Inline CSS</p>
---	---

Table 5: Example of inline CSS

6.7.3. External CSS: An external style sheet can be created as a separate file by saving the file with a .css extension. All the rules can be defined in this file and after that, this file will be included in the HTML document by using the <link> tag.

Syntax of <link> tag:

```

<html>
<head>
<link type = "text/css" href = "URL">
</head>
</html>

```

Let us consider an example to create a style sheet that is saved with the name sample.css.

```

h1, h2, h3 {
  color: #0000FF;
  font-family: serif;
}

```

Now, this style sheet can be added to the HTML document using the <link> tag.

```

<head>
  <link type = "text/css" href = "sample.css" />
</head>

```

Handy Tips for the External CSS

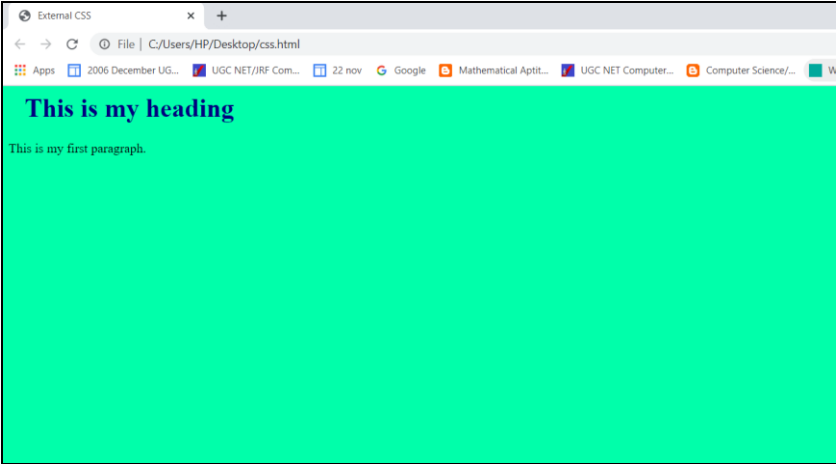
Example of External CSS	Output
<p>This is an external style sheet that is saved with mystyle.css.</p> <pre>body { background-color: #00ffaa; }</pre> <pre>h1 { color: navy; margin-left: 20px; }</pre> <p>Code of HTML file:</p> <pre><html> <head> <link rel = "stylesheet" href = "mystyle.css"> <title>External CSS</title> </head> <body> <h1>This is my heading</h1> <p>This is my first paragraph.</p> </body> </html></pre>	 <p>The screenshot shows a web browser window titled 'External CSS'. The address bar shows the file path 'C:/Users/HP/Desktop/css.html'. The page content consists of a heading 'This is my heading' in navy blue, indented to the left, and a paragraph 'This is my first paragraph.' in black, aligned to the left. The background of the page is a light green color.</p>

Figure 6: External CSS

Table 6: Example of External CSS

Advantages of External Style Sheets:

1. It controls the style of multiple documents by creating one external style sheet.

Disadvantages of External Style Sheets:

1. It needs extra time to download the style sheets.

6.7.4. Imported CSS: To import the CSS file similar to the external style sheet with the help of @import.

Syntax of @import is given as follows:

```
<head>
  @import "URL"; | @import url("URL");
</head>
```

6.8 CSS Colors

The colors can be specified in CSS using different methods such as RGB, Hexadecimal codes, or Keyword. These are used to give background color or text color. It can also be used for giving border color and other effects on the web page.

Format	Syntax	Example
Hexadecimal code	#RRGGBB	p{color:#0000FF;}
RGB values	rgb (rrr, ggg,bbb)	p{color:rgb(0,0,255);}
Keywords	Red, black, blue, etc.	P{color:blue;}

Table 7: Colors in CSS

1. **Hexadecimal codes:** It is a 6-digit code that represents the color in CSS or HTML. The first two digits represent the red color, the middle two digits represent the green color and the last two digits represent the blue color.

This color can also be generated using different software. One example is to create hexadecimal code is using paint and a calculator. The steps to generate the color are:

1. Open the color palette in paint.
2. Here, the RGB value is given. Select the color that is required for the webpage as shown in Figure 6.

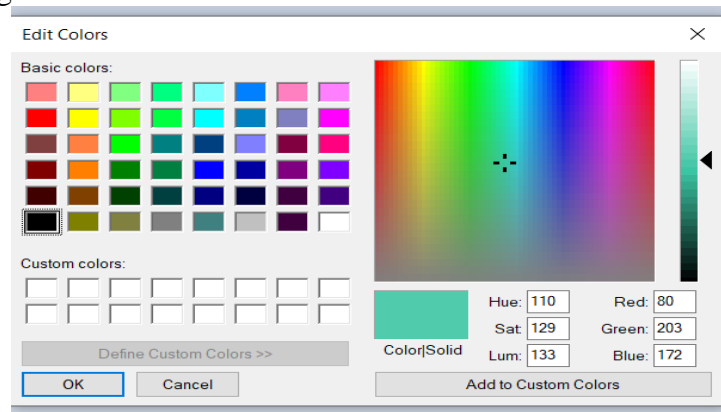


Figure 7: Color palette in paint

3. Open programmer calculator, that can convert this RGB decimal format into hexadecimal format.
4. Enter the decimal value of RGB given in paint to the calculator one by one and write the hexadecimal code in sequence,
For example: For RED decimal value is 80 and the hexadecimal value is 50.
For GREEN decimal value is 203 and the hexadecimal value is CB.
For BLUE decimal value is 172 and the hexadecimal value is AC.
5. After getting the hexadecimal codes of RGB, put these values in the sequence such as #50CBAC. This code is similar to RGB value (80,203,172).



Figure 8: Calculator to convert Decimal to Hexadecimal

2. **RGB Values:** The color property can also be specified using the RGB values. It can take three values, one for red, the second for green, and the third for blue color. The value can be given in the range from 0 to 255 i.e., a total of 256 colors are there.
For Example: RGB (0, 0, 0) is used for black color.
3. **Keywords:** These are used to give simple names of the color without any code like Red, green, blue, aqua, etc.

Handy Tips for the CSS Colors

Example of Colors	Output
-------------------	--------

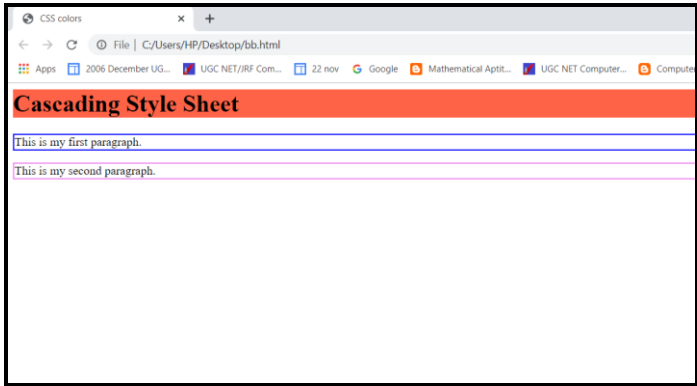
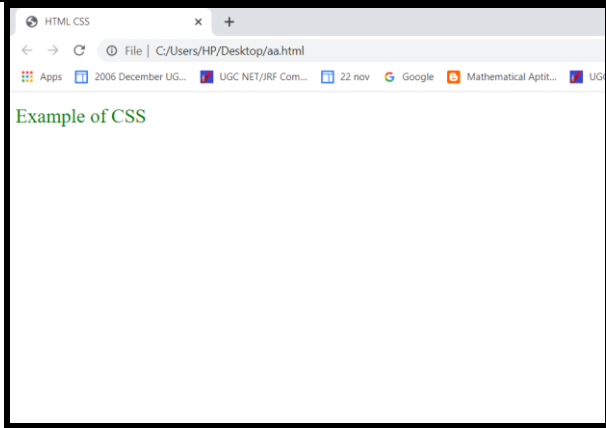
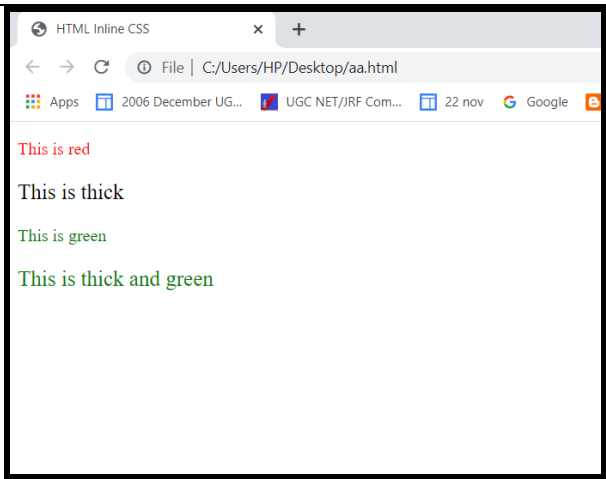
<pre> <html> <head> <title> CSS colors </title> </head> <body> <h1 style = "border: 2px red; background-color:rgb(255, 99, 71);">Cascading Style Sheet</h1> <p style = "border: 2px solid blue;">This is my first paragraph. </p> <p style = "border: 2px solid Violet;">This is my second paragraph. </p> </body></html> </pre>	 <p>Figure 9: CSS Colors</p>
<p>Example of CSS</p>	
<pre> <!DOCTYPE html> <html> <head> <title>HTML CSS</title> </head> <body> <p> Example of CSS </p> </body> </html> </pre>	 <p>Figure 10: CSS font Colors</p>
<pre> <!DOCTYPE html> <html> <head> <title>HTML Inline CSS</title> </head> <body> <p style = "color:red;">This is red</p> <p style = "font-size:20px;">This is thick</p> <p style = "color:green;">This is green</p> <p style = "color:green;font-size:20px;">This is thick and green</p> </body> </html> </pre>	 <p>Figure 11: CSS Inline Example</p>

Table 8: Example of CSS Colors

Check Your Progress

1. State whether True or False:
 - i. An external style sheet can be saved using a .html file.
 - ii. Text-color is used to set the font color.
 - iii. The style tag can also be used within <BODY> and </BODY> tags.
2. What are the different ways of including CSS in a web page?
3. What do you mean by CSS and explain the advantages of CSS compared to HTML?
4. Explain the types of selectors in CSS.
5. Explain in detail the properties of CSS.
6. Why is external style sheet beneficial?
7. What is the use of embedded style sheet?

Objective Type questions:

25. Full form of CSS.

- i) Cascading Style sheet
- j) Color style sheet
- k) Configuration style sheet
- l) None of the above.

26. Which is the correct syntax to implement external CSS?

- i) <style src = a.css>
- j) <style src = "a.css">
- k) <link rel = "stylesheet" type = "text/css" href = "mystyle.css">
- l) <stylesheet> mystyle.css </stylesheet>

27. To change the background color of a document which property is used in the CSS.

- i) bgcolor
- j) background-color
- k) color
- l) all of the above

28. To change the text color which property is used in the CSS.

- e) bgcolor
- f) background-color
- g) color
- h) all of the above

29. The CSS property used to make the text bold is

- a) Font-weight : bold
- b) Weight : bold
- c) Font : bold
- d) Style : bold

30. The CSS property used to specify the transparency of an element is

- a) Opacity property
- b) Filter property
- c) Visibility property
- d) Overlay property

31. The CSS property used to specify whether the text is written in the horizontal or vertical direction?

- | | |
|-----------------|----------------------|
| a) Writing-mode | c) text-indent |
| b) Word-break | d) None of the above |

Hands on Practice:

Example 1:

```
<html>
<head> <title> CSS example </title>
</head>
<body>
<div class = "section">
  <label for = "guestname" class = "field-label">Please Enter Your Name</label>
  <label for = "guestname" class = "field prepend-icon">
    <input type = "text" name = "guestname" id = "guestname" class = "gui-input" required = ""
placeholder = "John Doe/Jane Doe">
    <span class = "field-icon"><i class = "fa fa-user"></i></span>
  </label>
</div>

<div class = "frm-row">
  <div class = "section colm colm6">
    <label for = "guestemail" class = "field-label">Email Address</label>
    <label for = "guestemail" class = "field prepend-icon">
      <input type = "email" name="guestemail" id="guestemail" class="gui-input" required=""
placeholder="john@something.com">
      <span class="field-icon"><i class="fa fa-envelope"></i></span>
    </label>
  </div>

  <div class="section colm colm6">
    <label for="guesttelephone" class="field-label">Telephone / Mobile</label>
    <label for="guesttelephone" class="field prepend-icon">
      <input type="text" name="guesttelephone" id="guesttelephone" class="gui-input" required=""
placeholder="Telephone / Moble Number">
```

```

        <span class="field-icon"><i class="fa fa-phone-square"></i></span>
    </label>
</div>
</div>

<div class="frm-row">
    <div class="section colm colm6">
        <label for="adults" class="field-label">Number of Adults</label>
        <label for="adults" class="field prepend-icon">
            <input type="number" id="adults" name="adults" class="gui-input" required=""
placeholder="Number of adults">
            <span class="field-icon"><i class="fa fa-users"></i></span>
        </label>
    </div>

    <div class="section colm colm6">
        <label for="children" class="field-label">Number of Children</label>
        <label for="children" class="field prepend-icon">
            <input type="number" id="children" name="children" class="gui-input" required=""
placeholder="Number of children">
            <span class="field-icon"><i class="fa fa-users"></i></span>
        </label>
    </div>
</div>

<div class="frm-row">
    <div class="section colm colm6">
        <label for="checkin" class="field-label">Check-in Date</label>
        <label for="checkin" class="field prepend-icon">
            <input type="text" id="checkin" name="checkin" class="gui-input" required=""
placeholder="mm/dd/yyyy">
            <span class="field-icon"><i class="fa fa-calendar"></i></span>
        </label>
    </div>

    <div class="section colm colm6">
        <label for="checkout" class="field-label">Check-out Date</label>
        <label for="checkout" class="field prepend-icon">
            <input type="text" id="checkout" name="checkout" class="gui-input" required=""
placeholder="mm/dd/yyyy">
            <span class="field-icon"><i class="fa fa-calendar"></i></span>
        </label>
    </div>
</div>

<div class="spacer-t20 spacer-b30">

```

```
<div class="tagline"><span>Please answer these questions for a pleasant stay</span></div>
</div>
```

```
<div class="frm-row">
  <div class="option-group field">
```

```
    <div class="section colm colm6">
      <label class="switch">
        <input type="checkbox" name="switch1" id="switch1" value="switch1">
        <span class="switch-label" data-on="YES" data-off="NO"></span>
        <span>Will you be bringing a pet?</span>
      </label>
    </div>
```

```
    <div class="section colm colm6">
      <label class="switch">
        <input type="checkbox" name="switch2" id="switch2" value="switch2">
        <span class="switch-label" data-on="YES" data-off="NO"></span>
        <span>Do you need us to pick you up?</span>
      </label>
    </div>
```

```
</div>
</div>
```

```
<div class="section">
  <label for="comment" class="field-label">Anything else we should know about?</label>
  <label for="comment" class="field prepend-icon">
    <textarea class="gui-textarea" id="comment" name="comment" placeholder="Let us know
about any special accommodation needs"></textarea>
    <span class="field-icon"><i class="fa fa-comments"></i></span>
    <span class="input-hint">
      <strong>Please:</strong> Be as descriptive as possible
    </span>
  </label>
</div>
</body>
</html>
```

Example 2:

```
<html>
<head>
<meta name="viewport" content="width=device-width, initial-scale=1">
<style>
body { font-family: Arial, Helvetica, sans-serif; }
```

```
* {box-sizing: border-box;}
```

```
input[type=text], select, textarea {  
  width: 100%;  
  padding: 12px;  
  border: 1px solid #ccc;  
  border-radius: 4px;  
  box-sizing: border-box;  
  margin-top: 6px;  
  margin-bottom: 16px;  
  resize: vertical;  
}
```

```
input[type=submit] {  
  background-color: #04AA6D;  
  color: white;  
  padding: 12px 20px;  
  border: none;  
  border-radius: 4px;  
  cursor: pointer;  
}
```

```
input[type=submit]:hover { background-color: #45a049;}
```

```
.container {  
  border-radius: 5px;  
  background-color: #f2f2f2;  
  padding: 20px;  
}
```

```
</style>
```

```
</head>
```

```
<body>
```

```
<h3>Contact Form</h3>
```

```
<div class="container">
```

```
<form action="/action_page.php">
```

```
<label for="fname">First Name</label>
```

```
<input type="text" id="fname" name="firstname" placeholder="Your name..">
```

```
<label for="lname">Last Name</label>
```

```
<input type="text" id="lname" name="lastname" placeholder="Your last name..">
```

```
<label for="country">Country</label>
```

```
<select id="country" name="country">
```

```
<option value="australia">Australia</option>
```

```
<option value="canada">Canada</option>
<option value="usa">USA</option>
</select>

<label for="subject">Subject</label>
<textarea      id="subject"      name="subject"      placeholder="Write      something.."
style="height:200px"></textarea>
  <input type="submit" value="Submit">
</form>
</div>
</body>
</html>
```

6.9 SUMMARY

This unit covers the basics of CSS that provides a look and feel to the website and makes it attractive. CSS considers each element of HTML and creates the rules for its appearance. Rules are created with the help of selectors that indicates the HTML tag on which the settings can be applied and the declarations indicate what property should be applied. This unit includes the different selectors that can be used to apply styles to different elements in HTML. The styles can be given in four ways i.e., Embedded, Inline, Externally, Export. The benefit of CSS is to create the styles once and use them on multiple tags and multiple pages.

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER IV

COURSE: WEB DESIGNING AND DEVELOPMENT

UNIT 7 ATTRIBUTES OF STYLE SHEETS

STRUCTURE

- 7.0 Introduction**
- 7.1 Objective**
- 7.2 CSS Background**
- 7.3 CSS Font**
- 7.4 CSS Text**
- 7.5 CSS Margin**
- 7.6 CSS Padding**
- 7.7 CSS List**
- 7.8 CSS Positioning**
- 7.9 Summary**

7.0INTRODUCTION

The previous unit describes the basic properties of CSS that helps in creating an efficient website. The basic purpose of this unit is to cover the advanced attributes of CSS such as background, font, text, margins, positioning, etc. These properties help in presenting a look and feel to the website. The benefits of CSS are to make a global change in the website i.e., on all the pages from a single location. CSS allows to create the rules that specifies how the content should appear on the screen.

CSS treats each element of HTML as it appears inside a box that uses different rules that indicates how the element looks on the browser. Rules can be created using different methods such as selectors and declarations. There exist different types of selectors and declarations consists of two parts: where the first part specifies the properties and the second part represents the value of that property. There exist three ways to include colors in CSS that is RGB values , hexadecimal codes, color names. The designer must ensure that there must exist enough contrast between the background color and the font color. CSS3 introduced extra color value for RGB

that indicates the opacity. It is also known as RGBA.

7.1 OBJECTIVES

In the previous Unit, the beginner can understand how to embed CSS in HTML document. And this Unit properties of different HTML tags are given.

- The properties of different elements of CSS for font and text.
- Padding
- Margins
- Color, background color
- List
- Positioning in CSS

7.2 CSS Background

CSS background helps the Web designer to set the background colors and background image. There exist different attributes of background that can be applied on a web page.

Property	Description	Syntax	Example
background - color	It defines an element background colors.	background - color : color ;	body { background - color : coral ; }
background - position	It defines the origin of a background image.	background - position : value ;	background - position : center top ; background - position : 50px 150px ; background - position : 50% 50% ;
background - image	It defines an element s element background image.	background - image : url ;	background - image : url ("gallery.gif") ;
background - repeat	It specifies how the background image is tiled and there are three different ways of defining position.	background - repeat : repeat repeat - x repeat - y no - repeat ;	background - repeat : repeat - y ; background - repeat : no - repeat ;
background - size	It specifies is a percentage, length and keyword size of the background image.	background - size : auto length ;	background - size : auto ; background - size : 100% 100% ;

Table 1 : CSS Background Properties

Handy Tips for the CSS Colors

Example of Background Color	Output
<pre><html> <head> <title> CSS background color </title> <style> h1 { background - color : pink ; } p { background - color : RED ; } </style> </head> <body> <h1> HTML and CSS </h1> <p> This paragraph contains background color. </p> </body> </html></pre>	<p>Figure 1 : CSS Background Colors</p>
Example of background - image, and repeat	Output

<pre> <html> <head> <style> body { background – image : url ("logo.png") ; background – repeat : repeat - x ; } </style> </head> <body> </body> </html> </pre>	<p>Figure 2 : CSS Background Image in x - direction</p>
--	--

Table 2 : Example of CSS Background - Color and background - image with the repeat property

7.3 CSS Font

CSS provides the designer a great control of their text, which is displayed on the browser window. CSS changes the text size, color, style, and much more.

Property	Description	Syntax	Example
Color	CSS font color changes the color of the text by using color - name, RGB, hexadecimal color code combinations.	color : color initial inherit ;	Color : red ;
font - family	CSS font families can be divided into two categories serif and scan serif. A serif font does include small lines on the other hand scan - serif font does not include the small lines on the end of the characters and it can much easier to read on a computer monitor than serif style.	font – family : family – name <i>generic – family</i> initial inherit ;	font - family : serif ;
font - size	CSS font size can change the size of the font by using values, percentages, and key terms.	font - size : medium xx – small x – small small large x – large xx – large smaller larger length initial inherit ;	font - size : 15px ; font - size : large ; font - size : 150% ;

font - style	CSS font style can change the style of font and it will be bold, italic, or not.	font - style : normal italic oblique initial inherit ;	font - style : normal ; font - style : italic ;
font - weight	CSS font - weight can specify the weight of the text and it ranges from 100(thin) to - 900(thick) size.	font - weight : normal bold bolder lighter number initial inherit ;	font - weight : bold ; font - weight : 900 ;
font - variant	CSS font - variant allows a designer to convert their font to all small caps.	font - variant : normal small – caps initial inherit ;	font - variant : small - caps ;

Table 3 : CSS Font Properties

Handy Tips for the CSS Font

Example of Font	Output
<pre> <html> <head> <style> .p1 { font - family : "Times New Roman" ; font - size : xx - large ; font - weight : bold ; } .p2 { font - family : Arial ; font - size : 20 px ; font - style : italic ; } </style> </head> <body> <h1> CSS font – family </h1> <p class = "p1"> This is the first paragraph given in the Times New Roman font. </p> <p class = "p2"> This is the second paragraph given in the Arial font . </p> <p class = "p1"> This is a third paragraph that uses the styles of first paragraph. </p> </body> </pre>	<p style="text-align: center;">Figure 3 : CSS Font</p>

</html>	
---------	--

Table 4 : Example of CSS Font

7.4 CSS Text

Text property can be used to format the text given on the web page by using text - align, text - transformation, color properties, text - indent, etc. It helps to format paragraphs by text - indent, text - align, word - spacing, etc.

Property	Description	Syntax	Example
text - decoration	This property is used to underline, overline or strikethrough the text in the browser.	text - decoration : <i>text - decoration - line</i> text - decoration - <i>color</i> text - decoration – <i>style</i> initial inherit ;	text - decoration : underline ; text - decoration : underline overline ;
text - align	Web designers can set the text in left, right, center, or justified format. Justified is used to set the equal width and set the left and right margins in a straightway. It can especially, be used to align the text in magazines.	text - align : left center right ;	text - align : left ; text - align : center ;
vertical - align	Vertical alignment of an element.	vertical - align : baseline length sub super top text – top middle bottom text – bottom initial inherit ;	vertical - align : text - top ;
text - transform	It converts the text in lower - or upper - case letters.	text - transform : none capitalize uppercase lowercase initial inherit ;	text - transform : uppercase ; text - transform : capitalize ;
word - spacing	It is used to set the spacing between words and it should be defined with exact values.	word - spacing : normal length initial inherit ;	p { word - spacing : 30px ; }
letter - spacing	It is used to set the spacing between the characters.	letter - spacing : normal length initial inherit ;	h1 { letter - spacing : 3px ;

			}
text - shadow	This property adds a shadow to the text. It is a very simple process just specifying the horizontal shadow (2px) and the vertical shadow (2px).	text - shadow : h - shadow v - shadow blur - radius color none initial inherit ;	h1 { text - shadow : 2px 2px #ff0000 ; }

Table 5 : CSS Text Properties

Handy Tips for the CSS Text

Example of Text	Output
<pre> <html> <head> <title> CSS Text properties </title> <style> h1 { text - decoration : overline ; text - transform : uppercase ; letter - spacing : 3px ; text - shadow : 2px 2px red ; } h2 { text - decoration : line - through ; } h3 { text - decoration : underline ; text - transform : capitalize ; } </style> </head> <body> <h1> This is first heading </h1> <h2> This is second heading </h2> <h3> This is third heading </h3> </body> </pre>	<p style="text-align: center;">Figure 4 : CSS Text</p>

</html>	
---------	--

Table 6 : Example of CSS Text

7.5 CSS Margins

This property is used to create space all over the elements or it can set the margin on all four sides of an element top, right, bottom, and left. following are the properties given below :

Property	Description	Syntax	Example
Margin	This property sets the margin in all directions. If two values are given then the first value is for top and bottom and the second value is for left and right.	Margin : Length	p { margin : 30px ; } or p{margin : 10px 2% ; }
margin - top	The property sets the top margin of an element and the value can be in length, percentage, or auto.	margin - top : length auto initial inherit ;	p { margin - top : 30px ; }

margin – right	The property sets the right margin of an element and the value can be in length, percentage, or auto.	margin - right : length auto initial inherit ;	p { margin - right : 30px ; }
margin - bottom	The property sets the bottom margin of an element and the value can be in length, percentage, or auto.	margin - bottom : length auto initial inherit ;	p { margin - bottom : 30px ; }
margin - left	The property sets the left margin of an element and the value can be in length, percentage, or auto.	margin - left : length auto initial inherit ;	p { margin - left : 30px ; }

Table 7 : CSS Margin Properties

All the margin properties can have the given values :

Auto : It sets the browser margin by itself.

Length : It sets the margin value in px, pt, cm, etc.

Percentage : It sets the margin in percentage (%).

Inherit : specifies that the margin should be inherited from the parents of the elements.

Handy Tips for the CSS Margin

Example of Margin	Output
<pre><html> <head> <title> Margin </title> <style> div { border : 3px solid green ; margin - bottom : 150px ;</pre>	<p style="text-align: center;">Figure 5 : CSS Margin</p>

<pre> margin - right : 100px ; margin - top : 150px ; margin - left : 100px ; background - color : yellow ; } </style> </head> <body> <h2> Use of Margin Properties </h2> <div> This div element contains a right margin of 100px, top margin of 150px, a bottom margin of 150px, and a left margin of 100px. </div> </body> </html> </pre>	
--	--

Table 8 : Example of CSS Margin

7.6 CSS Padding

This property is used to create space around the content of an element inside of any defined borders. Following are the CSS properties for defining the padding for each direction of an element.

Property	Description	Syntax	Example
padding - top	This property is used to set the top space or padding of an element and it can take values in form of a length of %.	Padding - top : length Initial inherit ;	P { Padding - top : 2% ; }
padding - right	This property is used to set the right space or padding of an element and it can take values in form of a length of %.	Padding - right : length Initial inherit ;	P { Padding - right : 2% ; }
padding – bottom	This property is used to set the bottom space or padding of an element and it can take values in form of a length of %.	Padding - bottom : length Initial inherit ;	P { Padding - bottom : 2% ; }
padding - left	This property is used to set the left space or padding of an element and it can take	Padding - left : length Initial inherit ;	P {

	values in form of a length of %.		Padding - left : 2% ; }
--	----------------------------------	--	----------------------------

Table 9 : CSS Padding Properties

All padding properties can have the following values :

Length : It specifies padding in pixel, pt, etc.

Percentage : It specifies the padding in percentage (%) of the box containing content.

Inherit : it specifies that the padding should be inherited from the parents of elements

Handy Tips for the CSS Padding

Example of Padding	Output
<pre> <html> <head> <style> p.a1 { width : 400px ; background - color : pink ; padding - top : 50px ; margin - left : 100px ; } p.a2 { width : 300px ; padding - left : 50px ; box - sizing : border - box ; background - color : lightblue ; } </style> </head> <body> <h2> Padding and element width and color is applied on paragraphs </h2> <p class = "a1"> This paragraph is 400px wide. with top padding of 50px. </p>
 <p class = "a2"> The width of this paragraph remains at 300px, border - box property, with padding from left at 50 px. </p> </body> </html> </pre>	<p style="text-align: center;">Figure 6 : CSS Padding Example</p>

Table 10 : Example of CSS Padding

7.7 CSS List

Lists are used to display or present the information in the form of numbers or bullets. This topic covers the list types, positions, styles, etc. with the help of CSS.

Property	Description	Syntax	Example
List - style – type	This property is used to set the style of the bullets in an unordered list and for an ordered list, it styles the numbering. The value for is none, disc, circle, square. And for the values are decimal, decimal - leading - zero, lower - alpha, upper - alpha, lower - roman, upper - roman, etc.	List - style - type : value ;	<ul style = "list - type - style : square" ; > Or <ol style = "list - type - style : upper - alpha" ; >
List - style – position	This property is used to indicate that the list marker will be displayed inside or outside the box. It contains one of the two values i.e., inside or outside.	List - style - position : none inside outside	<ol style = "list - type - style : upper - alpha ; list - style - position : inside ; ">
List - style – image	This property is used to set the image in place of the bullet. Its syntax is similar to background - image that contains the URL of an image and begins with the URL keyword.	List - style - image : url (URL) ;	<li style = "list - style - image(a.jpg) ; ">
List – style	This property allows setting all the list properties in one expression.	List - style : value1 value2 ;	List - style : inside upperalpha ;

Table 11 : CSS List Properties

Handy Tips for the List

Example of List	Output
<pre> <html> <head> <title> List </title> <style> ul { background - color : lightblue ; padding : 20px ; }ol { background - color : pink ; padding : 15px ; } ol li { background - color : white ; padding : 15px ; margin - top : 20px ; } ul li { background : #cce5ff ; margin - top : 15px ; } </style> </head> <body> <h1> LIST of Courses </h1> BCA B.Com BBA <h1> LIST of Subjects </h1> C C++ Web Designing </body> </html> </pre>	<p style="text-align: center;">Figure 7 : CSS List Example</p>

Table 12 : Example of CSS List

7.8 CSS Positioning

This property is used to set the positions of elements on a web page. The default position of elements is given in normal flow i.e., block - level elements move from top to bottom for example <p>, headings, and the inline elements move from left to right for example , <I>, <U>, etc. With the help of these properties, elements can be placed at any location on the browser screen.

Property	Description	Syntax	Example
relative	It changes the position of elements relative to the exact location where it appears. Only top and left can be used with position property to move the element.	position : relative ; left : value ; top : value ;	<p style = "position : relative ; left : 80px ; top : 2px ; </p>
absolute	It positions the element at a specific location relative to top left positions.	position : absolute ;	<p style = "position : absolute ; left : 80px ; top : 2px ; </p>
Fixed	This property fix the element position at a particular location on the screen	position : fixed ;	<p style = "position : fixed ; left : 80px ; top : 2px ; </p>

Table 13 : CSS Positioning Properties

Handy Tips for the CSS Positioning

Example of Positioning	Output
<pre> <html> <head> <style> p.a1 { position : relative ; left : 30px ; border : 5px solid #734535 ; } p.a2 { position : absolute ; left : 30px ; border : 3px solid #ABAD21 ; } </style> </head> <body> <h2> Examples of absolute and relative positioning </h2> <p class = "a1"> An element with position the relative and the border of the paragraph is specified with 5 px using solid line. </p> <p class = "a2"> An element with position the absolute and the border of the paragraph is 3 px with left spacing </p> </body> </html> </pre>	<p style="text-align: center;">Figure 8 : CSS Positioning Example</p>

Table 14 : Example of CSS Positioning

Check Your Progress

8. State whether True or False :
 - i. Background - repeat : repeat - y will repeat the image horizontally.
 - ii. CSS positioning can be categorized into two types : absolute and relative.
 - iii. CSS list can be used for both ordered and unordered list.
9. Explain the CSS Positioning properties.

Objective Type questions :

32. The property is used to add shadow to the text in CSS is.
- i) Text - stroke
 - j) Text - overflow
 - c) Text - shadow
 - d) Text - decoration
33. To implement inline CSS which attribute is used with the HTML tags.
- i) Style
 - j) styles
 - c) class
 - d) none of the above
34. Internal sheets are creating using which attribute in CSS.
- i) <style>
 - j) <link>
 - c) <styles>
 - d) <script>
35. The CSS property is used to set the background image of any element.
- i) Background - attachment
 - j) Background - color
 - c) Background - image
 - d) None of the above
36. The property used for the shorthand of padding is :
- i) Padding
 - j) padding - left
 - c) padding - right
 - d) all of the above
37. Is there any negative value to be used with padding?
- i) Yes
 - j) No
 - c) May be
 - d) Can't say
38. Which property is used for setting margin from the left?
- i) Margin
 - j) Margin - left
 - c) Margin - up
 - d) Margin - right
39. Which property is used to set the spacing before and after every letter?
- i) Character - spacing
 - j) Letter - spacing
 - c) Alpha - spacing
 - d) None of the above

Hands on Practice

Example 1 :

```
< html >
< head >
    < title > Example of CSS < /title >
< style >
    #borderimg1 {
        border : 10px solid transparent ;
        padding : 15px ;
        border - image - source : url(/css/images/border.png) ;
        border - image - repeat : round ;
        border - image - slice : 30 ;
        border - image - width : 10px ;
    }
    #borderimg2 {
        border : 10px solid transparent ;
        padding : 15px ;
        border - image - source : url(/css/images/border.png) ;
        border - image - repeat : round ;
        border - image - slice : 30 ;
        border - image - width : 20px ;
    }
    #borderimg3 {
        border : 10px solid transparent ;
        padding : 15px ;
        border - image - source : url(/css/images/border.png) ;
        border - image - repeat : round ;
        border - image - slice : 30 ;
        border - image - width : 30px ;
    }
< /style >
< /head >
< body >
    < p id = "borderimg1" > This is image boarder example. < /p >
    < p id = "borderimg2" > This is image boarder example. < /p >
    < p id = "borderimg3" > This is image boarder example. < /p >
< /body >
< /html >
```

Example 2 :

```

< html >
  < head >
    < style type = "text/css" >
      table.one { border - collapse : collapse ; }
      table.two { border - collapse : separate ; }

      td . a {
        border - style : dotted ;
        border - width : 3px ;
        border - color : #000000 ;
        padding : 10px ;
      }
      td . b {
        border - style : solid ;
        border - width : 3px ;
        border - color : #333333 ;
        padding : 10px ;
      }
    < /style >
  < /head >
  < body >
    < table class = "one">
      < caption> Collapse Border Example </caption>
      < tr> < td class = "a"> Cell A Collapse Example </td> </tr>
      < tr> < td class = "b"> Cell B Collapse Example </td> </tr>
    < /table >
    < br />
    < table class = "two">
      < caption > Separate Border Example < /caption >
      < tr > < td class = "a" > Cell A Separate Example < /td > < /tr >
      < tr > < td class = "b" > Cell B Separate Example < /td > < /tr >
    < /table >
  < /body >
< /html >

```

7.9 SUMMARY

This unit includes the CSS properties that helps in creating an interactive website. CSS rules consists of selector and declarations. Different selectors exist in CSS that specifies the rules on individual element of HTML. CSS rules can exist in a separate file as well as appears in the same HTML document. These attributes can be applied in four different ways as discussed in the previous unit such as Embedded, Inline, Externally, Export. Selectors are used to apply these attributes on the HTML elements. These attributes include background, text, font, positioning, padding, margin, list etc. All the CSS properties contain different styles for example text property can have different styles such as decoration, stroke, overflow, etc. In this way, different CSS attributes can be respresented by different styles.

**BACHELOR OF ARTS (LIBERAL ARTS)
SEMESTER IV**

COURSE: WEB DESIGNING AND DEVELOPMENT

UNIT 8: HTML FORMS

STRUCTURE

- 8.0 Introduction**
- 8.1 Objective**
- 8.2 HTML Forms**
- 8.3 <FORM> Tag and Controls**
 - 8.3.1. Text Controls**
 - 8.3.2. Checkbox Control**
 - 8.3.3. Radio Buttons**
 - 8.3.4. Labels**
 - 8.3.5. Drop Down List**
 - 8.3.6. File Upload**
 - 8.3.7. Buttons (Submit and Reset)**
 - 8.3.8. Hidden Controls**
- 8.4 Special <Input> Types**
- 8.5 Summary**

8.0 INTRODUCTION

Forms are used for creating the website more attractive and they can also be used for collecting the data from different users. With the help of forms, surveys can be conducted for the registration or online surveys that help in getting the information about the interest in a particular field. It helps in creating an interactive medium between the server and the client. A well-designed website is easy to use and understand. Initially, static websites are created that may not ask for user input. Then, dynamic websites are created that can create interactive websites. It helps in getting the inputs from the user and displays the output based on given inputs.

8.1 OBJECTIVES

The objective of this unit is to create an interactive web page using the concept of Forms. After completing this unit, learners will be able to understand the following concepts.

- HTML Forms for accepting user input
- Form attributes

This unit deals with designing the interactive web page that helps in accepting user input and displays the output according to input.

8.2 HTML Forms

HTML forms are used to collect the data from the visitors. These forms are similar to ordinary forms that we fill in our everyday life like application forms, reservation forms, etc. The forms can be used to create an interactive website that captures necessary input from the user and displays the processed result on the client's browser.

An HTML form is a container of other elements that can be used for data gathering. It provides the complete GUI elements. The data filled by the user can be submitted to the back-end server by the CGI, PHP scripts, Server-side scripts, etc. There are basic form elements such as text fields, checkbox, radio buttons, drop-down list, etc. Form can be created using <FORM> tag.

An HTML form is a main part of the website or web document. Users can use the form to enter their information and this information is passed back to the webserver and recorded in the database in the form of tables for future use. Forms are used for two-way communication between users and the server.

The common use of forms includes in HTML:

1. **Online form:** These forms are quite common on the web to provide a visual interface for the user to order products from online platforms such as Flip-kart, Amazon, and Alibaba. Order entry forms need user-related information like address, credit card number, delivery date, and some other information that is necessary to facilitate online commerce.
2. **Subscription forms:** Subscription forms are acquired by many websites especially, those which generate revenue through direct subscriptions or by selling advertising space.
3. **Registration forms:** These forms are used for collecting information about viewers and set an authentication system for accessing the website online by the registered participants.
4. **Feedback form:** It is generally used by companies as a way to collect feedback from users for their services and give their response in the favour of companies' improvements.

8.3 <FORM> Tag and Controls

HTML forms are used as a container that includes different controls such as text boxes, buttons, radio buttons, checkboxes, text areas, etc. The form is created using the <FORM> tag in the HTML document. It facilitates the user to enter the data that should be stored on the server for further processing such as id, name, password, contact number, etc. An opening form is represented using <FORM> and the closing tag is represented using </FORM> tag. and in between these tags, all other tags will be given.

Controls used in forms: There exist different controls in HTML that can be added in the form to collect data from a user. The most common element is the < INPUT> tag. It is a singular tag. TYPE is the attribute used with this tag that determines the type of control which can be used in the form. These are given as follows:

8.3.1. Text Controls: This control helps in gathering information from the user. Text controls can be represented in different ways such as:

- **Single line text control:** <INPUT TYPE = " TEXT"> control is used to enter a single line of text such as user name, city, etc.

Syntax: <INPUT TYPE = "TEXT" NAME = "USERNAME">

This tag specifies a single text box. And the NAME attribute is used to give the name to the input control. There may exist other attributes of this <INPUT> tag.

Attributes	Description	Syntax	Example
TYPE	It indicates the type of control that can be added in the form.	<INPUT TYPE = "text" >	Enter username <INPUT TYPE = "text">
NAME	It specifies the name of the input control. It is not visible on the form. And it must be unique within the form.	<INPUT TYPE = " TEXT" NAME="control name">	<INPUT TYPE = "TEXT" NAME = " USERNAME">
SIZE	It specifies the number of characters that should be entered in the control. The default value is 20 characters.	<INPUT TYPE = "TEXT" NAME = "control name" SIZE = "value">	<INPUT TYPE = "TEXT" NAME = "USERNAME" SIZE = "15">

MAXLENGTH	It specifies the maximum number of characters that should be allowed to enter in the control. The default length of this attribute is unlimited.	<INPUT TYPE = "TEXT" NAME = "CONTROL NAME" MAXLENGTH = value>	<INPUT TYPE="TEXT" NAME = "USERNAME" MAXLENGTH = 15 >
VALUE	It represents the default text that should be available in the control.	<INPUT TYPE = "TEXT" NAME = "control name" VALUE = "text">	<INPUT TYPE = "TEXT" NAME = "USERNAME" VALUE = "PLEASE ENTER" >

Table 1: Attributes of Text Control

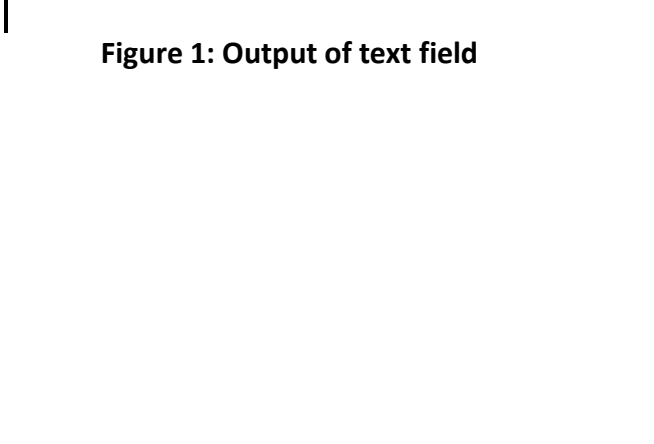
Let us consider an Example:	Output:
<pre><HTML> <HEAD> </HEAD> <BODY> <FORM> <H1> LOGIN FORM </H1> PLEASE ENTER YOUR NAME: <INPUT TYPE = "TEXT" VALUE = "PLEASE ENTER" > </FORM> </BODY> </HTML></pre>	 <p>Figure 1: Output of text field</p>

Table 2: Example of Text Control

- Password text control:** This control is a single line text control with only one difference the text is represented in ciphertext i.e., in the form of a password. The text is displayed either in asterisk '*' or dots '.'
For example:

<INPUT TYPE = "PASSWORD" NAME = "Password" VALUE = "Enter Password">

Example of Password Field:	Output:
-----------------------------------	----------------

<pre> <HTML> <HEAD> </HEAD> <BODY> <FORM> <H1> LOGIN FORM </H1> Username: <INPUT TYPE = "TEXT" VALUE = "PLEASE ENTER">

 Password <INPUT TYPE = "PASSWORD" NAME = "Password" VALUE = "Enter Password"> </FORM> </BODY> </HTML> </pre>	<p style="text-align: center;">Figure 2: Output of Password field</p>
---	--

Table 3: Example of Password Control

- **Multiline text control:** This control can be used to enter multiple lines of text using the `<TEXTAREA>` tag. This tag begins with the `<TEXTAREA>` and ends with the `</TEXTAREA>` tag.

Attributes	Description	Syntax	Example
NAME	It is used to give name to the control.	<code><INPUT NAME = "TEXT"></code>	<code><INPUT TYPE = "TEXT" ID = "LNAME" NAME = "LNAME"></code>
ROWS	It represents the number of rows in the textbox i.e., the height of the textbox.	<code><TEXTAREA ROWS = "VALUE">TEXT CONTENT...</TEXTAREA></code>	<code><TEXTAREA ROWS = "5" COLS = "23"></code> The textarea represents 5 rows. <code></TEXTAREA></code>
COLS	It represents the number of columns in the textbox i.e., the width of the textbox.	<code><TEXTAREA COLS = "VALUE">TEXT CONTENT...</TEXTAREA></code>	<code><TEXTAREA ROWS = "5" COLS = "5"></code> This paragraph has to represent an equal number of rows and columns. <code></TEXTAREA></code>
WRAP	If the wrap is off then it sets the text in one long sequence without having any line break. It can be set as Virtual or Physical.	<code>< TEXTAREA COLS = "VALUE" WRAP = PHYSICAL> TEXT CONTENT... </TEXTAREA></code>	<code><TEXTAREA ROWS = "5" COLS = "5" WRAP = PHYSICAL ></code> This paragraph has to represent an equal number of rows and columns. <code></TEXTAREA></code>

Table 4: Attributes of Multiline Text Control

Example: `<TEXTAREA ROWS = "10" COLS = "10" NAME = "text">`

..... Text to be entered
</TEXTAREA>

8.3.2. Checkbox Control: Checkbox control is used when there are more than one options and the user can select multiple options. These controls are also known as toggle control, which means that when the control is selected it is set to 1 or ON otherwise 0 or OFF. This control can be created using the <INPUT> tag with the type value as “CHECKBOX”.

Attributes	Description	Syntax	Example
NAME	It is used to give the name to the control.	<INPUT NAME = "TEXT">	<INPUT TYPE = "CHECKBOX" NAME = "course">
TYPE	For the checkbox control, it will be set to CHECKBOX.	<INPUT TYPE = "CHECKBOX" NAME = "course">	<INPUT TYPE = "CHECKBOX" NAME = "course">
VALUE	By default, its value is ON. Once the control checked property is TRUE, its value is stored on the server for processing.	<INPUT VALUE = "TEXT">	<INPUT TYPE = "CHECKBOX" VALUE = "course">
CHECKED	This property by default selects the checkbox to true.	<INPUT TYPE = "CHECKBOX" NAME = "course" VALUE = "course" CHECKED>	<INPUT TYPE = "CHECKBOX" NAME = "course" VALUE = "course" CHECKED>

Table 5: Attributes of Checkbox Control

Example:
<INPUT TYPE = "CHECKBOX" NAME = "Course" VALUE = "C" CHECKED>

Output:
☒ C
☒ C++
☒ Java
☒ Web Design

8.3.3. Radio Buttons: This control is used to select one option from multiple options. This is used where only one selection is allowed such as for gender selection, objective questions, etc. Radio buttons are represented in groups i.e., all the radio buttons share a common name. In this case, if one option is selected, the other will remain unselected. This control can be created using the <INPUT> tag with the type value as “RADIO”.

Attributes	Description	Syntax	Example
NAME	It is used to give the	<INPUT NAME = "TEXT">	<INPUT TYPE = "RADIO" NAME =

	name to the control.		"GENDER">
TYPE	For the radio buttons in the form, it will be set to the radio.	<INPUT TYPE = "RADIO" NAME = "CONTROL_NAME">	<INPUT TYPE = "RADIO" NAME = "GENDER">
VALUE	The value of the radio button is used if it is selected.	<INPUT VALUE = "TEXT">	<INPUT TYPE = "RADIO" VALUE = "COURSE">
CHECKED	This property by default selects the radio button to true.	<INPUT TYPE = "RADIO" NAME = "CONTROL_NAME" VALUE = "TEXT" CHECKED>	<INPUT TYPE = "RADIO" NAME = "COURSE" VALUE = "COMPUTERS" CHECKED>

Table 6: Attributes of Radio button Control

Example:

<INPUT TYPE = "RADIO" NAME = " Gender" VALUE = "Male" >

<INPUT TYPE = "RADIO" NAME = "Gender" VALUE = "Female" CHECKED >

Output:

- ☐ Male
☒ Female

8.3.4. Label: Label control is used to display labels for different controls in the form. This control is useful for the readers that indicates the types of values to be entered in the textbox. It makes the website user-friendly by adding labels in the form.

Syntax: <LABEL FOR = "Username" > User Name </LABEL>
< INPUT TYPE = "TEXT" ID = "Username" >

In this syntax, the attribute of the label includes the FOR, which represents it should be used for which textbox. and the ID of the textbox and FOR contains the same value.

8.3.5. Drop Down List: This control is used for selecting a single option or multiple options from the list of choices. It displays only one choice, when the user clicks on the drop-down list the complete list will be displayed on the screen. The <SELECT> tag represents the menu that should be displayed and the <OPTION> tag is used to add the choices in the list. Its length can be represented in the longest choice present in the list. Following are the attributes of the drop-down list.

Attributes of <SELECT>	Description	Syntax	Example
------------------------	-------------	--------	---------

NAME	This attribute assigns the name to the drop-down list. When there exist multiple lists, each list name must be unique.	<SELECT NAME = "TEXT">	<SELECT NAME = "COURSE">
SIZE	This can be used to set the number of choices that will be displayed on the screen at once.	<SELECT NAME = "TEXT" SIZE = "NUMBER">	<SELECT NAME = " COURSE" SIZE = "3"> <OPTION>BCA </OPTION> <OPTION>B.Com</OPTION> <OPTION>MCA </OPTION> <OPTION>PGDCA</OPTION> <OPTION>B.SC. </OPTION> </SELECT>
MULTIPLE	This attribute helps the user to select multiple choices from the drop-down list. To select multiple options press CTRL+ click on the choice.	<SELECT NAME = "TEXT" SIZE = "NUMBER" MULTIPLE>	<SELECT NAME = "Course" SIZE = "3" Multiple>

Table 7: Attributes of <SELECT> Tag

Attributes of <OPTION>	Description	Syntax	Example
VALUE	This attribute is used to send the value to the server for further processing.	<OPTION VALUE = "VALUE">	<OPTION VALUE = "DELL">DELL</OPTION>
SELECTED	This attribute will select the option automatically.	<OPTION SELECTED>	<OPTION VALUE = "DELL" SELECTED>DELL</OPTION>
OPTGROUP	This option is used to select groups of multiple options in logical order. This works when there are a large group of options. More than one <OPTGROUP> tag is available.	<OPTGROUP LABEL = " ">...</OPTGROUP>	<SELECT> <OPTGROUP LABEL = "LAPTOP"> <OPTION VALUE = "DELL">DELL</OPTION> <OPTION VALUE = "HP">HP</OPTION> </OPTGROUP> <OPTGROUP LABEL = "MOBILE">

			<pre> <OPTION VALUE = "APPLE">Apple</OPTION> <OPTION VALUE = "NOKIA">Nokia</OPTION> </OPTGROUP> </SELECT> OUTPUT: FIGURE 3: OUTPUT OF DROP- DOWN LIST </pre>
--	--	--	---

Table 8: Attributes of <OPTION> Tag

8.3.6. File Upload: This control helps the user to upload the files to the server at the time of submission of a form. <INPUT> tag is used to create this control that includes TYPE attribute with value FILE.

Example:

Select the file you want to upload: <INPUT TYPE = "FILE" NAME = "Fileupload">

Output:

Figure 4: Output of file upload

The browser displays this screen after creating file upload control in the form. To upload the file on the server, the user is required to click on the choose file button, the dialog box appears. Select the file from the dialog box and then click ok. In the end, on submitting the form to the server the file is appended to the data and the record is sent to the server.

8.3.7. Buttons (Submit and Reset): The button control can be used to send the data to the server. There are three types of buttons in HTML.

- **Submit button:** This button is used to send the form data to the server that is entered by the user. <INPUT> tag is used to create the submit button and attribute TYPE is set to Submit.

Syntax:

<INPUT TYPE = "SUBMIT" VALUE = "SUBMIT">

The default value of this button is submitted. If a user wants to change the value, then it can specify in the VALUE attribute of the INPUT tag. Once the user clicks on this button the values filled by the user in the form are sent to the server.

- **Reset button:** This button clears all the entries filled by the user in the form and resets all the

controls to their default or initial value. <INPUT> tag is used to create the reset button and attribute TYPE is set to Reset.

Syntax:

```
<INPUT TYPE = "RESET" VALUE = "RESET">
```

The value can be changed and the default value of the RESET button is always set to RESET.

- **Push-button:** Similar to the Submit or reset button, general buttons can also be created to generate events on the browser. These buttons are created by setting the TYPE attribute to BUTTON and can also be edited with the image, text, or markups.

Syntax:

```
<INPUT TYPE = "BUTTON" VALUE = "SEND TO SERVER">
```

This button sends the value to the server. It includes the label SEND TO SERVER.

- **Image button:** This button is similar to the push button. It can include the image at the place of value.

Syntax:

```
<INPUT TYPE = "IMAGE" SRC = "*.jpg" ALT = "submit button">
```

The TYPE attribute of the INPUT tag contains IMAGE and the SRC is represented as a source of the image. ALT attribute specifies the alternate text of the image, if by default the image is not displayed, the alternate text appears.

- 8.3.8. Hidden Controls:** The hidden control is used to embed the data in a page that is not visible and is not updated by the user. The <INPUT> tag is used to represent the hidden field. The attribute of this control is NAME, TYPE, and VALUE. The TYPE attribute contains the HIDDEN value.

Syntax:

```
<INPUT TYPE = "HIDDEN" NAME = "aa" VALUE = "field">
```

There exists a large number of controls used in Forms in HTML. To group these controls, two more tags are used for grouping and that makes a user-friendly interface.

- **<FIELDSET>:** This tag creates a border around the related information in the form such as personal details are created separately, professional qualification is separate.
- **<LEGEND>:** This tag gives the title to the block in such a way as to identify the information required in the block. For example, personal details, qualifications, etc.

8.4 Special <Input> Types:

- 1. Files:** HTML also supports the special input fields, a file field that helps the visitors to upload the files on the server. For example, if any one wants to submit the information such as picture, word document, excel file or any scanned document. This field can be used to simply upload the file using FTP or email.

Syntax: `<input type = "file" name = "id" size = "n" accept = "file_type">`

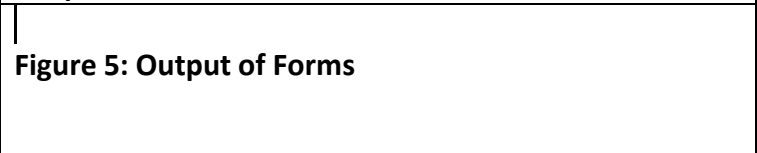
Attributes	Description	Syntax	Example
NAME	This is used to specify the name of field.	<code><INPUT NAME = "TEXT"></code>	<code><INPUT TYPE = "FILE" NAME = "ATTACHMENT"></code>
TYPE	It specifies the type of file.	<code><INPUT TYPE = "CONTROL_NAME"></code>	<code><INPUT TYPE = "FILE" NAME = "ATTACHMENT"></code>
SIZE	It specifies the size of input field.	<code><INPUT SIZE = "VALUE"></code>	<code><INPUT SIZE = "30" TYPE = "FILE"></code>
ACCEPT	This attribute is used to restrict the types of files that is allowed to be uploaded.	<code><INPUT TYPE = "CONTROL_NAME" SIZE = "VALUE" ACCEPT = "IMAGE/JPG"></code>	<code><INPUT TYPE = "FILE" NAME = "ATTACHMENT" SIZE = "30" ACCEPT = "IMAGE/jpg"></code>

Table 9: Special Attributes of <INPUT> Tag

- 2. Access keys:** The form elements can be accessed either by the mouse click or by using the tab key. The visitors can access the elements directly by using the access key attribute. This can be possible by assigning the characters to the form element as an access key attribute. To access the control the particular key is pressed with the alt key. While assigning the access key, always be careful that the user is not override the browser's own access keys. And also, the function keys are not used as the access keys because they are already assigned a function.

Syntax: `<input type = "file" name = "id" size = "n" accept = "file_type" accesskey = "U">`

Handy Tips of Forms:

Example of Form elements	Output
<pre><HTML> <HEAD> <TITLE> Basic controls of form </TITLE></pre>	

<pre> </HEAD> <BODY> <FORM METHOD = POST> Enter Username <INPUT TYPE = TEXT NAME = "ADDRESS" SIZE = 10>
Enter Password <INPUT TYPE = PASSWORD MAXLENGTH = 10>
Course
 <INPUT TYPE = RADIO NAME = "course" CHECKED> BCA
 <INPUT TYPE = RADIO NAME = "course"> BBA
 <INPUT TYPE = RADIO NAME = "course"> B.Com<P>
Subjects
 <INPUT TYPE = CHECKBOX> C
 <INPUT TYPE = CHECKBOX> C++
 <INPUT TYPE = CHECKBOX> Web Designing<P>
City
 <SELECT> <OPTION>Patiala <OPTION>Chandigarh <OPTION>Rajpura <OPTION>Mohali <OPTION>Delhi <OPTION>Ludhiana </SELECT> </FORM> </HTML> </pre>	
---	--

Table 10: Example of Form controls

Handy Tips of Forms: University Registration Form

```

<html>
<head>
<title>
University Registration Page
</title>

```

```

</head>
<body bgcolor = " 2999cc ">
<br>
<br>
<form>
  <h1>University Registration Form</h1>
  <label> <b>Enter Your First name</b> </label>
  <input type = "text" name = "firstname" size = "15"/> <br> <br>
  <label> <b> Enter Your Middle name:</b> </label>
  <input type = "text" name = "middlename" size = "15"/> <br> <br>
  <label> <b>Enter Your Last name:</b> </label>
  <input type = "text" name = "lastname" size = "15"/> <br> <br>
  <label>
  <b> Course:</b>
  </label>
  <select>
    <option value = "Course"> Course </option>
    <option value = "BCA"> BCA </option>
    <option value = "BBA"> BBA </option>
    <option value = "B.Tech"> B.Tech </option>
    <option value = "MBA"> MBA </option>
    <option value = "MCA"> MCA </option>
    <option value = "M.Tech"> M.Tech </option>
  </select>
  <br>
  <br>
  <label>
  <b>Gender:</b>
  </label><br>
  <input type = "radio" name = "male"/> Male<input type = "radio" name = "female"/> Female
  <input type = "radio" name = "other"/> Other
  <br>
  <br>
  <label>
  <b> Enter Your Phone: </b>
  </label>
  <input type = "text" name = "country code" value = "+91" size = "2"/>
  <input type = "text" name = "phone" size = "10"/> <br> <br>
  <b> Enter Your Address: </b>
  <br>
  <textarea cols = "68" rows = "5" value = "address">
  </textarea>
  <br> <br>
  <b> Enter Your Email: </b>
  <input type = "email" id = "email" name = "email"/> @mail.com <br>
  <br> <br>

```

Figure 6: Registration Forms

```

<b> Enter Your Password: </b>
<input type = "Password" id = "password" name = "password" maxlength = "8"> up to 8
characters <br>
<br> <br>
<b> Enter Your Re-type password : </b>
<input type = "Password" id = "repassword" name = "repassword"> up to 8 characters <br> <br>
<input type = "button" value = "Submit"/>
</form> </body></html>

```

Check Your Progress 1

1. State whether True or False:
 - i. There exist two attributes of <form> tag i.e., Action and Method.
 - ii. The text field can be used to enter multiline text.
 - iii. The INPUT tag can be used for dropdown lists.
2. Design the registration form of the website.
3. Design the following given format:

Figure 7: Design Forms

Hands On Practice

Example 1:

```

<html>
<head>
<title> signup form </title>
</head>
<body>
<form action = "/signup" method = "POST">
  <p>
    <label>Title</label>
    <label>
      <input type = "radio" name = "title" value = "mr">
      Mr
    </label>
    <label>
      <input type = "radio" name = "title" value = "mrs">
      Mrs
    </label>

```

```

    <label>
      <input type = "radio" name = "title" value = "miss">
      Miss
    </label>
  </p>
  <p>
    <label>First name</label>
    <input type = "text" value = "first_name">
  </p>
  <p>
    <label>Last name</label>
    <input type = "text" value = "last_name">
  </p>
  <p>
    <label>Email</label>
    <input type = "email" value = "email">
  </p>
- <p>
  <label>Phone number</label>
  <input type = "tel" value = "phone">
</p>
<p>
  <label>Password</label>
  <input type = "password" value = "password">
</p>
<p>
  <label>Confirm your password</label>
  <input type = "password" value = "password_confirm">
</p>
<p>
  <label>Country</label>
  <select>
    <option>Canada</option>
    <option>France</option>
    <option>Germany</option>
    <option>Italy</option>
    <option>Japan</option>
    <option>Russia</option>
    <option>United Kingdom</option>
    <option>United States</option>
  </select>
</p>
<p>
  <label>
    <input type = "checkbox" value = "terms">
    I agree to the <a href = "/terms">terms and conditions</a>

```

```

    </label>
</p>
<p>
    <button>
        Sign up
    </button>
</p>
</form>
</body>
</html>

```

Example 2:

```

<html>
<head>
<title> booking form </title>
</head>
<body>
<form method = "post">
    <div class = "elem-group">
        <label for = "name">Your Name</label>
        <input type = "text" id = "name" name = "visitor_name" placeholder = "John Doe" pattern =
[A-Z\sa-z]{3,20} required>
    </div>
    <div class = "elem-group">
        <label for = "email">Your E-mail</label>
        <input type = "email" id = "email" name = "visitor_email" placeholder =
"john.doe@email.com" required>
    </div>
    <div class = "elem-group">
        <label for = "phone">Your Phone</label>
        <input type = "tel" id = "phone" name = "visitor_phone" placeholder = "498-348-3872"
pattern=(\d{3})-?\s?(\d{3})-?\s?(\d{4}) required>
    </div>
    <hr>
    <div class="elem-group inlined">
        <label for="adult">Adults</label>
        <input type="number" id="adult" name="total_adults" placeholder="2" min="1" required>
    </div>
    <div class="elem-group inlined">
        <label for="child">Children</label>
        <input type="number" id="child" name="total_children" placeholder="2" min="0" required>
    </div>
    <div class="elem-group inlined">
        <label for="checkin-date">Check-in Date</label>

```

```

    <input type="date" id="checkin-date" name="checkin" required>
</div>
<div class="elem-group inlined">
    <label for="checkout-date">Check-out Date</label>
    <input type="date" id="checkout-date" name="checkout" required>
</div>
<div class="elem-group">
    <label for="room-selection">Select Room Preference</label>
    <select id="room-selection" name="room_preference" required>
        <option value="">Choose a Room from the List</option>
        <option value="connecting">Connecting</option>
        <option value="adjoining">Adjoining</option>
        <option value="adjacent">Adjacent</option>
    </select>
</div>
<hr>
<div class="elem-group">
    <label for="message">Anything Else?</label>
    <textarea id="message" name="visitor_message" placeholder="Tell us anything else that
might be important." required></textarea>
</div>
    <button type="submit">Book The Rooms</button>
</form>
</body>
</html>

```

8.5 SUMMARY

This unit covers the important and advanced topics that enable users to create interactive websites. The most important concept of creating a dynamic website is the use of Forms, Client-side, or Server programming, and the use of CGI scripts makes the interactive websites. Forms use different kinds of controls such as Textbox, Radio buttons, Checkbox, Dropdown list, etc. These controls help the users to enter the details in the form and submit the details to the server.

BACHELOR OF ARTS (LIBERAL ARTS)
SEMESTER IV

COURSE: WEB DESIGNING AND DEVELOPMENT

UNIT 9: SCRIPTING LANGUAGE

STRUCTURE

- 9.0 Introduction**
- 9.1 Objective**
- 9.2 ACTION and METHOD Attributes**
- 9.3 Scripting Languages**
 - 9.3.1. Client-Side Programming**
 - 9.3.2. Server-Side Programming**
 - 9.3.3. Comparison**
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 - 9.4.1. Working of CGI**
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 - 9.4.3. Applications of CGI**
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- 9.5 DHTML**
 - 9.5.1 Comparison of HTML and DHTML**
- 9.6 Features of DHTML**
- 9.7 Working of DHTML**
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9.0 INTRODUCTION

There exist two types of webistes i.e., static and dynamic. Dynamic sites are created by using the concept of forms and client/server programming. Client/Server Programming is used for the communication of the client and server where the client sends data or information received through a browser on the server. CGI or Common Gateway Interface standards are used to create

interactive websites that help in submitting data to the server and after submitting the client may get the acknowledgment of the submission. This unit covers the concepts of DHTML i.e., Dynamic Hypertext Markup Language. It is not HTML but an extension of HTML.

9.1 OBJECTIVES

The objective of this unit is to create an interactive web page using the concept of Forms and helps in creating dynamic website. After completing this unit, learners will be able to understand the following concepts.

- Action and Method attributes
- Server-side Programming
- Client-side Programming
- Common Gateway Interface
- DHTML

9.2 ACTION and METHOD Attributes

The form contains two attributes i.e., ACTION and METHOD.

1. **ACTION:** This attribute contains the address of the page that will receive the form's data after submission by the user. This attribute can be set to either email address using `mailto: address` or by using processing scripts such as `registration.asp`, `login.asp`, etc.

For example:

```
<FORM ACTION=mailto:abc@gmail.com>  
<FORM ACTION="registration.asp">
```

2. **METHOD:** This attribute represents how to send the data to the server once received from the user. There exist two methods of sending the data. These are:

- **GET Method:** This method gets the data from the form elements entered by the user, encodes the data, and appends the data to the URL.

```
<FORM METHOD="GET" ACTION="registration.asp">
```

Once the user clicks on the submit button, the data filled in the registration form will be represented in the URL. The submission will encode the data in encrypted form.

- **POST Method:** This method gets the data from the form elements and sends the data through HTTP without the need to append it to the URL.

```
<FORM METHOD="POST" ACTION="registration.asp">
```

This method is used for sending a large amount of data, even the data files. The POST method is better as compared to the GET method because while sending sensitive data in the POST method data is not visible in the URL. This data cannot be altered or read during transmission.

Example of methods:

```
<html>
<head>
  <title>HTML form action Attribute Example</title>
</head>
<body>
  <form action="action.asp" method="get" enctype="text/plain">
    First Name: <input type="text" name="first_name" /><br />
    Last Name: <input type="text" name="last_name" /><br />
    <input type="submit" value="Submit" />
  </form>
</body>
</html>
```

Difference between get and post method:

Sr no	Get Method	Post Method
1	Get method is requested from a specific resource.	Post method is submitted to to be processed to a specific resource.
2	In get method parameters passed in url.	Post method parameters passed in body.
3	Get method is used for fetching the documents.	Post method used for updating the data.
4	Get method is used to request the data from a particular resource.	Post method used to send information to a server to create/update a resource.
5	Get method can be used for cache the data.	Get method cannot be used for cache the data.
6	In which limited data is sent.	In which large amount of data is sent.
7	It sends data as part of URL (Uniform resource identifier).	It sends data as http content.
8	It is no not secure.	It is more secure.

Table 1: Comparison between Get Method and Post Method

9.3 Scripting Languages

Web development is all about the communication between two ends client and the server via various kinds of protocols such as HTTP, HTTPS and, FTP, etc. The client and server are working as follows.

Client: The client requests the webpage from the server and displays the requested pages to the end-user browser's window.

Server: The server fulfills all the requirements of the client/end-user. It can be either static or

dynamic.

The browsers request the servers using the protocol i.e., HTTP (Hypertext Transfer Protocol). Once the client clicks the link on the web page for submitting the form, then through the HTTP protocol the browser sends the request to the server.

While sending the request, it includes the URL and the other information of the client using the GET or POST method. The GET method may append the sensitive information in the URL or the POST method sends the large data files. Whenever the server receives the client request, the server responds to the requests through browsers. Scripting languages are the example for creating client-side or side programming.

The scripting language is a programming language i.e., interpreted at the run time. Scripting languages are often used for short scripts or series of commands that can be executed without compiling. Although, all the scripting languages such as Python, Ruby, and Java scripts are programming languages. All the programming languages are not scripting languages. These languages are of two types:

9.3.1 Client-Side Programming: In Client-side programming, an entire program that runs on the client-side, or we can say that client-side programming mostly deals with the user interface with which the user interacts on the web. It allows for a more interactive way to perform several actions without going to the user and without interaction with the database directly. It can also be used to create “cookies” at the client end and store the temporary file (cookies) on the user’s computer.

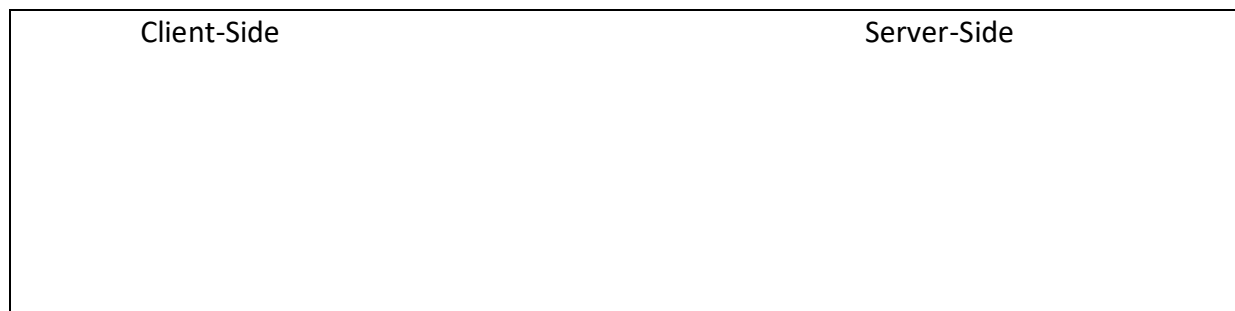


Figure 1: Client-Side Programming

The above diagram shows the basic structure of a web server for the client-side. In which a client sends a request through the browser to the server by using the HTTP “GET” method. On the other hand, the server receives a request and returns an HTTP response to the client browser. If the requested file cannot be retrieved for some reason, an error status is returned. Client-side programming provides various benefits:

1. It helps to make interactive web pages.
2. It has to create dynamic websites.
3. It interacts with the temporary storage.
4. It creates the interface between the user and the server.
5. It helps for transforming the data from the client to the server.
6. It retrieves the data from the server.
7. It provides remote access for the client-server program

The client-side scripting language are JavaScript, Html, VBScript, CSS, Ajax, jQuery, etc.

9.3.2. Server-Side Programming: Server-side programming means every program that runs directly on the server and deals with dynamic content that interacts with the dynamic pages. Server-side programming helps the developer for sending and retrieves the information from the database as per the requirement. Web server is used to execute server-side scripting for creating dynamic pages. Server-side scripting is faster than client-side scripting because it interacts directly with a database. It can also be used to maintain the “session” at the server-side, which creates a file in a temporary file on the server where registered session variables and the information about the client are stored. A session creates a file in a temporary directory on the server where registered session variables and the value of clients are stored.

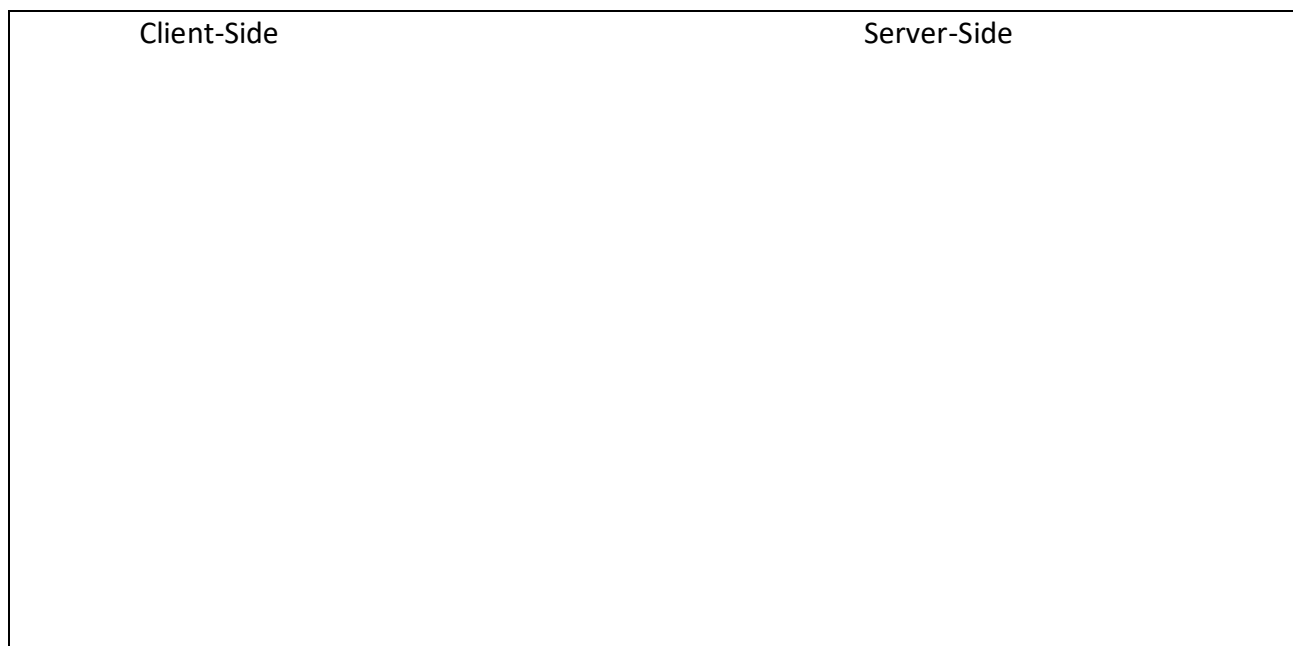


Figure 2: Server-Side Programming

The above diagram shows the basic structure of a web server for a server-side. As in the previous diagram, the browser sends HTTP requests to the server, and then the server fulfills the requests and returns the HTTP response to the browser window. On the server-side, the server interprets the request, reads required information from the database, combines the retrieved data with HTML layout, and sends back a response to the browser end. Server-side programming provides the following benefits:

1. It interacts with the user input.
2. It helps to create the structure of web applications.
3. It interacts with server or database storage.
4. It fulfills querying the database.
5. It helps to encode the data into HTML format.
6. It fulfills the operations like deletion, updating, and insertion.

Server-side scripting languages are Java and JSP, PHP, C++, ASP.NET, etc.

9.3.3. Difference between Client-Side Programming and Server-Side Programming:

Parameters	Client-Side Programming	Server-Side Programming
Visibility of code	Source Code invisible on the client-side.	Source code is not visible to a client because its code is stored on the server end.
Stored Procedure	It usually depends on the browser because the values are stored on the browser in the form of “cookies”.	In which any server-side technology such as PHP, ASP.NET can be used and it does not depend on the client.
Executed On	It can run on the user's computer.	It can run on the webserver.
Speed	It is slow a process.	It is faster than the client-side.
Security	It does not provide any kind of security.	It provides security.
Examples	HTML, CSS, and JavaScript are the example of client-side programming.	PHP, ASP.NET, JAVA, and Ruby are the versions of server-side programming.

Table 2: Comparison between client-side and Server-side programming

9.4 Common Gateway Interface (CGI)

The Common Gateway Interface (CGI) standard or set of rules is defined by W3C (World Wide Web Consortium) that defines the interaction of the program with the HTTP server. It can be used to run the server programs and implements as a middleware between the servers and other sources of information. The programs run using these features of CGI are called CGI scripts. The server processes the data and passes the information to the program and may receive a confirmation acknowledgment. The process of sending data between server and application is referred to as Common Gateway Interface (CGI).

These concepts are used to create interactive pages, that help to store the client data on the server and may receive the response depending on the input. An example of an interactive web page is a search engine. The client requests by entering keywords and the server responds by sending a list of related web pages based on the keyword. This list is dynamic i.e., it is based on the client's requested keywords.

HTML form elements are used to create interactive web pages that accept the client input and pass the control to the server. and the server then responds to the client. These programs are referred to as gateways. Gateways are generally the medium between server and data sources

that exchanges the information. This is the reason for creating CGI programming that handles client requests.

Features of CGI:

- Well-defined standard.
- Scripts are written in C, Perl, or a simple shell script.
- Gather the information using the HTML interface.
- Compatible with the latest browsers.
- The results will be displayed in HTML format after database access.

9.4.1 Working Of CGI

The working CGI script includes a sequence of steps. This work is under observation by the server and needs to be configured to process the script. It is written in C, Perl, Shell script, etc. The CGI script can be created for the dynamic implementation of HTML. Following are the steps that can be considered while clicking a link on a web page as shown in the Figure.

- The browser sends the request to the client for the information from the server.
- The server interprets the URL and activates the CGI script given in the URL.
- The script processes the parameters by searching the information and if the information is found, it will be returned to the client's browser by adding the MIME header, otherwise, an error message will be displayed.
- In the end, the browser displays the information received from the server or the error message.

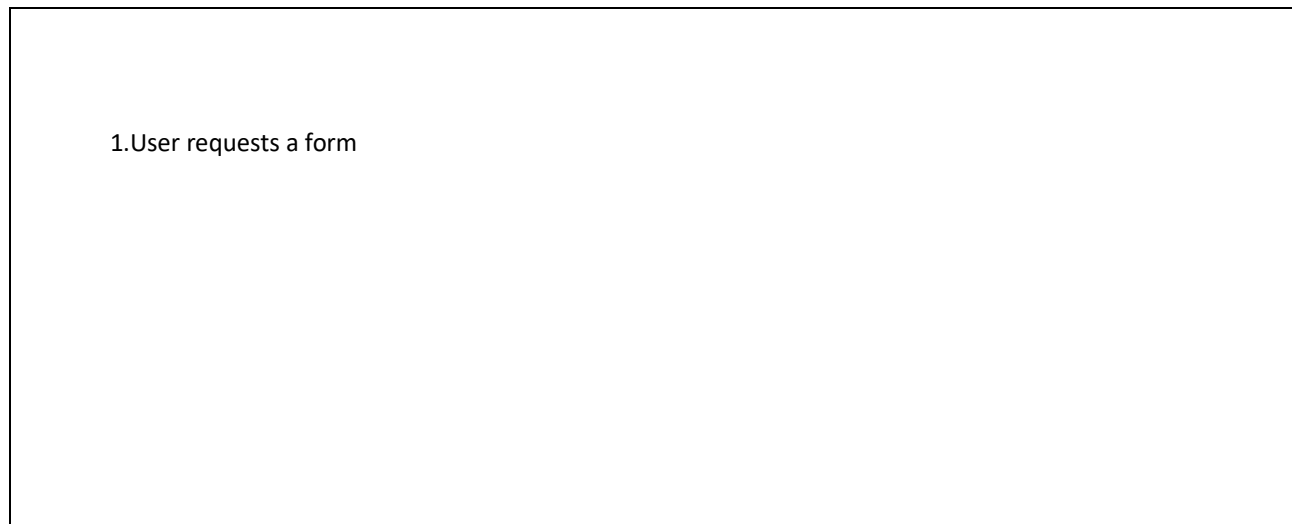


Figure 3: CGI Communication

In this, if the server is configured in between then the information that can be accessed by the server is available in a certain drive. It is not sent to the browser rather a program is executed and the output is sent back to the user's browser. In this way, Common Gateway Interface plays an important role.

9.4.2 GET and POST Method

The form tag uses two methods to transfer the data from the browser to the CGI script.

1. **GET:** The browser submits the form's data entered by the user is encoded with the URL and then sent to the server.
2. **POST:** The browser sends a large volume of data or even files to the server using this method.

9.4.3 Applications of CGI:

CGI can be used for simple interactive applications. some examples, where CGI can be used, are given as:

- Email forms, Registration forms, Feedback forms
- Maintaining the list of emails
- any user can leave a message for any other user through the guest book.
- Blogs
- Allow users user to color images using a coloring book.

9.4.4 Advantages of CGI:

- It is easy to perform the task in CGI as compared to Java.
- Easy to use existing code than creating your code.
- It specifies the program can be written on any platform or in any language.
- A large existing library of CGI is available that can be reused.
- CGI scripts run on the server; thus, they are secure.

9.4.5 Disadvantages of CGI:

- There is a lot of overhead while loading programs in memory.
- It takes a lot of processing time.
- Less efficient, as data cannot be cached between page loads.

Check Your Progress 1

10. State whether True or False:

- i. A gateway acts as a mediator between the server and the external sources of information.
- ii. CGI returns the output to the client browser.
- iii. Client-side programming does not provide any security as compared to server-side programming.
- iv. CGI scripts are not secure.

11. Explain the working of CGI scripts.

12. What are the advantages and disadvantages of CGI scripts?
13. Compare the client-side programming and server-side programming.
14. Explain in detail client-side and server-side programming.

9.5 DHTML

DHTML refers to Dynamic Hypertext Markup Language that is used to move the content on the web page. It is a new and growing technology that helps in creating an eye-catching and attractive website. It is not a unique language rather a combination of multiple languages such as Hypertext Markup Languages (HTML), Cascading Style Sheets (CSS), Scripting languages such as JavaScript, and DOM (Document Object Model) that helps in the creation of dynamic web pages. To support dynamic HTML some browsers are available such as Internet Explorer and Netscape Navigator with higher versions compared to 4.0. DHTML includes the properties of HTML, CSS, JavaScript, DOM that make dynamic content of the web pages.

With the help of HTML, elements are created and then formatted with CSS. After creation and formatting, it is combined with JavaScript to add the animations and effects on the web page. This is done with the help of DOM i.e., Document Object Model that uncovers the HTML tags and CSS properties to JavaScript.

DHTML helps in designing a dynamic web page that helps in enhancing the effects and it involves games, animations, show and hides the text or images alternatively, banners are created that display the latest articles or news, rollover buttons, and menus. With the help of DHTML, one can easily add effects in the document that was difficult to achieve with the help of HTML. DHTML can be used for making productive applications for business. Dynamic forms can be created that helps to take the user input such as tracking sales and analysis, registering students for any activity, order details, etc. and it helps in getting additional details in the background. This can be done dynamically and in this dynamic HTML plays an important role in creating client-server business applications. For example,

- It hides the text and images of the document and remains hide until the user interacts with the page.
- It helps in animating text and images by moving the objects on the browser.
- By creating forms, and reading, processing, and responding to the users with the given input.

Thus, DHTML technology is composed of HTML, CSS, JavaScript, VBScript standards. In some browsers, JavaScript is supported and some follow VBScript. Netscape Navigator does not support VBScript and is only supported by Internet Explorer.

DHTML=HTML+CSS+JavaScript/VBScript

To create real-time and interactive web pages, DHTML is used. To access the dynamic web pages, the code is analyzed by the server, and then the processed HTML page is displayed on the browser.

The components of the DHTML are as follows:

1. **HTML:** It stands for Hypertext Markup Language that works on the client's browser. It is used to create static web pages.
2. **CSS:** It stands for Cascading Style Sheet. Once the static web page is created, CSS is used to give styles that help in making an attractive web page.
3. **JavaScript:** This is the most widely used scripting language that is supported by all browsers. It can also store the cookies for the user's identification at the browser.
4. **DOM (Document Object Model):** This model can be used to create dynamic and moving content across the web page.

9.5.1. Comparison of HTML and DHTML

Sr No.	HTML	DHTML
1	It is a markup language.	It is a combination of technologies for web development.
2	It is used to create static web pages.	It is used to create dynamic and interactive web pages.
3	Server-side scripting code is not required.	Server-side scripting code is required.
4	The document of HTML is stored with the .html or .htm extension.	The document of DHTML is stored with the .dhtm extension.
5	It does not need any database connectivity.	This language needs database connectivity because user responses need to be stored.
6	It creates simple images and menus.	It is used to create dynamic menus and animations
7	It does not require processing from the browser.	Processing is required by the browser.

Table 3: Comparison of HTML and DHTML

9.6 Features of DHTML

Following are the features of DHTML that make it the most widely used language for creating interactive pages:

1. **Dynamic styles in DHTML:** This helps in creating dynamic styles that can change the color, font, text size when the user requests for the change. Style includes positioning, indentation, visibility, etc.
2. **Changing the content dynamically:** This feature enables the designer to change the content of the elements after it loads onto the server. This is possible only with the help of the Document Object Model (DOM) that can access all the elements of the web page such as (<p>, <table>, <image>, etc.). The appearance of these elements can be changed easily without the need to insert or delete the element. For example, if a user wants to

change the font size, color any of the elements on the web page by moving the cursor on that element. Then, this can be done with the help of JavaScript and CSS.

3. **Real-time Positioning:** The positioning of a single element or group of elements can be done with the help of DHTML on a web page. The real-time positioning can be performed in DHTML. All the elements have their transparent layer that allows the elements to be made hidden, visible, or moved on the web page without any disturbance. This technique also helps in creating animations on the website.
4. **Downloading Fonts:** This feature allows the downloading of fonts from the server dynamically. If the font given in CSS by using font-family is not available on the system, then it will use the default font of the system. But with the help of this feature, the font that can be used by the designer is automatically downloaded on the system.
5. **Dynamic pages:** DHTML helps in creating dynamic web pages that can be used to create animations, navigation of elements on the web page, games, etc. By combining these languages make the website dynamic.
6. **Transitions and Filters:** Transitions are used to adjust the appearance of the elements. The images can switch from one to another either horizontally or vertically. Filters are the visual effects applied on the web pages like inner glow, outer glow, shadow, etc. These features are supported on internet explorer using CSS.
7. **Less server load:** Dynamic HTML helps the designer to create dynamic content on the client or the server. Dynamic content can be modified based on the responses entered by the user. It can alter the content dynamically on the web page. In this way, it will reduce the server load.

9.7 Working of DHTML

Dynamic HTML allows the designer to edit any page element, style, content, positioning at any time after loading the web page. It can modify the content without interrupting the browser services. It presents a formatted page and the user interacts with the page without downloading additional software from the server. For Example, the user can get an immediate response from the web page, just by click on any option with the mouse.

Three main components of DHTML are:

1. **Positioning:** By creating style blocks of content on a web page, and placing that block at any location on the browser.
2. **Style Update:** This can be made possible by updating the style and display on the browser.
3. **Event Handling:** It is used to handle the events that can be performed dynamically.

Here, JavaScript accesses an HTML document's property via DOM. It represents the attributes of HTML and CSS to JavaScript. In DHTML, different browsers support different versions of

DOM.

9.8 Uses of DHTML

Following are the points that describe the uses of DHTML:

1. It helps in designing an interactive and animated web page that works in real time environment.
2. DHTML allows the user to add effects on the web pages.
3. DHTML helps in adding rollover buttons and drop down menus in the web pages.
4. DHTML is also used to create the browser related games.
5. DHTML allows the users to animate the text and images in the web documents.
6. It is also used to add the ticker on various websites, which needs to refresh their content automatically.

Objective Type questions:

40. Which element is used as a form attribute in HTML?
- m) Textbox
 - n) Radio button
 - o) checkbox
 - p) All of the above.
41. Which tag is used for creating the dropdown list?
- m) <select>
 - n) <text>
 - o) <textarea>
 - p) <dropdown>
42. How can you select more than one option in the drop-down list?
- m) By using multiple attribute in <select> tag.
 - n) By using multiple attribute in <option> tag.
 - o) By using multiple attribute in <text> tag.
 - p) None of the above.
43. CGI stands for
- i) Common Gateway Interface

- j) Common Gateway Internet
- k) Central Gateway Internet
- l) Central Gateway Interface

44. The program that can be used to open a web page is

- k) Protocol
- l) Web Browser
- m) Search Engine
- n) Web Server

45. The interactive documents can be created using:

- k) Forms
- l) Tables
- m) Frames
- n) none of the above

46. Client-side programming can be done on which computer

- k) Server
- l) Main-frame
- m) Client
- n) None of the above

47. Which attribute of the checkbox or radio button is used for default checking.

- k) Check
- l) Checked
- m) Checked= True
- n) None of the above

48. The tag used to identify the author's name:

- k) Anchor tag
- l) Title tag
- m) Font tag
- n) all of the above

Hands on Practice

Example 1:

```
<html>
<head>
<title> POST Method </title>
</head>
```

```

<body>

<h1>The form method="post" attribute</h1>

<form action="/action_page.php" method="post" target="_blank">
  <label for="fname">First name:</label>
  <input type="text" id="fname" name="fname"><br><br>
  <label for="lname">Last name:</label>
  <input type="text" id="lname" name="lname"><br><br>
  <input type="submit" value="Submit">
</form>

<p>Click on the submit button, and the form will be submitted using the POST method.</p>

</body>
</html>

```

Example 2:

```

<html>
<head>
<title> Registration Form </title>
</head>
<body>
<h3>Registration form</h3>
  <form>
    <label>Enter User name</label><br>
    <input type="text" name="uname" value="USER" disabled><br><br>
    <label>Enter your Email address</label><br>
    <input type="email" name="email" placeholder="example@gmail.com"><br><br>
    <label>Enter your password</label><br>
    <input type="password" name="pass" placeholder="your password"><br><br>
    <input type="submit" value="login">
  </form>

</body>
</html>

```

9.8 SUMMARY

This unit covers the important and advanced topics of client/server programming that shows the communication of the client's browser with the server. and the last part covers the Common Gateway Interface i.e., CGI. It acts as a middleware between the server and other sources of information that uses the GET and POST method to send data to the server. This unit includes the applications, advantages, and disadvantages of CGI. And also covers the Dynamic HTML, its features and working of DHTML.

**BACHELOR OF ARTS (LIBERAL ARTS)
SEMESTER IV**

COURSE: WEB DESIGNING AND DEVELOPMENT

UNIT 10 DOCUMENT OBJECT MODEL

STRUCTURE

- 10.0 Introduction**
- 10.1 Objective**
- 10.2 Document Object Model (DOM)**
 - 10.2.1. Structure of DOM**
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10.0 INTRODUCTION

HTML was designed to create static pages whereas DHTML was designed to create dynamic pages. DHTML is a combination of HTML, CSS, JavaScript languages. This technique helps in the creation of dynamic pages that move the text across the page. This unit also covers the Document Object Model (DOM) which is a programming interface that allows the dynamic

modification of content, styles, script, and structure without the need to close the document. And also includes structure, properties, and the levels of DOM. This unit also covers the events supported by DHTML, the rollover buttons, and the advantages and disadvantages of DHTML. The basic purpose of this unit is to implement animations on the web page and to create dynamic web pages that helps in creating a web site with moving effects or objects.

10.1 OBJECTIVES

The objective of this unit is to create an interactive and dynamic web page using the concept of DHTML. After completing this unit, learners will be able to understand the following concepts.

- Document Object Model (DOM)
- Scripting language
- Rollover buttons
- Events
- Moving objects with DHTML

This unit deals with designing the dynamic web page that helps in changing the content, layout, style dynamically on the browser without to need to exit the window.

10.2 DOCUMENT OBJECT MODEL (DOM)

The DOM i.e., Document Object Model is an interface that enables the dynamic modification of content, style using the scripting languages. By using DOM, the designer creates the document, adds, modify, deletes the contents. The DOM can represent the logical structure of documents and the way how these documents can be accessed and created.

DOM represents the structure into a hierarchical format that helps programmers and users easily accessing and updating the document. One can easily access and update tags, classes, elements, attributes using methods or commands provided by DOM. It is designed for any programming language such as JavaScript, VBScript, Python, etc.

10.2.1. Structure of Document Object Model (DOM):

Once the web page is loaded, it is visible on the browser as a visual construct. However, the internal structure is created by the browser in the form of a tree that is hidden in the browser.

DOM can be represented as a Tree or Forest i.e., more than one tree. Structural isomorphism is one of the most important properties of DOM. It means if the two implementations are managed for representing a document, it will create the same structure, with the same objects and shows the relationships between them. DOM can be represented as shown in Figure 1.

Figure 1: DOM Structure

DOM treats all the objects as scriptable objects on the web page. Scriptable objects can be associated with properties, events, methods. Here, the properties represent the characteristics of

an object, the method can act on the particular object and the events are the actions on which the application responds.

10.2.2. Properties of DOM: The properties of DOM that can be accessed and modified are given below:

1. **Window:** It is always represented at the top of the hierarchy.
2. **Document:** Once the HTML page is loaded on the browser, it will be a document object.
3. **Form:** HTML web page contains form tags.
4. **Link:** Web pages contain link tags.
5. **Anchor:** Web page contains `<a href>` tags.
6. **Form elements:** Form in HTML contains different controls such as textbox, radio buttons, checkbox, options button, submit, reset, etc.

These elements are represented in a tree-like structure as given below:

Example	DOM Model
<pre><TABLE> <ROW> <TR> <TD> BCA </TD> <TD> BBA </TD> </TR> <TR> <TD> B.COM </TD> <TD> B.Sc. </TD> </TR> </ROWS> </TABLE></pre>	<p>Figure 2: Example of the table in DOM</p>

Table 1: Example and output of DOM

10.2.3. Programming Interface:

- The Document Object Model can be accessed with JavaScript and with any other programming languages.
- All HTML elements in DOM are defined as objects.
- The programming interface is the properties and methods of each object.
- A property is a value that can be used to get or set like changing the content of an HTML element.
- A method is an action that helps in adding or removing controls from the web page.

10.2.4. Levels of DOM:

There are four different levels of DOM:

1. **DOM Level 0:** It was the first object-level specification that was supported by the earlier versions of browsers such as Netscape Navigator 3.0 and IE 3.0. This level was supporting only the limited number of objects such as windows, documents, history, location, etc. Level 0 was initially designed for form controls, validations, image rollovers, etc. It provides low-level interfaces for objects.
2. **DOM Level 1:** It is a World Wide Web Consortium representation that offers access to not only the basic elements instead every element of the web page. It can be described in two parts; one is CORE and the other is HTML. Here, CORE represents low-level interfaces that represent any structural document. and the HTML provides high-level interfaces that can represent any element of the HTML document. This level 1 can be supported by all the browsers such as IE 5+, Opera 7+, Netscape Navigator 6+, etc.
3. **DOM Level 2:** Level 2 is the more advanced version than level 1. It consists of 6 specifications: CORE2, VIEWS, EVENTS, STYLE, TRAVERSAL, and RANGE.
 - **CORE2:** It extends the functionality of CORE that was specified by level1.
 - **VIEWS:** It dynamically accesses and handles the document's content.
 - **EVENTS:** These are the scripts that can be executed when the user reacts to the web page on the browser.
 - **STYLE:** It allows to dynamically access and manipulates the style information given on the web page.
 - **TRAVERSAL:** It traverses the document dynamically.
 - **RANGE:** It dynamically identifies the range of content on the web page.

In this way, level 2 can manipulate the style sheets also and other advanced specifications as compared to level 1.

4. **DOM Level 3:** Level 3 of DOM is still in the development phase that includes 5 specifications: CORE3, LOAD & SAVE, VALIDATION, EVENTS, and XPATH.
 - **CORE3:** It extends the functionality of CORE defined by the DOM level 2.
 - **LOAD & SAVE:** It allows to dynamically load the XML document content in DOM and save the DOM document in XML document in serialization.
 - **VALIDATION:** It validates the document during dynamic updations of content and structure.
 - **EVENTS:** It extends the functionality specified in level 2.
 - **XPATH:** It is a path language that accesses the DOM tree.

Let us consider an example to understand the internal working of DOM level 1 with the help of a hierarchical diagram as shown in Figure 3.

A node in DOM is represented by every HTML element. In Figure 3, the document, HTML,

title, body, h1, p, document content, headings, paragraphs, all are nodes in DOM. In this HTML, body, head, h1, p are the element nodes and document content, headings, paragraphs, all are text nodes. The root should be the document that is a container for all the other nodes. With these nodes, there are some other nodes such as Comment nodes, attribute nodes, etc.

Example	DOM Model
<pre> <HTML> <HEAD> <TITLE> DOM Level 1 </TITLE> </HEAD> <BODY> <h1> </h1> <p> </p> </BODY> </HTML> </pre>	<p>Figure 3: Example of the Tree structure of HTML page</p>

Table 2: Example and output of DOM level 1

10.3 HTML and Scripting Access

The elements can be located in the tree either by using ID or by using the name attribute. The elements can be accessed and modify the content, style, structure of the web page with the help of the following techniques:

1. **getElementById () Method:** It works with the elements of the script to access the specific element of the web page. The element should be uniquely identified by the ID attribute:

For example:

```
<IMG ID="first" SRC="a.jpg">
```

This element can be referenced as document.getElementById("first").If no such ID exists, it returns NULL.

Let us consider another example, where getElementById () is used to calculate the square of a number given in the textbox. It returns the result in the alert box.

Example	Output
<pre> <html <head> <script type="text/javascript"> function getsquare(){ var number=document.getElementById ("num").value; alert(number*number); } </script> </head> <body> <form> Enter No:<input type="text" id="num" name="number"/>
 <input type="button" value="square" onclick="getsquare()"/> </form> </body> </html> </pre>	<p>Figure 4: Output of document.getElementById()</p>

Table 3: Example and output of document.getElementById()

2. **getElementByName () Method:** This method returns the array of the elements referenced in the document with the matching attributes of ID and Name. ID should be unique, but the name of different elements can be the same on a web page.
Once the browser opens up, it shows the checkboxes that contain different values. This code is designed to click on the button that checked the checkboxes that contain the value “animals”. The rest of the checkbox contains different values; thus, these are remained unchecked. These two methods i.e., getElementById() and getElementByName() are supported by all the web browsers.

Example	Output
<pre> <html> <head> <script> function Function() { var x = document.getElementsByName("animal") ; var i; for (i = 0; i < x.length; i++) { if (x[i].type == "checkbox") { x[i].checked = true; } } } </script> </head> <body> Cats: <input name="animal" type="checkbox" value="Cats"> Dogs: <input name="animal" type="checkbox" value="Dogs"> Cars: <input name="vehical" type="checkbox" value="Cars"> Bike: <input name="vehical" type="checkbox" value="Bike"> Activa: <input name="vehical" type="checkbox" value="Activa">

 Click the on the button to check all checkboxes that contains the name attribute with the value "animal" <button onclick="Function()">Try it</button> </body> </html> </pre>	<p>Figure 5: Output of document.getElementById()</p>

Table 4: Example and output of document.getElementsByName()

10.4 Dynamic Content Changing

DHTML changes the content dynamically without the need to communicate with the server. By writing the script, one can modify the contents of a web page, places one element at the place of the other, For example, by clicking on an image, it changes the image and places another image,

etc. It helps to create dynamic tables, controlling the content of tables, etc. There exist different methods in DHTML and these are given in Table 4.

Method	Description
document.write("content")	By using this method, one can dynamically change the content using the write() of the document object on the web page.
innerText()	It changes the content given within starting and ending elements.
outerText()	It changes all the content including the element.
innerHTML()	It allows changing the text and elements given in starting and ending tags.
outerHTML()	It allows changing all the text and elements given in starting and ending tags including the element.

Table 5: Basic Methods of Content changing

Handy Tips of Dynamic Content Changing:

- Using document.write method and document.getElementById

Example	Output
<pre><HTML> <head> <title> DHTML </title> </head> <body> <script type="text/javascript"> document.write("DHTML-Dynamic Hypertext Markup Language"); </script> </body> </html></pre>	<p>Figure 6: Output of document.write()</p>
<pre><html> <head> <title> Example of getElementById </title> </head> <body> <p id="demo"> This text changes color when</pre>	<p>Figure 7: Output of document.getElementById()</p>

<pre> click on the following different buttons. </p> <button onclick="change_Color('green');"> Green </button> <button onclick="change_Color('blue');"> Blue </button> <script type="text/javascript"> function change_Color(newColor) { var element = document.getElementById('demo').style.color = newColor; } </script> </body> </html> </pre>	
--	--

Table 6: Example and Output of document.write()

10.5 Dynamic Styles

Dynamic styles are an important feature in DHTML. By using the style sheets, the designer can change the color, size, style, appearance, and formatting of elements without the need to add or remove the elements. It helps in creating a small and manipulate the document dynamically. It takes less time to implement dynamic styles.

With the help of CSS, one can easily apply the styles in different ways such as Inline, External, or on Embedded. Inline styles are the styles that can be applied to the individual elements in the document. For example, a user wants to change the style of heading by increasing the size whenever the user moves the cursor on the heading. This can be done with the help of Inline or External CSS in DHTML. External CSS can also work much like Inline, but the only difference is that it can be created separately and can be linked with the HTML document.

Handy Tips of Dynamic Styles:

Example	Output
<pre><head> <title>Dynamic Styles</title> <script type = "text/javascript"> function givebackcolor() { var inputColor = prompt("Enter the name for the color " + "for the background of this page", ""); document.body.style.backgroundColor = inputColor; } </script> </head> <body onload = "givebackcolor()"> <p>Welcome to the website</p> </body> </html></pre>	<p>Figure 8: Output of dynamic styles</p>

Table 7: Example of dynamic styles

10.6 Roll Over buttons

This is the most common feature of DHTML is to create a dynamic image by using the rollovers. Rollovers mean the collection of images that changes when the user moves the mouse pointer over them. These are used for images that are linked. By using this feature, the current image or link can be highlighted with a different color, the border or the image can be changed completely.

An image can be turned to roll over by adding onmouseover and onmouseout events. The onmouseover event can replace the image with highlighted image and the onmouseout event returns the original image on the web page.

Handy Tips of Roll Over Buttons:



Example	Output
<pre><html> <head> <title>JavaScript Image Rollovers</title></head> <body> </body> </html></pre>	 Figure 9: Output of onMouseOver Event
 Figure 10: Output of onMouseOut Event	

Table 8: Example of Rollover buttons

In the above-given example, the property of src of image project is changed during onMouseOver and onMouseOut events. This is the simple and effective implementation to create a dynamic image rollover. This is done by having two images, that may be the same or different. One image is displayed after loading the page and the other one is displayed only when the user moves the mouse over the first image.

10.7 DHTML Events

An event defines the change in the occurrence of an object. To create the dynamic pages, it is necessary to add the events. By clicking on the particular element, an event fires, and the action is triggered on the browser. For example, a user clicks on the button, then the JavaScript code linked with that element is executed.

Some examples of events are:

1. Clicking on a button.

2. Form submission.
3. Loading an image or a web page

The events contain the information about:

- The event type i.e., it may be onmousedown, onkeypress, etc.
- Coordinates of the screen, which specifies where the mouse button is pressed.

The life cycle of an event can be defined as the action that starts the event and the response that is generated after the event by the handler. The life cycle consists of the following phases whenever the user clicks on the button. The event starts from the document, moves to the HTML, then onto the body section, and finally reaches the button as shown in Figure 10.

Figure 11: Life cycle of clicking on a button

In this, the conceptual DOM is divided into three phases,

1. **Capture Phase:** This phase includes all the Documents, HTML, and BODY tags. All the elements from the document to the target are covered in this phase.
2. **Target Phase:** This phase occurs after the event is fired. An example of this phase is clicking on a button.
3. **Bubbling Phase:** It consists of all the DOM components from the beginning to the ending of the target.

A list of events that are used in DHTML to make interactive web pages.

Event	Description	Examples
onblur	On leaving the HTML object, this event occurs.	<code><INPUT TYPE="text" name=" year " onBlur="window.status=('The value entered for the year is correct.');" return true; "></code>
onchange	On changing or updating the value.	<code><INPUT TYPE=" text " name=" year " onChange="window. status=('The value of the year is changed.');" return true; "></code>
Onerror	Alerts is given if any error found.	<code></code>
onclick	On clicking any object.	<code><button onclick="alert('you may leave the site')">Click me</button></code>
ondblclick	On double clicking any object.	<code><button ondblclick="alert('you may leave the site')">Click me</button></code>
onFocus	On focusing on any object. It is just opposite to onblur.	<code>function callFunction(a) { a.style.background = "red";} <input type="text" onfocus="callFunction(this)"></code>
onLoad	On loading the form or object.	<code><body onload="alert('Welcome to the webiste'); "></code>
onMouseDown	On pressing the button of mouse.	<code><a href=www.abc.org onMouseDown="alert('It shows</code>

		the mouse down on link') "> click here
onMouseMove	On moving the cursor of mouse on object.	 click here
onMouseOver	On moving the cursor of mouse over object.	 click here
onMouseOut	On moving the cursor of the mouse out of an object.	 click here
onMouseUp	On releasing the mouse button over an object.	 click here
onSubmit	On submitting the form's data.	Function f1() {alert("The form data is submitted"); } <form onsubmit="f1()">
onunload	On closing the browser window.	<body onunload="alert('Document unloaded'); ">

Table 9: Events in DHTML

Handy Tips of Events:

Example of the onclick event	Output
<pre> <html> <head> <script type = "text/javascript"> function wel() { alert("Welcome") } </script> </head> <body> <p>Click on button to display welcome</p> <form> <input type = "button" onclick = "wel()" value = " welcome" /> </form> </body> </html> </pre>	<p>Figure 12: Output of onclick event</p>

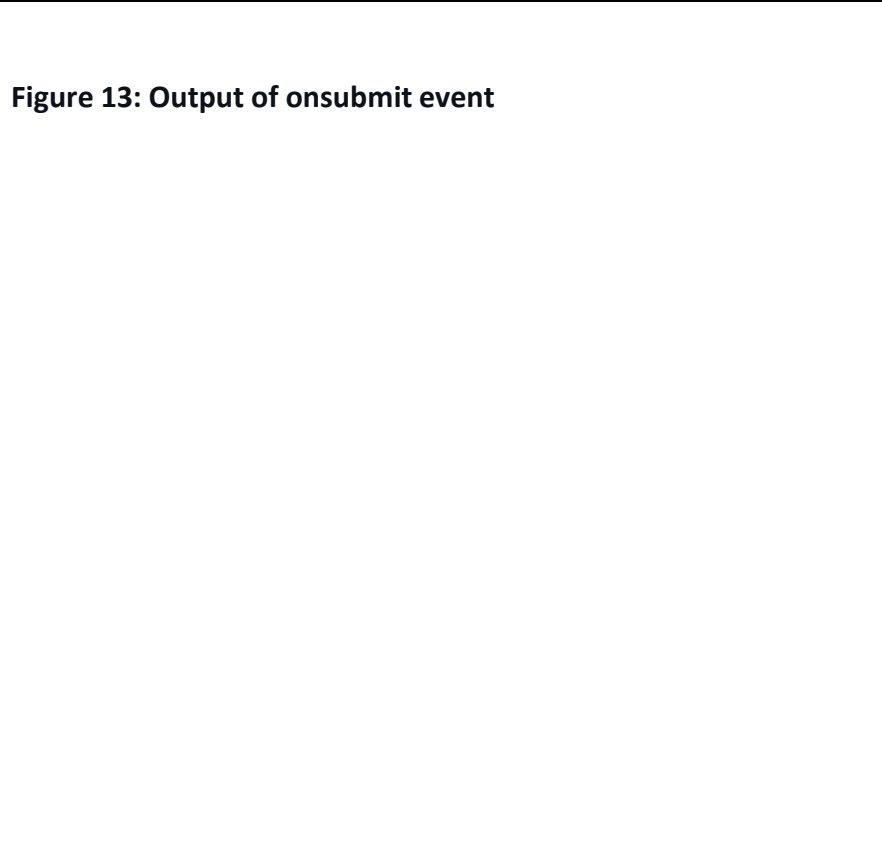
Example of the onsubmit event	Output
<pre> <html> <head> <title> Example of onsubmit event </title> </head> <body> <form onsubmit="Submit_Form()"> <label> Enter your name: </label> <input type="text"> <label> Enter your Roll no: </label> <input type="Number"> <input type="submit" value="submit"> </form> <script type="text/javascript"> function Submit_Form() { alert(" Your form is submitted"); } </script> </body> </html> </pre>	<p>Figure 13: Output of onsubmit event</p> 

Table 10: examples of Events

10.8 Moving Objects with DTML

An object is said to be moving when it will change its position, thus it will be characterized by its position, its direction, and its movement from one location to another location.

Motion can be found in so many real examples such as:

1. A ball is thrown upward.
2. A flying airplane.
3. Running animals.
4. Pendulum moving from one direction to another direction.

10.8.1 Examples of moving objects:

Motion can be represented in various ways

1. **One dimensional:** Motion of a body along the straight line.

Figure 14: Example of moving object

- 2. Periodic Motion:** The object will move after a fixed period.

Figure 15: Example of moving object in periodic motion

- 3. Circular Motion:** The object will move its body uniformly in a circular way.

Figure 16: Example of moving object in a circular motion

10.8.2. Moving Object Style:

Moving object positions can be represented in the following ways:

- 1." position: relative".
- 2." position: absolute".

Example:

Example	Output
<pre><html> <style> #container1 { width: 400px; height: 400px; position: relative; background: pink; } #animate { width: 100px; height: 50px; position: absolute; background-color: blue; } </style> <body><p><button onclick="Move()">Click Me</button></p></pre>	<p>Figure 17: Output of moving object in the middle</p> <p>Figure 18: Output of moving object at the end</p>

<pre> <div id ="container1"> <div id ="animate"></div> </div> <script> var id = null; function Move() { var elem = document.getElementById("animate"); var pos = 0; clearInterval(id); id = setInterval(frame, 5); function frame() { if (pos == 380) { clearInterval(id); } else { pos++; elem.style.top = pos + "px"; elem.style.left = pos + "px"; } }} </script></body></html> </pre>	
---	--

Table 11: Example and output

10.9 Advantages of DHTML

- The size should be less of these files as compared to other files that are created using software like flash and downloading is fast.
- It is supported by all the major browsers.
- It should be viewed and changed easily; no extra plugins are required for browsing the DHTML pages on the browser.
- Due to its dynamic nature, it is possible to change the content or any element on the browser after being loaded. No separate pages are created for the modification of elements or styles.
- On static web pages, the content cannot be changed and it contains only limited data. But on dynamic HTML, it can handle more content on the page simultaneously.

10.10 Ramification of DHTML

- Not all browsers can handle DHTML. Most recent browsers such as Netscape Navigator 6, Internet Explorer 5.5, Opera 5 support these documents.
- To start designing web pages using DHTML, one should know the languages like HTML, CSS, JavaScript.
- If the code is running on one browser, it may not be necessary that it works on other browsers in the same way.

- DHTML needs some tools and software that are expensive for its functionality. for example, Dreamweaver, the latest text editor, along with the cost of transferring from HTML to DHTML.

Check Your Progress 1

4. State whether True or False:
 - i. DHTML is a combination of HTML, CSS and JavaScript.
 - ii. DHTML helps to make the web pages attractive and dynamic.
 - iii. DOM stands for Document Object Manipulation.
 - iv. document.write is used to access the element in DHTML.
 - v. Changing the value of an object can be fired by an onchange event.
 - vi. onreset event fires when a user submits the form.
5. Define DHTML.
6. What do you mean by DOM and explain levels of DOM.?
7. Explain rollover buttons with example.
8. What are the different ways to access the HTML elements?
9. Define events. Types of event handlers in detail with example.
10. What is the current state of Document Object Model (DOM) implementation?
11. Which programming language is used for Document Object Model (DOM) ?
12. Explain the difference between DHTML and DOM?
13. What is the relationship between style sheet and DOM?

Objective Type questions:

49. Why the attribute property is avoided in HTML DOM?

- q) Attributes do not have attributes.
- r) Found Unnecessary.
- s) Attributes contain attributes.
- t) It is considered Irrelevant.

50. In HTML DOM, how everything is to be treated?

- | | |
|--------------|-------------|
| q) Attribute | c) Elements |
| r) Node | d) Arrays |

51. The objects in HTML DOM are organized in the form of:

- | | |
|----------|---------------|
| q) Queue | b) Hierarchy |
| r) Stack | d) Class wise |

52. DOM stands for

- m) Dynamic Object Model
- n) Document Object Model
- o) Distributed Object Model
- p) None of the above

53. The objects used to pass the arguments for handling the keyup, keydown, and key press events.

- o) Keyboard Events
- p) Mouse Events
- b) Key Events
- d) Alphabet Events

54. A simple text file that tells the browser what to cache is known as

- o) Output Files
- p) Input Files
- c) A Manifest File
- d) HTML File

55. The HTML tag that can be used to define a client side script is given as

- a) <script>
- b) Both a and c
- c) <unscript>
- d) None of the above

56. Which technology is used by the DHTML to create dynamic content on a web page?

- o) AJAX
- p) JavaScript
- c) CSS
- d) CSS and JavaScript

57. What does the document.getElementById (“ Intro”) function returns if intro does not exist?

- o) Return false
- p) Return True
- q) Return 0
- r) Create an element with id= intro and return that element to the function.

10.11 Summary

This unit covers the advanced topics to create dynamic web pages. The combination of HTML, CSS, JavaScript, Document Object Model (DOM) can be used in DHTML. It helps in creating animations and moving the content around the browser several times. HTML can be used to design web pages, CSS is used for giving unique styles to the website, JavaScript allows the user to add events or animations to create dynamic and attractive websites. This unit also covers the Document Object Model (DOM) and the levels of DOM with the events associated with DHTML. From this unit, learners will able to understand how the objects and content move across the browser. This topic also covers the events, the Life cycle of events, and the events associated with the particular object that handles the events.



**The Motto of Our University
(SEWA)**

SKILL-ENHANCEMENT

EMPLOYABILITY

WISDOM

ACCESSIBILITY

**JAGAT GURU NANAK DEV PUNJAB
STATE OPEN UNIVERSITY, PATIALA**

(Established by Act No. 19 of 2019 of the Legislature of State of Punjab)

BACHELOR OF ARTS (LIBERAL ARTS)

SKILL ENHANCEMENT COURSE

SEMESTER-IV

BLAB32409T: SOFT SKILLS

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JAGAT GURU NANAK DEV PUNJAB STATE OPEN UNIVERSITY, PATIALA
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PREFACE

Jagat Guru Nanak Dev Punjab State Open University, Patiala was established in December 2019 by Act 19 of the Legislature of State of Punjab. It is the first and only Open University of the State, entrusted with the responsibility of making higher education accessible to all, especially to those sections of society who do not have the means, time or opportunity to pursue regular education.

In keeping with the nature of an Open University, this University provides a flexible education system to suit every need. The time given to complete a programme is double the duration of a regular mode programme. Well-designed study material has been prepared in consultation with experts in their respective fields.

The University offers programmes which have been designed to provide relevant, skill-based and employability-enhancing education. The study material provided in this booklet is self-instructional, with self-assessment exercises, and recommendations for further readings. The syllabus has been divided in sections, and provided as units for simplification.

The University has a network of 10 Learner Support Centres/Study Centres, to enable students to make use of reading facilities, and for curriculum-based counseling and practicals. We, at the University, welcome you to be a part of this institution of knowledge.

Prof. Anita Gill
Dean Academic Affairs



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BACHELOR OF ARTS (LIBERAL ARTS)
SKILL ENHANCEMENT COURSE

SEMESTER-IV
(BLAB32409T) SOFT SKILLS
(SEC)

MAX MARKS: 100

EXTERNAL: 70

INTERNAL: 30

PASS: 35%

Credits: 4

Objective:

The course aims to cause a basic awareness about the significance of soft skills in professional and inter-personal communications and facilitate an all-round development of personality. Soft skills not only help in acquiring a job but make it easy for a person to scale new heights, achieve excellence, and derive fulfilment and supreme joy in their lives.

INSTRUCTIONS FOR THE CANDIDATES:

Candidates are required to attempt any two questions each from the sections A, and B of the question paper, and any ten short answer questions from Section C. They have to attempt questions only at one place and only once. Second or subsequent attempts, unless the earlier ones have been crossed out, shall not be evaluated.

Section A

Unit I: Teamwork and Leadership Skills: Concept of Teams; Building effective teams; Concept of Leadership and honing Leadership skills.

Unit II: Decision-Making and Problem-Solving Skills: Meaning, Types and Models, Group and Ethical Decision-Making, Problems and Dilemmas in application of these skills.

Unit III: Conflict Management: Conflict - Definition, Nature, Types and Causes; Methods of Conflict Resolution.

Unit IV: Emotional intelligence: importance, concept, theory and measurements.

Section B:

Unit V: Stress Management: strategies for preventing and relieving stress; Time management: techniques and styles.

Unit VI: Interview Skills: Interviewer and Interviewee – in-depth perspectives. Before, During and After the Interview, Tips for Success.

Unit VII: 2. Presentation Skills: Types, Content, Audience Analysis, Essential Tips – Before, During and After, Overcoming Nervousness.

Unit VIII: Personality Development – Meaning, Nature, Features, Stages, Models; Learning Skills; Adaptability Skills.

Suggested Readings:

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SKILL ENHANCEMENT COURSE (SEC)

SEMESTER-IV

(BLAB32409T) SOFT SKILLS

COURSE COORDINATOR AND EDITOR: DR. GURLEEN AHLUWALIA

SECTION A

UNIT NO:	UNIT NAME
UNIT 1	Teamwork and Leadership Skills
UNIT 2	Decision-Making and Problem-Solving Skills
UNIT 3	Conflict Management
UNIT 4	Emotional intelligence

SECTION B

UNIT NO:	UNIT NAME
UNIT 5	Stress Management; Time Management
UNIT 6	Interview Skills
UNIT 7	Presentation Skills
UNIT 8	Personality Development

BACHELOR OF ARTS (LIBERAL ARTS)
SEMESTER-IV
SKILL ENHANCEMENT COURSE (SEC): SOFT SKILLS

UNIT 1: TEAMWORK AND LEADERSHIP

STRUCTURE

1.0 Objectives

1.1 Introduction

1.2 Meaning of Team

1.3 Stages of Development of Team

1.3.1 Self-Check Exercise 1

1.4 Effective Team

1.4.1 Self-Check Exercise 2

1.5 Increasing Group Cohesiveness

1.6 Team Conflict

1.7 Virtual Teams: Panacea in the Pandemic

1.8 Summary

1.9 Keywords

1.10 Answers to Self-Check Exercises

1.11 Recommended Readings

1.12 Questions for Exercise

1.0 OBJECTIVES OF THE LESSON

- To understand the meaning of Team.
- To explain formation of team from group.
- To understand the essentials for an Effective Team.
- To discuss the role of Team Leaders in directing employees towards organizational goals.

1.1 INTRODUCTION

A team is a small aggregation of people associated with joint goals and work enthusiastically towards its achievement. Research has shown that teams have been more successful as compared to work done by individuals as the collective wisdom of the team members stands in good stead. As organizations have realigned to brace up themselves to face competition, teams as a way to harness employee talents have become indispensable. Management has found that teams are more adaptable and react to dynamic environment than conventional departments or other forms of permanent groupings. Teams can swiftly get together, arrange, reorient, and disperse. Teams also can be more motivational for the members as members work synergistically. A leader has to see that the team functions in tandem with the vision and mission of the organization and steers the team members away from conflict to cohesion and camaraderie.

1.2 MEANING OF TEAM

The terms group and team are sometimes used interchangeably, though the two are not synonyms. The term group has a wide meaning. It refers to a number of people who share some activity, interest, or quality. Groups may be brought together for a particular purpose, or they may be informal such as a group of friends, neighbours, colleagues, etc.

Although individuals in a group have common characteristics, they may not have a common goal or task. For example, a group of students in a class has a common feature – they all have come to learn, but these students are not necessarily working towards a common goal. The absence of a specific, shared goal or purpose is a main factor that differentiates a group. Moreover, the members of a group are independent; they do not rely on each other since roles and responsibilities are not assigned to each member.

On the other hand, Team refers to a number of persons associated for a common purpose. They coordinate the tasks and activities to achieve this shared goal. The roles and duties are defined and specified for every member in a team. Members of a team are interdependent since each member is responsible for a certain task. In addition, there is mutuality between members of the team. This attribute helps to capitalise the strengths and minimize weaknesses in the team and reap the benefits of synergy. Some examples of teams include research and development teams, fast food restaurant crew, product development team, soccer team, etc.

Groups become teams when

- Team members share leadership.
- Both individuals and the team as whole share accountability for the work of the team.
- The team sets its own intent or objective.
- The team's measure of efficacy lies in the achievement of the team, not individual outcomes and goals.

Therefore, all groups are not teams but, all teams can be considered groups.

In the contemporary business world, organizations have reorganised to face competition successfully. As such, they have realized that teams are a better medium to harness employees' talents. The present day Managements of Corporates have found that teams are more adjustable to the dynamic business environments than conventional departments or other forms of official groupings. Teams can quickly come together, arrange, refocus, and disperse. Teams also can be motivated to reach their organizational goals. Moreover, teams have greater task identity, which boosts the employees' morale. Teams provide for greater common task recognition, with team members working on tasks in synergy.

The triumphant or high performing, teams have certain common features. If management desires to harness enhanced organizational performance through the use of teams, it must ensure that its teams possess these characteristics.

1.3 STAGES OF DEVELOPMENT OF TEAM

The Five-Stage Model

Dr. Bruce W. Tuckman, a psychologist at Ohio State University, published an article in 1965 called 'Tuckman's Stages of Group Development.' Initially, it was a 4-stage model, Forming, Storming, Norming, and Performing, but later in 1977, a fifth stage Adjourning was included. Mary Ann Jensen, and Dr. Bruce Tuckman both jointly worked on the last stage. It is also known as the Tuckman ladder model.

From the mid-1960s, it was believed that groups passed through a standard sequence of five stages.



Fig.1

As shown in Fig.1 these five stages have been labelled forming, storming, norming, performing and adjourning. Although, it is not necessary that all groups shall have the linear trajectory, the five stage model of group development can still help in developing understanding about working in groups and teams. The model traces the passage of individuals from being independent to operating in synergy with group members.

- **Stage I: Forming.** This stage deals with the feelings of members feeling nervous and confused about the task they are required to accomplish. The first stage of group development is known as forming. Forming is characterized by a great deal of ambiguity about the group's goal, constitution and leadership. This stage is complete when members feel associated with the group.
- **Stage II Storming:** This stage deals with the power struggles faced by some people in the group, who are not able to function as a cohesive unit. The dominant characteristic of the storming stage is intergroup conflict. Members accept the existence of the group, but refuse to accept the restrictions that the group imposes on individuality. Furthermore, there is divergence over who will command the group. When this stage is complete, a relatively clear hierarchy of leadership emerges within the group. Some groups never really emerge from the storming stage, or they oscillate between storming and the other stages. A group that remains perpetually embedded in the storming stage may have less ability to conclude task due to all the interpersonal conflicts.

- **Stage III Norming:** Many groups, who are able to resolve the interpersonal conflict, reach the third stage, in which cordial relationships develop and the group is characterized by cohesiveness. There is now a strong bond of group recognition and comradeship. The group develops norms, acceptable yardsticks of conduct that are shared by the group's members. All groups have established norms that convey to the members what they are expected to do and not do under certain circumstances. When agreed to and accepted by the group, norms act as a means of exerting influence the behaviour of group members with minimal peripheral controls. The norming stage is complete when the group structure strengthens and the group has imbibed a common set of expectations about what defines approved member behaviour.
- **Stage IV Performing:** In this stage, considerable task progress is made, as such, it is called performing. The configuration at this juncture is fully operational and accepted. The Group energy shifts from understanding each other to performing the task at hand.
- **Stage V Adjourning:** For enduring work groups, performing is the last stage in their development. However, for temporary committees, teams, task forces, and similar groups that have a limited task to perform, there is adjourning stage. In this stage, the group prepares to disband. High task performance is no longer the group's top priority; rather attention is diverted towards winding up activities. Group members' responses vary at this stage. Some members are buoyant, while others may be depressed over the loss of comradeship and bonding formed during the course of work group's life.

Limitations of the Five – Stage Model

Major researches have shown that under five-stage model, a group becomes more effectual in its journey through the first four stages. This model does not take into account many complex issues which make a group effective. Under certain circumstances, conflicts lead to enhanced group performance, as long as the conflict is directed toward the task and not towards individual group members. Groups do not always automatically progress from one stage to the next. Sometimes, in fact, several stages go on simultaneously, as when groups are storming and performing at the same time. Sometimes, groups revert back to preceding stages.

The five- stage model ignores organizational context, which provides the framework of rules, task definitions, information, and resources needed for the group to perform.

1.3.1Self-Check Exercise 1

- (i) The stage of team formation which deals with the power struggles faced by some people in the group is called
- (ii) The stage of team formation when the group develops norms, acceptable yardsticks of conduct that are shared by the group's members is called.....
- (iii) Individuals who have some common characteristics but may or may not share any common activity, is known as.....

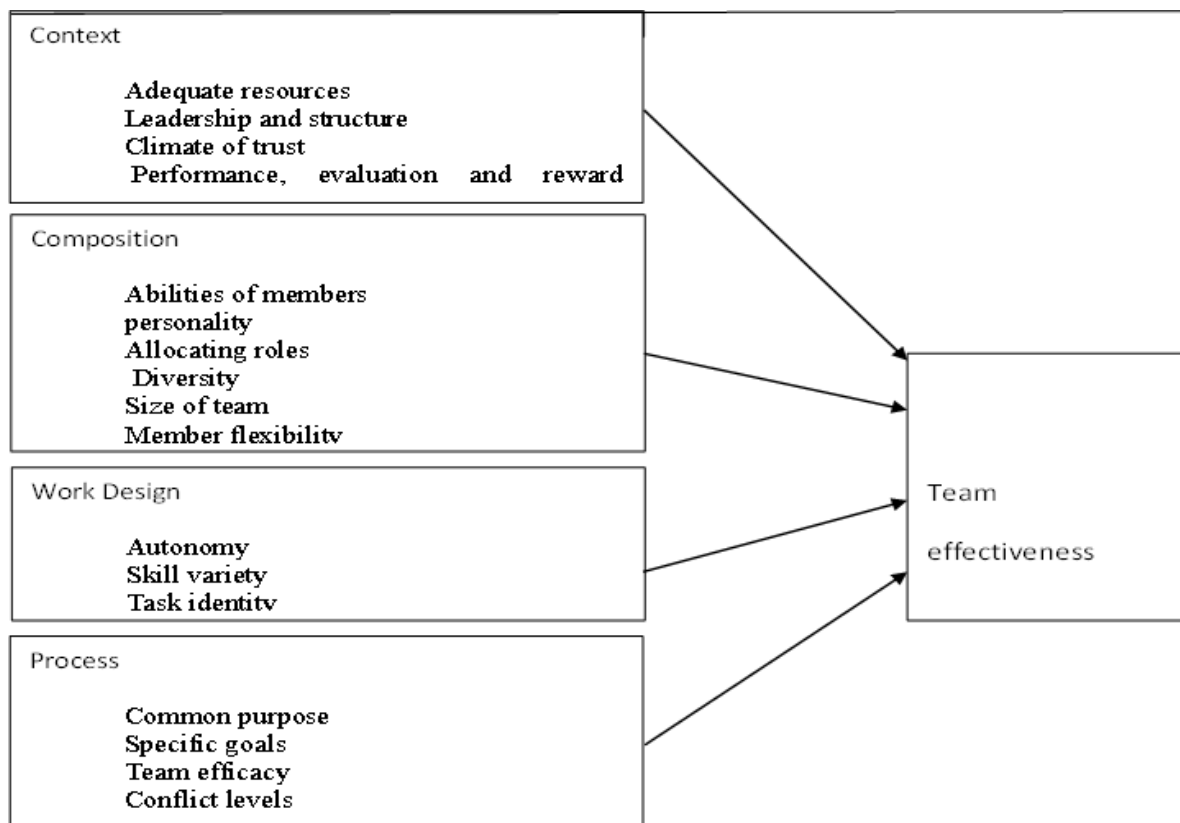
(iv) The stage, in which the group prepares to disband is called.....

1.4 EFFECTIVE TEAM

Within the workplace, some group behaviour takes place within a strong organizational context, and the five- stage development model might have limited applicability for those groups. The vital parameters to be kept in mind for determining team effectiveness are: team's output, managers' rankings of the team's performance and cumulative measures of member satisfaction.

However, research has shown that a relatively focused model with four general categories is essential as summarized in Fig 2.

Fig.2: A model of Team Effectiveness



Source: Robbins and Judge, (2013) "Organisational behaviour," 15th Edition, Pearson Publication.

Characteristics of an Effective Team

1. Precise Objective- The vision, mission, goal or task of the team needs to be defined and is accepted by everyone. There is an action plan.

- 2. Familiarity-** The organisational climate needs to be informal, comfortable, and relaxed. There should be no obvious tensions or signs of boredom.
- 3. Participation-** The team should involve the participation of every member through discussions and deliberations.
- 4. Listening-** The members need to use valuable listening techniques such as raising queries, paraphrasing, and presenting synoptic view.
- 5. Be Polite in expressing differences-** There could be disagreement, but the team should be comfortable with this and show no signs of avoiding, or suppressing conflict.
- 6. Decisions should be based on Consensus** –It may not be always possible to reach at unanimous decisions for all vital issues. The agreement should be arrived at through mutual expression of ideas by open discussion without resorting to official voting.
- 7. Free communication-** Team members should be given the liberty to express their viewpoints concerning the job at hand in conjunction with the operations of the group.
- 8. Precise rules and work assignments-** The team members should be informed about what is expected from them from the task assigned to them.
- 9. Shared leadership-** With formal team leader, leadership functions vary from time to time depending on the situation, the requirements of the group, and the skills of the members. The formal leader chalks out the models of the appropriate conduct and sets standard norms.
- 10. Relations with Outsiders-** The team spends time developing key external relationships, mobilizing resources, and building credibility with important players in other parts of the organization.
- 11. Diversity in Approach-** The team has a broad spectrum of team-player types including members who focus on task, fixing objectives, attention on process, and queries about the performance of the team.
- 12. Self evaluation-** At regular intervals, the team halts to scrutinize its operations.

Team Efficacy

Effective teams are accustomed to tasting success in their endeavours. This is called team efficacy in management terminology. Success breeds success. Teams that have been successful raise their beliefs about future success which, in turn, motivates them to work harder. One of the major contributory factors that help teams build their efficacy is cohesiveness- the extent to which members are attached with one another and are inclined to continue in the team. Though teams differ in their cohesiveness, it is of paramount importance as it has been found to be directly related to the team's productivity.

If performance-related norms are high, viz. high output, quality work, cooperation with individuals outside the groups, a consistent group will be more productive than a less cohesive group, as depicted in Fig 3. On the contrary, if performance norms are low and cohesiveness is high, productivity will be low. On the other hand, if cohesiveness is low and performance norms are high, productivity increases- but less than in the high cohesiveness- high norms situation. In

the last scenario, if cohesiveness and performance norms are both low, productivity will tend to fall into the low to moderate range.

A majority of studies on cohesiveness emphasise on socio-emotional cohesiveness, the "sense of togetherness" that develops when individuals derive emotional satisfaction from group.

Fig.3 Relationship among Team Cohesiveness, Performance Norms, and Productivity

Cohesiveness

Performance Norms	High	Low
	High productivity	Moderate Productivity
	Low productivity	Moderate to low productivity

Source: Robbins and Judge, (2013) –Organisational behaviour, 15th Edition, Pearson Publication.

There is also instrumental cohesiveness, i.e. the "sense of togetherness" that develops when group members are mutually dependent on one another because they believe they cannot achieve the group's goal by acting individually. Teams need to strike equilibrium between these two types of cohesiveness to function well.

As a team develops an impeccable performance record, it also enhances the mutual trust that further efforts will ensure success. Moreover, managers need to provide training to perk up members' technical and interpersonal skills. The abilities of team members are directly related to the confidence and the potential to achieve the common objectives.

1.4.1 Self-check Exercise 2: True/False

- (i) Where cohesiveness is high and performance norms are low, productivity will be high.
- (ii) Where cohesiveness is low and performance norms are high, productivity decreases:- but less than in the high cohesiveness- high norms situation.
- (iii) Where cohesiveness and performance related norms are both low, productivity will tend to fall into the low to moderate range

1.5 INCREASING GROUP/TEAM COHESIVENESS

Increasing socio-emotional cohesiveness

- To limit the size of group/team.
- To make efforts for a positive public image to raise the status and prestige of belonging.

- To accentuate interaction and collaboration.
- To lay stress on members' mutual traits and interests.
- To highlight environmental threats viz. rivals' accomplishments to boost the group/team.

Increasing instrumental cohesiveness

- To periodically keep informed and elucidate the group's/team's goal (S).
- To impart every group member a vital "piece of the action".
- To harness each group member's special talents towards the common goals.
- To recognize and equitably reinforce every member's contributions.
- To frequently remind team members they need to nurture a symbiotic relation with each other.

1.6 TEAM CONFLICT

Conflict in a team is not necessarily bad. The major conflicts in team arise due to interpersonal incompatibilities, differences in perceptions, goals, or/and values of the team members, which leads to less than optimal performance of the team. However, teams where conflicts are absent are likely to be less effective, with the members becoming withdrawn and only superficially cordial, as no genuine interaction takes place between them. Often, in the absence of conflict, the alternative is not agreement, but indifference and disengagement. Teams that avoid conflict also tend to have lower performance levels, forget to consider vital issues, or remain oblivious of significant aspects of their situation. Hence, an appropriate level of conflict is essential for effective teams.

Groups need mechanisms by which they can resolve the conflict. The team members should freely share information and goals and be open and collaborate for steering through the labyrinth of disagreement. A sense of humour and a willingness to understand the viewpoints of others without insisting that everyone agree on all points are also important. Leaders/managers should motivate Group members to focus on the issues rather than on personalities, and strive to achieve objectivity and justness in the team work.

MANAGING TEAM CONFLICT

- Members should work with more, rather than less, information, and debate on the basis of facts.
- Team members should develop various alternatives to enrich the level of debate.
- Team members need to develop mutually agreed-upon goals.
- Team members should adopt a pleasant disposition and use humour when making tough decisions.
- Team members need to maintain a balanced power structure.
- Team members should resolve issues without forcing consensus.

ROLE OF TEAM LEADERS

Leadership has gained importance in relation to teams. As teams are becoming popular, the role of leader in catalysing the team members assumes lot of significance. Moreover, the role of team leader is to integrate the efforts of all team members, which is rather different from the conventional leadership role performed by frontline supervisors. This transition is always smooth and many leaders face challenges on their way. While for natural team leaders, this shift is very easy, for others it may not be so smooth due to their domineering disposition. The success of team leader lies in subordination of individual interest to general interest, which becomes difficult for over-bearing leaders. However, they can learn to lead teams if they are willing and earnest. For Team Leaders to be effective, they should have confidence, commitment, provide opportunities and steer the team tactfully from all bottlenecks. Virtues of patience, ability to share information, belief in members, not clinging to authority and possessing the sensitivity to understand when to intervene need to be inculcated by Team Leaders. Team Leaders should be sensitized as to when to stick to authority and when to allow autonomy, by feeling the pulse of the team members.

Team leaders have to provide coaching, mentoring, training, facilitation and effective communication, apart from dealing with disciplinary problems from time to time. Two major areas which are of prime importance for Team leaders are:

- **Troubleshooting:** The leader needs to intervene in the team by asking all-pervading questions, helping in solving problems, enabling discussions among members and providing the required resources.
- **Liaisons with External Parties:** The higher management, internal teams, customers and suppliers constitute outsiders. The Team leader has to collect information from external sources and intimate the team about what is expected from them. Thus, the Team leader is the connecting nerve between team members' action and outsiders' expectation.
- **Coaching:** As a Coach, Team leader specifies the roles and expectations from members, offers support, spearheads and does everything to boost members' performance.
- **Conflict Manager:** Conflict is inevitable in any team activity. The strength of a Team Leader lies in finding out the source of conflict, issues of conflict, connection of members and successful handling of the conflict. The leader needs to allow members to put forth their ideas in an objective manner, which will allow the fair handling of the conflict.

Thus, role of a Team Leader encompasses:

Creating a real team, giving precise and meaningful directions for the teams' activities; empowering the team structure so as to enhance its working; ensuring that organizational climate is conducive for the functioning of the team and providing Expert Coaching.

1.7 VIRTUAL TEAMS: PANACEA IN THE PANDEMIC

Virtual teams use computer technology to reach out to physically distanced members in order to attain a common goal. They enable people to collaborate online- using communication links such as wide-area networks, Videoconferencing, and email-whether team members are only a room away or continents apart. With the rapid strides in technology and increasing globalization, virtual teams have become not only possible, but necessary. The present pandemic has made virtual team meetings indispensable for business purposes. If the work is knowledge-based rather than production-oriented, virtual teams are most preferred. Virtual teams provide team members information and enable decision-making and performing tasks similar to face-to-face meetings through use of technology. They can include members from the same organization or link an organization's members with employees from other organizations, viz. suppliers and joint partners. Virtual teams are able to break geographical barriers and enable people in different geographical and time zones to work together.

Virtual teams suffer from the limited social contact of team members, leading to bonding problems. They are not the perfect substitutes for offline teams, but in the present scenario virtual team meetings are the only viable means of working cohesively. Lack of rapport can lead to slower and less accurate performance than in the case for face-to-face teams.

Virtual teams face the problem of lack of non-verbal cues in their communications, which are present in face-to-face conversation, viz. tone of voice, voice volume, eye movement, facial expression, hand gestures, and other body language cues to provide complete understanding. As a result, virtual team members often have less social rapport and are more at risk of misunderstanding one another.

MANAGING VIRTUAL TEAMS

Establishing trust and commitment, encouraging communication, and assessing team members are the pre-requisites for effective virtual team management. The following considerations should be kept in mind:

- Leader/manager should fix regular times for group interaction.
- Leader/manager should set up firm rules for communication.
- Leader/manager should use visual forms of communication where possible.
- Leader/manager should copy the good points of on-site teams. For example, allow time for informal chitchat and socializing, and celebrate achievements.
- Leader/manager should give and receive feedback and offer assistance on a regular basis. He has to be persistent with people who are not communicating with him or each other.

- Leader/manager should agree on standard technology so all team members can work together easily.
- Managers need to use 360- feedback for better understanding and assessment of team members. This type of feedback comes from the full gamut of daily contacts that an employee has, including supervisors, peers, subordinates, and clients.
- Managers/leaders should provide a virtual workspace via an intranet, website, or bulletin board.
- Managers/Leaders need to observe which employees effectively use email to build team rapport.
- Leaders/managers should pave the way for the next assignment if membership on the team, or the team itself, is not permanent.
- Leader/manager should be available for employees.
- Leader/manager should encourage informal, off-line conversation between team members.

1.8 SUMMARY

Teams are becoming increasingly effective in attaining management goals. Effective team work involves cohesion among the team members and following the management principle of subordination of individual interest to general interest of the organization. When individuals come together, united for a common goal, burying their individual differences, only then there is unity in direction, thereby increasing the team efficacy. The transition from group to team involves various stages, involving ice-breaking, inter-personal conflicts, understanding the uniqueness of every member and then bonding over common organizational objectives. An effective leader can motivate the team to work ardently towards the attainment of organizational goals by guiding and directing them.

1.9 KEYWORDS

Team: It refers to a number of people who share some activity, interest, or quality.

Group: People in a group have common characteristics, they may not have a common goal or task.

Storming: This stage of team formation which deals with the power struggles faced by some people in the group

Norming: The stage of team formation when the group develops norms, acceptable yardsticks of conduct that are shared by the group's members.

Cohesiveness- The extent to which members are attracted to one another and are motivated to stay on the team.

Virtual team: Teams which use computer technology to bring together physically separated members on a common virtual platform to attain a common goal.

Team Conflict: It is an interpersonal problem that occurs between members of a team caused due to differences in perceptions, goals, or/and values of the team members, which leads to less than optimal performance of the team.

1.10 ANSWERS TO SELF-CHECK EXERCISES:

Self-Check Exercise1 (i) Storming (ii) Norming (iii) Group (iv) Adjourning

Self-Check Exercise2 (i) False (ii) False (iii) True

1.11 RECOMMENDED READINGS

- Organisational Behaviour by Stephen P. Robbins
- Principles and Practice of Management by L.M. Prasad
- Organisational Behaviour-An Evidence Based Approach by Fred Luthans.

1.12 QUESTIONS FOR EXERCISE

1. Distinguish between team and group.
2. Explain the stages in development of team.
3. Define Team Efficacy. Also discuss the importance of Team Efficacy in an organization.
4. Define Team Conflict. Discuss the ways to manage Team Conflicts.

BACHELOR OF ARTS (LIBERAL ARTS)
SEMESTER-IV
SKILL ENHANCEMENT COURSE (SEC): SOFT SKILLS

UNIT-2: DECISION-MAKING AND PROBLEM SOLVING

STRUCTURE

- 2.0 Objectives**
- 2.1 Introduction**
- 2.2 Definitions**
- 2.3 Characteristics of Decision Making**
- 2.4 Elements of Decision Making**
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 - i. Organizational & Personal Decisions**
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 - iv. Major and Minor decisions**
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- 2.6 Decision-making Styles**
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- 2.8 Decision-making Process**
- 2.9 Importance of decision- making**
- 2.10 Difference between Problem Analysis and Decision Making**
- 2.11 Six steps of Problem Solving**
 - i. Define the Problem**
 - ii. Determine the Root Cause(s) of the Problem**

- iii. **Develop Alternative Solutions**
- iv. **Select a Solution**
- v. **Implement the Solution**
- vi. **Evaluate the Outcome**

2.12 Group decision-making techniques

- i. **Brainstorming**
- ii. **Delphi Technique**
- iii. **Dialectic Decision making**

2.13 Barriers/Problems/Dilemmas to Effective Decision-Making

- i. **Bounded Rationality**
- ii. **Escalation of Commitment**
- iii. **Time Constraints**
- iv. **Uncertainty**
- v. **Personal Biases**
- vi. **Conflict**

2.14 Conclusion

2.15 Suggested Readings

2.16 Questions for Practice

2.0 OBJECTIVES

The main objective of this lesson is to know about the managerial decision-making and its process. There are number of theories in decision-making process. Also, one of the objectives is to administrate the problems in the managerial decisions. The lesson will also explain the relation of decision and risk and some related concepts.

2.1 INTRODUCTION

Decision-making may be reviewed as the process of selecting a course of action from among several alternatives in order to accomplish a desired result. The purpose of decision-making is to direct human behaviour and commitment towards a future goal. If there are no alternatives, if no choice is to be made, if there is no other way- out, then there would be no need for decision making. It involves committing the organisation and its resources to a particular choice of course of action thought to be sufficient and capable of achieving some predetermined objective.

Managers at all level in the organisation make decisions and solve problems. In fact, decision making is the process of reducing the gap between the existing situation and the desired situation through solving problems and making use of opportunities. A decision is a course of action consciously selected from available alternatives, with a view to achieving a desired goal. It is an outcome of the judgement and represents a choice and commitment to the same. A decision is conclusion reached after consideration. It occurs when one option is selected to the exclusion of others – it is rendering of judgement.

2.2 DEFINITIONS

A manager has to decide about doing or not doing a particular thing. A decision is the selection among alternatives –it is a solution selected after examining several alternatives chosen because the decider forces that the course of action he selects will be more than the other to further his goals and will be accomplished by the fewest possible objectionable consequences.’

Literally speaking, decision-making has been taken from the word ‘decide’, which is a Latin word meaning –to cut-off or to come to a conclusion. A decision represents a course of behaviour selected from a number of possible alternatives.

According to George Terry, –Decision-making is a selection based on sum criteria from two or more possible alternatives. |

According to McFarland, "A decision is an act of choice wherein an executive forms a conclusion about what must be done in a given situation. A decision represents a course of behaviour chosen from a number of possible alternatives."

Different management scholars have defined Decision-making as follows:

Heinz Wehrich and Harold Koontz

Decision-making is defined as the selection of a course of action among alternatives, it is the care of planning.

Louis Allen

Decision-making is the work a manager performs to arrive at conclusion and judgement.

In simple words, Decision-making is a process of selecting one optimum alternative from different alternatives of a course of action.

2.3 CHARACTERISTICS OF DECISION-MAKING

Decision-making is globally thought to be selection from alternatives. It is deeply related with all the traditional functions of a manager, such as planning, organizing, staffing, directing

and controlling. When he performs these functions, he makes decisions. However, the traditional management theorists did not pay much attention to decision making. In fact, the meaningful analysis of decision-making process was initiated by Chester Bernard (1938), who commented, the process of decision are largely techniques for narrowing choice.

The nature of decision making may be clearly understood by the following characteristics:

- a. Decision-making is an intellectual process, which involves imagination, reasoning, evaluation and judgement.
- b. It is a selection process in which best or most suitable course of action is finalized from among several available alternatives. Such selected alternative provides utmost help in the achievement of organizational goals. The problems for which there is only one selection are most decision problems.
- c. Decision-making is a goal oriented process. Decisions are made to attain certain goals. A decision is rated good to the extent it helps in the accomplishment of objectives.
- d. It is a focal point at which plans, policies, objectives, procedures, etc., are translated into concrete actions.
- e. Decision-making is a continuous process pervading all organizational activity, at all levels and in the whole universe. It is a systematic process and an interactive activity.
- f. Decision-making involves commitment of resources, direction or reputation of the enterprise.
- g. Decision-making is always related to place, situation and time. It may be decision not to act in the given circumstances.
- h. After decision-making it is necessary and significant to communicate its results (decisions) for their successful execution.
- i. The effectiveness of decision making process is enhanced by participation.

2.4 ELEMENTS OF DECISION-MAKING

There are following elements in decision making:

- The decision maker.
- The decision problem or goal.
- Attitudes, values and personal goals of the decision maker.
- Assumption with regard to future events and things.
- The environment in which decision is to be made.
- Available known alternatives and their estimated or imagined outcomes.
- Analytical results in the whole perspective.
- The constraints.

- The act of selection or choice.
- Timing of decision.
- Proper communication of decision for its effective execution.

Self-Check Exercise

- 1. Define decision-making.**
- 2. Explain the characteristics of Decision-making.**
- 3. Which are the elements of Decision-making?**

2.5 TYPES OF DECISION MAKING

i. Organisational and Personal Decision:

Decisions in any organisation are taken by persons working in it. All the decisions are related either to organisation or to individual. Whenever a person assuming the charge of a manager, takes any decision it is a decision of the manager and not the person. Such decisions are related to organisational matters and taken by a person as a manager. These decisions are known as organisational decisions. Capital formation, new methods or techniques of production, new production line, closing of any unit, rules, methodology of working etc. fall in the preview of organisational decisions. Such decisions directly affect the organisation.

On the other hand, if the same person decides to go on leave, retire, or resign, such decisions are his personal decisions. They directly affect him though they may have indirect effect on the organisation. Organisational decisions are to be implemented throughout the organisation and they are binding on all concerned people whereas personal decisions have nothing to do with the organisation. They may have some indirect effect on the organisation as they are directly related to his individual personality and not his personality as a manager.

ii. Basic (Strategic and Routine) Operational Decisions:

Organisational decisions may be related to either strategies or operational methodology and allied matters. Strategic decisions are also known as –Basic decisions. These are generally based on original plans and relate to formulate policy to implement the plans. Such decisions are mostly one time decisions and are in implementation for a pretty long period. These decisions provide guidelines for attainment of organisational goals.

Once the strategies and guidelines are decided, all the lower level managers have to work according to the strategies and within the preview of guidelines. But methodology or the

operational ethics are needed to be prepared. Decisions in this regard are known as operational or routine decisions. These decisions are required to be altered according to the prevailing situations. Naturally they are of repetitive nature. Such decisions are taken for routine work therefore they are at times, known as day- to-day decisions.

iii. Structural (Programmed) and Unstructured (Un-programmed) Decisions:

As seen above, strategies are decided for a pretty long period along with guidelines for the implements i.e. lower level managers. In order to facilitate day-to-day working the lower level managers have to take some decisions to set right the operational machinery for better performance.

For example – assignment of work to employee, grant of short leave to the worker, method of utilising resources etc. Such decisions are known as structured or programmed decisions. These have a very short impact and are changeable from time to time.

But if a new unit is to be started or any of the existing units is to be closed, or change in product line or change in the wage or salary structure is to be made, decisions are required to be taken by the top level management. Such decisions have a long-term impact on the organisation. These decisions are known as unstructured or un-programmed decisions.

iv. Major and Minor Decisions:

Basic and unstructured decisions are major decisions. They are taken by top management. Operational and structured decisions are of minor nature and are taken by lower level managers. Major decisions may bring a major change in policy and strategy that affects the total organisation. These are independent decisions of the policy makers. Minor decisions are aimed at fulfilment of major decisions. Such minor decisions are to be kept in the sphere of major decisions. Minor decisions are generally taken by lower level managers.

v. Crisis and Intuitive and Research Decision:

Whatever decisions are taken in crisis situation like stress, surprise, unusual circumstances, emergencies are called as crisis or intuitive decisions. Crisis decisions are often based on experience, detailed analysis and confidence. These decisions are generally made under pressure. On the other hand, research decision can be made under a minimum time-pressure.

vi. Referred Decisions:

Lower level managers have to face situations arising during the course of working. They have to overcome such situations by taking immediate decisions, but some managers (Lower level) are unambitious, inactive and incapable of taking decisions. At times they are afraid about the correctness of the decision which they may take for lack of confidence. They refer the matter to their superiors and request for their decision. Such decisions are called referred decisions.

vii. Problem Solving and Opportunity Decisions:

Top level management is required to pay attention to problems that are existing and may crop up in future. Capable top management can foresee future problems, the same way good managers can imagine and foresee future situations and probable opportunities.

Naturally top level management remains in readiness with problem solutions and with utilisation plan of future situations and probable opportunities. Proper decisions are thus taken by them in present period i.e. in advance. Such decisions are known as problem solving and opportunity decisions.

viii. Individual and Group Decision:

If a decision is taken by an individual person it is known as individual decision. On the other hand, when a number of persons collectively take the decisions they are known as group decisions. Individual decisions are, often, taken in small organisation of small sized top level management. On the other hand, big size organisations like companies, are managed not by an individual but by group of individuals like board of directors. Naturally strategic decisions are taken by the group

ix. Short-Term and Long-Term Decisions:

Short-term decisions are taken for short span of period. Such decisions generally involve less uncertainty and risk. On the other hand, long term decisions are taken for a longer duration. Therefore, there is more risk and uncertainty. Most of the times short term decisions are taken by subordinates and long term decisions are taken by the top management.

x. Economic and Non-Economic Decisions:

Economic decisions are related with financial matters and non-economic decisions are related with, social values, ethical values, moral values, social, cultural, religious, educational, political psychological factors.

Self-Check Exercise

- 1. Explain the various types of decisions.**
- 2. What do you understand by programmed and non-programmed decisions?**
- 3. Distinguish between Individual and Group decisions.**

2.6 DECISION-MAKING STYLES

There are countless perspectives and tactics to effective decision-making. However, there are a few key points in decision-making theory that are central to understanding how different styles may impact organizational trajectories. Decision-making styles can be divided into three broad categories:

- Psychological: Decisions derived from the needs, desires, preferences, and/or values of the individual making the decision. This type of decision-making is centred on the individual deciding.
- Cognitive: This is an integrated feedback system between the individual/organization making a decision, and the broader environment's reactions to those decisions. This type of decision-making process involves iterative cycles and constant assessment of the reactions and impacts of the decision.
- Normative: In many ways, decision-making (particularly in groups, such as within an organization) is about communicative rationality. This is to say that decisions are derived based on the ability to communicate and share logic, using firms' premises and conclusions to drive behaviour.

Cognitive Theories

While the above styles give a general sense of the logic that drives choices, it is more useful to recognize that each of these three styles can play a role in any individual's decision-making process. From the cognitive perspective, there are a few specific stylistic models that are useful to keep in mind:

Optimizing vs. Satisficing

Decision-making is limited to the finite amount of information an individual has access to. With limitations on information, true objectivity is impossible. Decisions are therefore intrinsically flawed. A satisficer will recognize this necessary imperfection, and prefer faster but less perfect decisions while a maximizer will take a longer time trying to find the optimal choice. This can be viewed as a spectrum, and each decision (depending on the risk of a mistake) can be viewed with varying levels of perfection.

Intuitive vs. Rational

Daniel Kahneman puts forward the idea of two separate minds that compete for influence within each of us. One way to describe this is a conscious and a subconscious perspective. The subconscious mind (referred to as System 1) is automatic and intuitive, rapidly consolidating data and producing a decision almost immediately. The conscious mind (referred to as System 2) requires more effort and input, utilizing logic and rationale to make an explicit choice.

Combinatorial vs. Positional

This relationship was put forward by Aron Katsenelinboigen based on how the game of chess is played, and an individual's relationship with uncertainty. A combinatorial player has a final outcome, making a series of decisions that try to link the initial position with the final

outcome in a firm, narrow, and concrete way (i.e. certainty). The positional decision-making approach is ‘looser’, with a sense of setting up for an uncertain future as opposed to pursuing a concrete object. Each move from this type of player would maximize options as opposed to pursue an outcome.

2.7 APPROACHES OF DECISIONS

Three approaches to decision-making are avoiding, problem solving and problem seeking.

Every decision-making process reaches a conclusion, which can be a choice to act or not to act, a decision on what course of action to take and how, or even an opinion or recommendation. However, sometimes the process of decision-making leads to redefining the issue. Accordingly, three decision-making processes are known as avoiding, problem solving, and problem seeking.

Avoiding

One decision-making option is to make no choice at all. There are several reasons why the decision maker might do this:

- a. There is insufficient information to make a reasoned choice between alternatives.
- b. The potential negative consequences of selecting any alternative outweigh the benefits of selecting one.
- c. No pressing need for a choice exists and the status quo can continue without harm.
- d. The person considering the alternatives does not have the authority to make a decision.

Problem Solving

Most decisions consist of problem-solving activities that end when a satisfactory solution is reached. In psychology, *problem solving* refers to the desire to reach a definite goal from a present condition. Problem solving requires problem definition, information analysis and evaluation, and alternative selection.

Problem Seeking

On occasion, the process of problem solving brings the focus or scope of the problem itself into question. It may be found to be poorly defined, of too large or small a scope, or missing a key dimension. Decision makers must then step back and reconsider the information and analysis they have brought to bear so far. We can regard this activity as problem seeking because decision makers must return to the starting point and re-specify the issue or problem they want to address.

2.8 DECISION MAKING PROCESS

Decision-making is the process of making choices by identifying a decision, gathering information, and assessing alternative resolutions. Let us assume that you are in an organisation and how you will pursue this process.

Using a step by step decision making process can help you make more deliberate, thoughtful decisions by organizing relevant information and defining alternatives. This approach increases the chances that you will choose the most satisfying alternative possible.



Step1: Identify the decision

You realize that you need to make a decision. Try to clearly define the nature of the decision you must make. This first step is very important.

Step2: Gather relevant information

Collect some pertinent information before you make your decision: what information is needed, the best sources of information, and how to get it. This step involves both internal and external

-work. Some information is internal: you'll seek it through a process of self-assessment. Other information is external: you'll find it online, in books, from other people, and from other sources.

Step3: Identify the alternatives

As you collect information, you will probably identify several possible paths of action, or alternatives. You can also use your imagination and additional information to construct new alternatives. In this step, you will list all possible and desirable alternatives.

Step4: Weigh the evidence

Draw on your information and emotions to imagine what it would be like if you carried out each of the alternatives to the end. Evaluate whether the need identified in Step 1 would be met or resolved through the use of each alternative. As you go through this difficult internal process, you'll begin to favour certain alternatives: those that seem to have a higher potential for reaching your goal. Finally, place the alternatives in a priority order, based upon your own value system.

Step5: Choose among alternatives

Once you have weighed all the evidence, you are ready to select the alternative that seems to be best one for you. You may even choose a combination of alternatives. Your choice in Step 5 may very likely be the same or similar to the alternative you placed at the top of your list at the end of Step 4.

Step6: Take action

You're now ready to take some positive action by beginning to implement the alternative you chose in Step 5.

Step7: Review your decision & its consequences

In this final step, consider the results of your decision and evaluate whether or not it has resolved the need you identified in Step 1. If the decision has *not* met the identified need, you may want to repeat certain steps of the process to make a new decision. For example, you might want to gather more detailed or somewhat different information or explore additional alternatives.

2.9 IMPORTANCE OF DECISION MAKING

- a. **Implementation of managerial function:** Without decision making different managerial function such as planning, organizing, directing, controlling, staffing can't be conducted.

- b. Pervasiveness of decision making:** the decision is made in all managerial activities and in all functions of the organization. It must be taken by all staff. Without decision making any kinds of function are not possible.
- c. Evaluation of managerial performance:** Decisions can evaluate managerial performance. When decision is correct it is understood that the manager is qualified, able and efficient. When the decision is wrong, it is understood that the manager is disqualified. So, decision making evaluates the managerial performance.
- d. Helpful in planning and policies:** Any policy or plan is established through decision making. Without decision making, no plans and policies are performed. In the process of making plans, appropriate decisions must be made from so many alternatives. Therefore, decision-making is an important process which is helpful in planning.
- e. Selecting the best alternatives:** Decision-making is the process of selecting the best alternatives. It is necessary in every organization because there are many alternatives. So decision makers evaluate various advantages and disadvantages of every alternative and select the best alternative.
- f. Successful; operation of business:** Every individual, departments and organization make the decisions. In this competitive world; organization can exist when the correct and appropriate decisions are made. Therefore, correct decisions help in successful operation of business.

Self-check Exercise

- 1. Explain different styles of decision-making.**
- 2. Explain the process of decision-making.**
- 3. Describe the steps involved in decision-making.**
- 4. Do you feel any importance of decision-making?**

2.10 DIFFERENCE BETWEEN PROBLEM ANALYSIS AND DECISION MAKING

While they are related, problem analysis and decision-making are distinct activities. Decisions are commonly focused on a problem or challenge. Decision makers must gather and consider data before making a choice. Problem analysis involves framing the issue by defining its boundaries, establishing criteria with which to select from alternatives, and developing conclusions based on available information. Analysing a problem may not result in a decision, although the results are an important ingredient in all decision making.

Decision-making comprises a series of sequential activities that together structure the process and facilitate its conclusion. These steps are:

- Establishing objectives
- Classifying and prioritizing objectives
- Developing selection criteria
- Identifying alternatives
- Evaluating alternatives against the selection criteria
- Choosing the alternative that best satisfies the selection criteria
- Implementing the decision

Steps of problem solving are:

- i. Define the Problem
- ii. Determine the Root Cause(s) of the Problem
- iii. Develop Alternative Solutions
- iv. Select a Solution
- v. Implement the Solution
- vi. Evaluate the Outcome

The process is one of continuous improvement. The goal is not to solve but to evolve, adjusting the solution continually as new challenges emerge, through repeating the Six Step Process.

2.11 SIX STEPS FOR PROBLEM-SOLVING

Problem-solving is an important skill because we are faced with problems every day. **Problem-solving** is *the process of finding solutions to difficult or complex issues*. We solve problems on our own but we also seek support and guidance when solving problems. A group or team can be a more productive way to solve problems by allowing for more perspectives. Organization makes possible, better outcomes from the time and energy we dedicate to problem-solving in groups. However, this does not come naturally. The following provides us with a script for more efficiently solving problems in groups.

Step One: Define the Problem

In this step, you explore the nature of the problem, its scope, and who is affected by it. The group members must come to a shared understanding of key terms embedded in the problem.

Step Two: Analyse the Problem

For step two, group members share the results of their research efforts. What do you now know about the problem you have been tasked with solving and those impacted by the problem? During this group discussion, it is often the case that new questions that need answers arise. Make a plan to follow-up with these questions. Next, your group needs to decide on your problem-solving direction. What set of criteria (goals) must any given solution to this problem achieve? Or, what are the non-negotiable accomplishments that must occur?

Step Three: Generate Possible Solutions

The goal of step three is to generate ideas that may contribute to the formulation of possible solutions. It is at this point where you engage in a brainstorming activity or the generating of ideas related to your discussion. Your group can set its own rules, or norms, for how your brainstorming activity will work. For example, will you allow interruptions or criticisms during the process? Why, or why not? Will you take turns during the brainstorming activity or let it be a free-for-all? Will someone take notes?

Step Four: Evaluate Possible Solutions

After your group has generated possible solutions, next you systematically evaluate each of these. Determine three or four of the best ideas generated from the brainstorming activity. Next, apply your criteria established in step two to your list of possible solutions. Finally, what are the –plusses and –minuses associated with each possible solution? You may also want to revisit your discussion on issues of fact, value, and policy as well as any comparative examples discussed in steps one or two.

Step Five: Select Your Solution

In this step, you decide upon a solution that your group believes best solves the problem. Given the criteria, plusses and minuses, and comparative examples which solution stands out as the best? Often, groups will employ some degree of synthesis, or the combining of certain elements of one solution with another solution. At any point during the step, groups will either use consensus, compromise, voting, or some combination of all of these as a decision-making method. However, it is important to ensure that everyone's voice is heard. One good practice is to go around the group and give each group member a chance to vocalize his or her opinion.

Step Six: Develop Your Implementation Plan

The final step in the problem-solving process is crucial for securing a successful outcome for your group's work. Indeed, it is not enough to have a good idea or solution. You must employ forward thinking, a specific plan for how your solution will be implemented or put into action. Who will be responsible for carrying out the solution? What outside or inside resources are

needed to carry out this solution? What challenges might be faced along the way and how might these issues be resolved? What is a realistic timetable for the solution bringing a positive return? What will that positive return look like? How will you assess the solution's success and weaknesses?

Self-check Exercise

- 1. Differentiate between decision-making and problem solving.**
- 2. Explain the steps of Problem solving.**

2.12 GROUP DECISION-MAKING TECHNIQUES

i. Brainstorming

Brainstorming is a group or individual creativity technique by which efforts are made to find a conclusion for a specific problem by gathering a list of ideas spontaneously contributed by its members. Brainstorming is a process for developing creative solutions to problems. It works by focusing on a problem, and then deliberately coming up with as many solutions as possible and by pushing the ideas as far as possible. One of the reasons it is so effective is that the brainstormers not only come up with new ideas in a session, but also spark off from associations with other people's ideas by developing and refining them.

The steps for brainstorming are:

- a. Gather the participants from as wide a range of disciplines with as broad a range of experience as possible. This brings many more creative ideas to the session.
- b. Write down a brief description of the problem - the leader should take control of the session, initially defining the problem to be solved with any criteria that must be met, and then keeping the session on course.
- c. Use the description to get everyone's mind clear of what the problem is and post it where it can be seen. This helps in keeping the group focused.
- d. Encourage an enthusiastic, uncritical attitude among brainstormers and encourage participation by all members of the team. Encourage them to have fun!
- e. Write down all the solutions that come to mind (even ribald ones). Do not interpret the idea; however, you may rework the wording for clarity's sake.
- f. Do not evaluate ideas until the session moves to the evaluation phase. Once the brainstorming session has been completed, the results of the session can be analysed and the best solutions can be explored either using further brainstorming or more conventional solutions.

- g. Do not censor any solution, no matter how silly it sounds. The silly ones will often lead to creative ones - the idea is to open up as many possibilities as possible, and break down preconceptions about the limits of the problem.
- h. The leader should keep the brainstorming on subject, and should try to steer it towards the development of some practical solutions.

Once all the solutions have been written down, evaluate the list to determine the best action to correct the problem.

ii. Delphi Technique

In Delphi decision groups, a series of questionnaires are sent to selected respondents (Delphi group). The group does not meet face-to-face. All communication is normally in writing (normally letters or email). Members of the groups are selected because they are experts or they have relevant information.

Steps include:

Members are asked to share their assessment and explanation of a problem or predict a future state of affairs

Replies are gathered, summarized, and then fed back to all the group members.

Members then make another decision based upon the new information.

The process may be repeated until the responses converge satisfactory.

The success of this process depends upon the member's expertise and communication skill. Also, each response requires adequate time for reflection and analysis. The major merits of the Delphi process are:

- Elimination of interpersonal problems.
- Efficient use of expert's time.
- Diversity of ideals.
- Accuracy of solutions and predictions.

iii. Dialectic Decision-making

The dielectric decision method (DDM) traces its roots back to Socrates and Plato. It helps to overcome such problems as converging too quickly on solution while overlooking others, participants dislike of meetings, incomplete evaluations, and the failure to confront tough issues.

The steps of DDM are:

Issue a clear statement of the problem to be solved.

Two or more competing proposals are generated.

Members identify the explicit or implicit assumptions that underlie each proposal.

The team then breaks into advocacy sub who examine and argue the relative merits of their positions.

The group reassembles and makes a decision:

- embrace one of the alternatives
- forge a compromise
- generate a new proposal

Self-check Exercise

1. What is brainstorming?

2. Explain the Delphi method.

2.13 BARRIERS TO EFFECTIVE DECISION-MAKING

There are a number of barriers to effective decision-making. Effective managers are aware of these potential barriers and try to overcome them as much as possible.

a. Bounded Rationality

Bounded rationality is also known as administrative man theory. As the theory is propounded by Herbert Simon, in his opinion, in real life situations, the decision maker cannot be fully rational hundred percent so rationality is not possible in decision making, absolute rationality is a super human quality. This approach highlights how managers actually make decisions. It is pragmatic and holds the view that the manager, a human being cannot be fully rational because he may be confronted with many constraints, problems, limitations and inadequacies both with regard to the problem as well as to decision-making environment. The major limitations which bound the rationality of the manager are as under:

1. Lack of information is one of the most important limitations to rationality.

2. In order to comply with the norms of rationality, the manager is required to study and analyse the problem to discover and alternative course of action to evaluate them and then to select an appropriate one. Thus it is a time consuming job.
3. Many decision situations may involve formulation of multiple objectives which may be conflicting to each other. In these situations, the process of compromise and adjustment becomes more relevant.
4. The concept of rationality is bounded by the nature of the problem. Sometimes the problem may be very complex, unstructured with random behaviour.
5. Decisions made by managers are implemented in the future. The future environment is full of complexities and uncertainties and cannot be predicted with a degree of accuracy.

In the real life situation, decision-making is sub rational, fragmented and a pragmatic activity as rationality is compromised by ground reality. According to Herbert Simon the norm of bounded rationality describes actual decision-making behaviour of the manager and involves choosing a course of action that is satisfactory or good enough under the circumstances. It is true that many managerial decisions are made with a desire to solve the problem as early as possible. It is also believed that most managers do attempt to make the best decisions within the limits of rationality and in the light of size and nature of risk involved in uncertainty.

ii. Escalation of Commitment

Given the lack of complete information, managers don't always make the right decision initially, and it may not be clear that a decision was a bad one until after some time has passed. Escalation of commitment is the tendency of decision makers to remain committed to poor decision, even when doing so leads to increasingly negative outcomes. Once we commit to a decision, we may find it difficult to re-evaluate that decision rationally. It can seem easier to –stay the course than to admit (or to recognize) that a decision was poor. It's important to acknowledge that not all decisions are going to be good ones, in spite of our best efforts. Effective managers recognize that progress down the wrong path isn't really progress, and they are willing to re-evaluate decisions and change direction when appropriate.

iii. Time Constraints

Managers often face time constraints that can make effective decision-making a challenge. When there is little time available to collect information and to rationally process it, they are much less likely to make a good non-programmed decision. Time pressures can cause them to rely on heuristics rather than engage in deep processing. While heuristics save time, however, they don't necessarily lead to the best possible solution. The best managers are

constantly assessing the risks associated with acting too quickly against those associated with not acting quickly enough.

iv. Uncertainty

In addition, managers frequently make decisions under conditions of uncertainty—they cannot know the outcome of each alternative until they've actually chosen that alternative. Consider, for example, a manager who is trying to decide between one of two possible marketing campaigns. The first is more conservative but is consistent with what the organization has done in the past. The second is more modern and edgier, and might bring much better results or it might be a spectacular failure. The manager making the decision will ultimately have to choose one campaign and see what happens, without ever knowing what the results would have been with the alternate campaign. That uncertainty can make it difficult for some managers to make decisions, because committing to one option means forgoing other options.

v. Personal Biases

Our decision-making is also limited by our own biases. We tend to be more comfortable with ideas, concepts, things, and people that are familiar to us or similar to us. We tend to be less comfortable with that which is unfamiliar, new, and different. One of the most common biases that we have, as humans, is the tendency to like other people who we think are similar to us.

It can be incredibly difficult to overcome our biases because of the way our brains work. The brain excels at organizing information into categories, and it doesn't like to expend the effort to re-arrange once the categories are established. As a result, we tend to pay more attention to information that confirms our existing beliefs and less attention to information that is contrary to our beliefs, a shortcoming that is referred to as confirmation bias.

In fact, we don't like our existing beliefs to be challenged. Such challenges feel like a threat, which tends to push our brains towards the reactive system and prevent us from being able to logically process the new information via the reflective system. It is hard to change people's minds about something if they are already confident in their convictions.

vi. Conflict

Finally, effective decision-making can be difficult because of conflict. Most individuals dislike conflict and will avoid it when possible. However, the best decision might be one that is going to involve some conflict. Consider a manager who has a subordinate who is often late to work, causing others to have to step away from their responsibilities in order to cover for the late employee. The manager needs to have a conversation with that employee to correct the behaviour, but the employee is not going to like the conversation and may react in a negative way. Both of them are going to be uncomfortable. The situation is likely to involve conflict,

which most people find stressful. Yet, the correct decision is still to have the conversation even if (or especially if) the employee otherwise is an asset to the department.

There are numerous barriers to effective decision-making. Managers are limited in their ability to collect comprehensive information, and they are limited in their ability to cognitively process all the information that is available. Managers cannot always know all the possible outcomes of all the possible options, and they often face time constraints that limit their ability to collect all the information that they would like to have. In addition, managers, like all humans, have biases that influence their decision-making and that can make it difficult for them to make good decisions. One of the most common biases that can confound decision-making is confirmation bias, the tendency for a person to pay attention to information that confirms her existing beliefs and ignore information that conflicts with these existing beliefs. Finally, conflict between individuals in organizations can make it challenging to reach a good decision.

Self-check Exercise

- 1. What barriers exist that make effective decision-making difficult?**
- 2. How bounded Rationality is an obstacle in decision making?**
- 3. Explain the concept of confirmation bias.**
- 4. When is conflict beneficial, and when is it harmful?**

2.14 SUMMARY

Decision-making is an integral part of modern management. Decisions play important roles they determine both organizational and managerial activities. A decision can be defined as a course of action purposely chosen from a set of alternatives to achieve organizational or managerial objectives or goals. Throughout the business cycle, it is required to make many decisions to supply financial, technical or other information as an input to help making decisions at higher management levels. Decisions are usually made to attain the objectives of the business. Much of managerial work is decision making. Managers often have to consider large amount of synthesized data and make decisions that will benefit the organization.

2.15 SUGGESTED READINGS

1. Rue, Lisslie, and Byars, Lyold: Management Theory and Application, Homewood, Richar Irwin, 1977.
2. Dale Ernest: *Management Theory and Practice*, Mc Graw Hill Book Company, New York, 1973.

3. Koontz Harold; Weihrich H: Essentials of Management, Mc Graw Hill Book Company, New York, 11th edition 2020
4. Parsad L. M.: Organisational Behaviour, Sultan Chand & Sons, New Delhi.
5. Robbins Stephen, Judge Timothy and Sanghi Seema: Organisational Behaviour, Pearson Prentice Hall.

2.16 QUESTIONS FOR PRACTICE

1. What are the different characteristics of Decision Making?
2. Discuss the different types of Decisions one has to make in routine?
3. Discuss the different decision-making Styles and processes?
4. What is the difference between Problem Analysis and Decision Making?
5. Discuss the steps of Problem Solving in detail.
6. What do you mean by Group decision-making techniques?
7. What can play the role of barriers to Effective Decision-Making?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

SKILL ENHANCEMENT COURSE (SEC): SOFT SKILLS

UNIT-3: CONFLICT MANAGEMENT

3.0 Objectives

3.1 Introduction

3.2 Definition of Conflict

3.3 Levels of Conflicts and Types of conflicts

3.3.1 Intrapersonal Conflict

3.3.2 Interpersonal conflict

3.3.3 Intragroup conflict

3.3.4 Intergroup conflict

3.3.5 Intra-organisation conflict

3.4 Causes of conflicts

3.5 Conditions creating conflict situations

3.6 Managing Conflicts

3.7 Conflict Resolution

3.8 Effects of Conflicts

3.8.1 Positive effects of conflicts

3.8.2 Negative effects of conflicts

3.9 Summary

3.10 Suggested Readings

3.11 Questions for practice

3.0 OBJECTIVES OF LESSON

In this lesson we will try to get information regarding these questions:

- What is conflict?
- What are the types of conflicts?
- Why there are conflicts?
- How are conflicts managed and resolved?
- Are conflicts good or bad?

3.1 INTRODUCTION

Conflict is a clash of interests, values, actions, views or directions. Conflict refers to the existence of that clash. Conflict is initiated when the instant clash occurs. Generally, there are diverse interests and contrary views behind a conflict, which are revealed when people look at a problem from their viewpoint alone. Conflict is an outcome of organizational intricacies, interactions and disagreements. It can be settled by identifying and neutralizing the etiological factors. Once conflict is concluded it can provoke a positive change in the organization.

3.2 DEFINITION OF CONFLICT

The term conflict may mean different to different persons. It may be regarded as rivalry between two persons or parties in the organisation. It may even mean disagreement or hostility between individual or groups. Thomas has defined conflict as follows:

-Conflict is a process that begins when one party perceives that another party has negatively affected, or is about to negatively affect, something that the first party cares about.¶

Newstorm and Davis have defined as, -Conflict is any situation in which two or more parties feel themselves in opposition. It is an interpersonal process that arises from disagreement over the goals or the methods to accomplish those goals¶

Conflict is difficult to define, because it occurs in many different settings. The essence of conflict seems to be disagreement, contradiction, or incompatibility. Thus, conflict refers to any situation in which there are incompatible Goals, Cognitions or Emotions within or between individuals or groups that lead to opposition or antagonistic interaction. The definition recognizes three basic types of conflict:

- a. Goal conflict is situation in which desired end states or preferred outcomes appear to be incompatible.
- b. Cognitive Conflict is a situation in which ideas or thoughts are inconsistent.
- c. Affective Conflict is a situation in which feelings or emotions are incompatible; that is, people literally become angry with one another.

Conflict is very common in organizational settings. This is not necessarily a negative feature; the resolution of conflict often leads to constructive problem solving.

3.3 LEVELS OF CONFLICTS AND TYPES OF CONFLICTS

The five levels of conflict are:

- Intrapersonal (within an individual)
- Interpersonal (between individuals)
- Intragroup (within a group),

Intergroup (between groups), and
Intra-organizational (within organizations)

3.3.1 Intrapersonal Conflict

Intrapersonal conflict arises within a person. For example, when you're uncertain about what is expected or wanted, or you have a sense of being inadequate to perform a task, you are experiencing intrapersonal conflict. Intrapersonal conflict can arise because of differences in roles. A manager may want to oversee a subordinate's work, believing that such oversight is a necessary part of the job. The subordinate, on the other hand, may consider such extensive oversight to be evidence of a lack of trust. Role conflict, another type of intrapersonal conflict, includes having two different job descriptions that seem mutually exclusive. This type of conflict can arise if someone is heading one team and on the other hand a member of another team. A third type of intrapersonal conflict involves role ambiguity.

Intrapersonal Conflict, which occurs within an individual, often involves some form of goal conflict or cognitive conflict. Goal conflict exists for individuals when their behaviour will result in outcomes that are mutually exclusive or have compatible elements (both positive and negative outcomes).

- Approach - approach conflict is a situation in which a person has a choice between two or more alternatives with positive outcomes; for example, a person can choose between two jobs that appear to be equally attractive.
- Avoidance - avoidance conflict is a situation in which a person must choose between two or more alternatives, and they all have negative outcomes. For example, employees may be threatened with punishment in the form of demotion unless they do something they dislike spend much time travelling on their job, for example.
- Approach - avoidance conflict is a situation in which a person must decide whether to do something that had both positive and negative outcomes, for example, being offered a good job in a bad location.

3.3.2 Interpersonal Conflict

Interpersonal conflict involves two or more individuals rather than one individual. Two managers competing for the same promotion, two executives manoeuvring for a larger share of corporate capital examples of conflict between individuals are legion and quite familiar.

Reasons:

- a. Personality differences: Some people have difficulty in getting along with each other. This is purely a psychological problem and it has nothing to do with their job requirements or formal interactions.
- b. Perceptions: Varied backgrounds, experiences, education and training result in individuals developing different perceptions of similar realities; the result being an increase in the likelihood of interpersonal conflict.

- c. Clashes of values and interests: Conflict that so commonly develops between engineering and manufacturing personnel shows how differences in values might underlie conflict. Members of the engineering department might place a premium on quality, sophisticated design and durability while members of the manufacturing department might value simplicity and low manufacturing costs.
- d. Power and status differences: They operate by distributing authority and setting a stage for the exercise of power. Similarly, status inconsistencies lead to conflict.
- e. Scarce resource: Interpersonal conflict is almost automatic anytime there is scarcity. Conflicts over scarce resources are exceedingly common in organizations. Where the scarcity is absolute (the resource level cannot be enhanced) it is very difficult to manage interpersonal conflicts. For example, if three qualified individuals i.e. for superior positions in the organization and there is only one such position, interpersonal conflict may develop to an unmanageable level.

3.3.3 Intragroup Conflict

A group experiencing intragroup conflict may eventually resolve it, allowing the group to reach a consensus. Or the group may not resolve the conflict, and the group discussion may end in disagreement among the members. A study of a large number of groups engaged in business and governmental decision making, tried to identify some the conditions that lead to (1) the successful resolution of conflict (consensus or (2) the failure to resolve conflict (disagreement). The conflict within groups is not a simple, single phenomenon. Instead, intragroup conflict seems to fall into two distinct categories: (1) substantive conflict and (2) affective conflict.

Substantive conflict refers to conflict based on the nature of the task or to "content" issues. It is associated with intellectual disagreements among the group members. In contrast, affective conflict derives primarily from the group's interpersonal relations. It is associated with emotional responses aroused during interpersonal clashes.

3.3.4 Inter-Group Conflict

Intergroup conflict is conflict that takes place among different groups. An organization is a collection of individuals and groups. As the situation and requirements demand, the individuals from various groups. Types of groups may include different departments, employee unions, or management in a company or competing companies that supply the same customers. Departments may conflict over budget allocations, unions and management may disagree over work rules, and suppliers may conflict with each other on the quality of parts. Merging two groups together can lead to friction between the groups especially if there are scarce resources to be divided among the group. The success of the organization as a whole depends upon the harmonial relations among all interdependent groups, even though some intergroup conflicts in organizations are inevitable.

3.3.5 Intra-Organizational Conflict

Four types of intra-organizational conflict exist: (1) vertical conflict (2) horizontal conflict (3) line-staff conflict and (4) role conflict. Although these types of conflict can overlap, especially with role conflict, each has distinctive characteristics.

- a. **Vertical Conflict:** Vertical conflict refers to any conflict between levels in an organization; superior-subordinate conflict is one example. Vertical conflicts usually arise because superiors attempt to control subordinates and subordinates.
- b. **Horizontal Conflict:** Horizontal Conflict refers to conflict between employees or departments at the same hierarchical level in an organization.
- c. **Line-Staff Conflict:** Most organizations have staff departments to assist the line departments. The line-staff relationship frequently involves conflict. Staff managers and line managers typically have different personal characteristics. Staff employees tend to have a higher level of education, come from different backgrounds, and are younger than line employees. These different personal characteristics are frequently associated with different values and beliefs, and the surfacing of these different values tends to create conflict.
- d. **Role Conflict:** A role is the cluster of activities that others expect individuals to perform in their position. A role frequently involves conflict.

Self-check Exercise

1. What are different levels of conflicts?
2. What is the difference between intergroup and intragroup conflicts?

3.4 CAUSES OF CONFLICTS

We have studied all the levels of conflicts and their reason of existence. Now we will study all the causes of conflicts.

In most organizations, conflicts increase as employees assert their demands for an increased share in organizational rewards, such as position, acknowledgment, appreciation, monetary benefits and independence. Even management faces conflict with many forces from outside the organization, such as government, unions and other coercive groups which may impose restrictions on managerial activities.

Conflicts emanate from more than one source, and so their true origin may be hard to identify. Important initiators of conflict situations include.

- a. **Limited Resources:** Resources such as money, time, and equipment are often scarce. Competition among people or departments for limited resources is a frequent cause for conflict. For example, cutting-edge laptops and gadgets are expensive resources that may be allocated to employees on a need-to-have basis in some companies. When a group of employees have access to such resources while others do not, conflict may arise among employees or between employees and management. While technical employees may feel that these devices are crucial to their productivity, employees with customer contact such as sales representatives may make the point that these devices are important for them to make a good impression to clients. As, important resources are often limited, this is one source of conflict many companies have to live with.
- b. **Task Interdependence:** Another cause of conflict is task interdependence; that is, when accomplishment of your goal requires reliance on others to perform their tasks. For example, if someone is tasked with creating advertising for a product, he is dependent on

the creative team to design the words and layout, the photographer or videographer to create the visuals, the media buyer to purchase the advertising space, and so on. The completion of his goal (airing or publishing your ad) is dependent on others. If he gives importance to one or give credit to one, then others may not like it and conflict will rise.

- c. **Incompatible Goals:** Sometimes conflict arises when two parties think that their goals are mutually exclusive. Within an organization, incompatible goals often arise because of the different ways department managers are compensated. For example, if the company assigns the bonus based on profitability of a sale, not just the dollar amount, the cost of the expediting would be subtracted from the value of the sale. It might still make sense to expedite the order if the sale is large enough, in which case both parties would support it. On the other hand, if the expediting negates the value of the sale, neither party would be in favor of the added expense.
- d. **Personality Differences:** Personality differences among coworkers are common. By understanding some fundamental differences among the way people think and act, we can better understand how others see the world. They see things differently because of differences in understanding and viewpoint. Most of these differences are usually not important. Personality differences or clashes in emotional needs may cause conflicts. Conflicts arise when two groups or individuals interacting in the same situation see the situation differently because of different sets of settings, information pertaining to the universe, awareness, background, disposition, reason or outlook. In a particular mood, individuals think and perceive in a certain manner. For example, the half-full glass of one individual can be half-empty to another. Obviously both individuals convey the same thing, but they do so differently owing to contrasting perceptions and dispositions.
- e. **Communication Problems:** Sometimes conflict arises simply out of a small, unintentional communication problem, such as lost e-mails or dealing with people who don't return phone calls. Giving feedback is also a case in which the best intentions can quickly escalate into a conflict situation. When communicating, be sure to focus on behavior and its effects, not on the person.
- f. **Different styles:** People have different styles, principles, values, beliefs and slogans which determine their choices and objectives. When choices contradict, people want different things and that can create conflict situations. For example, a risk-taking manager would be in conflict with a risk-minimizing supervisor who believes in firm control and a well-kept routine. People have different thinking styles, which encourage them to disagree, leading to conflict situations. Certain thinking styles may be useful for certain purposes, but ineffectual or even perilous in other situations.
- g. **Hierarchy:** Conflict situations can arise because people have different status. When people at higher levels in the organization feel indignant about suggestions for change put forward from their subordinates or associates, it provokes conflict. By tolerating and allowing such suggestions, potential conflict can be prevented.

3.5 CONDITIONS CREATING CONFLICT SITUATIONS

There are distinct conflict conditions according to different scholars, i.e., high stress environments, ambiguous roles and responsibilities, multiple boss situations, and prevalence of advanced technology etc.

The conditions, which could initiate conflict situations in an organization are following:

- (i) *Ambiguous jurisdiction*, which occurs when two individuals have responsibilities which are interdependent but whose work boundaries and role definitions are not clearly specified.
- (ii) *Goal incompatibility and conflict of interest* refer to accomplishment of different but mutually conflicting goals by two individuals working together in an organization. Obstructions in accomplishing goals and lack of clarity on how to do a job may initiate conflicts. Barriers to goal accomplishment arise when goal attainment by an individual or group is seen as preventing another party achieving their goal.
- (iii) *Communication barriers*, as difficulties in communicating can cause misunderstanding, which can then create conflict situations.
- (iv) *Dependence on one party* by another group or individual.
- (v) *Differentiation in organization*, where, within an organization, sub-units are made responsible for different, specialized tasks. This creates separation and introduces differentiation. Conflict situations could arise when actions of sub-units are not properly coordinated and integrated.
- (vi) *Association of the parties and specialization*. When individuals specialized in different areas work in a group, they may disagree amongst themselves because they have different goals, views and methodologies owing to their various backgrounds, training and experiences.
- (vii) *Behaviour regulation*. Organizations have to have firm regulations for individual behaviour to ensure protection and safety. Individuals may perceive these regulations differently, which can cause conflict and negatively affect output.
- (viii) *Unresolved prior conflicts* which remain unsettled over time create anxiety and stress, which can further intensify existing conflicts. A manager's most important function is to avoid potential harmful results of conflict by regulating and directing it into areas beneficial for the organization.

Self-Check Exercise

1. What are some primary causes of conflict at work?
2. Does difference in hierarchy leads to conflict?
3. What outcomes have you observed from conflict?

3.6 MANAGING CONFLICT

Except in very few situations where the conflict can lead to competition and creativity so that in such situations the conflict can be encouraged, in all other cases where conflict is destructive in nature, it should be resolved as soon after it has developed as possible, but all efforts should be made to prevent it from developing. Some of the preventive measures are:

a. Change the Composition of the Team

If the conflict is between team members, the easiest solution may be to change the composition of the team, separating the personalities that were at odds. In instances in which conflict is attributed to the widely different styles, values, and preferences of a small number of members, replacing some of these members may resolve the problem.

b. Create a Common Opposing Force

Group conflict within an organization can be mitigated by focusing attention on a common enemy such as the competition. For example, two software groups may be competing against each other, that software should be used for evaluation of exam of some institution. But by focusing attention on a competitor company, the groups may decide to work together to enhance the marketing effectiveness for the company as a whole.

c. Common consensus

Sometimes a group conflict can be resolved through majority rule. That is, group members take a vote, and the idea with the most votes is the one that gets implemented. The majority rule approach can work if the participants feel that the procedure is fair. It is important to keep in mind that this strategy will become ineffective if used repeatedly with the same members typically winning. Moreover, the approach should be used sparingly. It should follow a healthy discussion of the issues and points of contention, not be a substitute for that discussion.

d. Avoidance

The avoiding style is uncooperative and unassertive. People exhibiting this style seek to avoid conflict altogether by denying that it is there. They are prone to postponing any decisions in which a conflict may arise. Conflict avoidance may be habitual to some people because of personality traits such as that they are not strong, do not take stand in front of other party. While conflict avoidance may not be a significant problem if the issue at hand is trivial, it becomes a problem when individuals avoid confronting important issues because of a dislike for conflict or a perceived inability to handle the other party's reaction.

e. Accommodation

The accommodating style is cooperative and unassertive. In this style, the person gives in to what the other side wants, even if it means giving up one's personal goals. People who use this style may fear speaking up for themselves or they may place a higher value on the relationship, believing that disagreeing with an idea might be hurtful to the other person. Accommodation may be an effective strategy if the issue at hand is more important to others compared to oneself. In this case, if a person perpetually uses this style, that individual may start to see that personal interests and well-being are neglected.

f. Competition

People exhibiting a competing style want to reach their goal or get their solution adopted regardless of what others say or how they feel. They are more interested in getting the outcome they want as opposed to keeping the other party happy, and they push for the deal they are interested in making. Competition may lead to poor relationships with others if one is always

seeking to maximize their own outcomes at the expense of others' well-being. This approach may be effective if one has strong moral objections to the alternatives or if the alternatives one is opposing are unethical or harmful.

g. Collaboration

The collaborating style is high on both assertiveness and cooperation. This is a strategy to use for achieving the best outcome from conflict—both sides argue for their position, supporting it with facts and rationale while listening attentively to the other side. The objective is to find a win-win solution to the problem in which both parties get what they want.

Self-check exercise

Is it possible to manage the conflict?

Why managing of conflicts is better than conflict resolving?

3.7 CONFLICT RESOLUTION

Various researchers have identified five primary strategies for dealing with and reducing the impact of behavioural conflict. Even though different authors have given different terminology to describe these strategies, the basic content and approach of these strategies remain the same. These are:

- a. Ignoring the conflict:** In certain situations, it may be advisable to take a passive role and avoid it all together. From the manager's point of view, it may be specially, necessary when getting involved in a situation would provoke further controversy or when conflict is so trivial in nature that it would not be worth the manager's time to get involved and try to solve it. It could also be that the conflict is so fundamental to the position of the parties involved that it may be best either to leave it to them to solve it or to let events take their own course. The parties involved in the conflict may themselves prefer to avoid conflict, specially, if they are emotionally upset by the tension and frustration created by it. People may intrinsically believe that conflict is fundamentally evil and its final consequences are never good. Thus people may try to get away from conflict causing situations.
- b. Smoothing:** Smoothing simply means covering up the conflict by appealing for the need for unity rather than addressing the issue of conflict itself. An individual with internal conflict may try to –count his blessings and forget about the conflict. If two parties have a conflict within the organization, the supervisor may try to calm things down by being understanding and supportive to both parties and appealing them for co-operation. The supervisor does not ignore or withdraw from the conflict nor does he try to address and solve the conflict but expects that everything will be fine for each and every one. Since the problem is never addressed, the emotions may build up further and suddenly explode. Thus smoothing provides only a temporary solution and conflict may resurface again in the course of time. Smoothing is more sensitive approach than avoiding in that as long as the parties agree that not showing conflict has more benefits than showing conflicts, the conflict can be avoided.

- c. **Compromise:** A compromise in the conflict is reached by balancing the demands of the conflicting parties and bargaining in a give and take position to reach a solution. Each party gives up something and also gains something. The technique of conflict resolution is very common in negotiations between the labour unions and management. It has become customary for the union to ask for more than what they are willing to accept and for management to offer less than what they are willing to give in the initial stages. Then through the process of negotiating and bargaining, mostly in the presence of arbitrators, they reach a solution by compromising. This type of compromise is known as integrative bargaining in which both sides win in a way.

Compromising is a useful technique, particularly when two parties have relatively equal power, thus no party can force its viewpoints on the other and the only solution is to compromise. It is also useful when there are time constraints. If the problems are complex and many faceted, and the time is limited to solve them, it might be in the interest of conflicting parties to reach a compromise.

- d. **Forcing:** This is technique of domination where the dominator has the power and authority to enforce his own views over the opposing conflicting party. This technique is potentially effective in situations such as a president of a company firing a manager because he is considered as a trouble-maker and conflict creator. This technique always ends up in one party being a loser and the other party being a clear winner. Many professors in colleges and universities have lost promotions and tenured re-appointments because they could not get along well with their respective chairpersons of the departments and had conflicts with them. This approach causes resentment and hostility and can backfire.
- e. **Problem solving:** This technique involves –confronting the conflict in order to seek the best solution to the problem. Problem solving is a common approach to resolving conflict. In problem-solving mode, the individuals or groups in conflict are asked to focus on the problem, not on each other, and to uncover the root cause of the problem. This approach recognizes the rarity of one side being completely right and the other being completely wrong.

This approach objectively assumes that in all organizations, no matter how well they are managed, there will be differences of opinions which must be resolved through discussions and respect for differing viewpoints. In general, this technique is very useful in resolving conflicts arising out of semantic misunderstandings. It is not so effective in resolving non-communicative types of conflicts such as those that are based on differing value systems, where it may even intensify differences and disagreements. In the long run, however, it is better to solve conflicts and take such preventive measures that would reduce the likelihood of such conflicts surfacing again.

Self-check Exercise

1. List three ways to decrease a conflict situation. What are some pros and cons of each of these approaches?

2. What is your usual conflict-handling style at work? Do you see it as effective or ineffective?

3.8 EFFECTS OF CONFLICTS

Conflict is defined as disagreement between individuals. It can vary from a mild disagreement to a win-or-lose, emotion-packed, confrontation. There are two theories of conflict management.

The traditional theory is based on the assumption that conflicts are bad, are caused by trouble makers, and should be subdued. *Contemporary theory* recognizes that conflicts between human beings are unavoidable. They emerge as a natural result of change and can be beneficial to the organization, if managed efficiently.

Conflict situations should be either resolved or used beneficially. Conflicts can have positive or negative effects for the organization, depending upon the environment created by the manager as she or he manages and regulates the conflict situation.

3.8.1 Positive effects of conflicts

- a. *Diffusion of more serious conflicts.* Games can be used to moderate the attitudes of people by providing a competitive situation which can liberate tension in the conflicting parties, as well as having some entertainment value. In organizations where members participate in decision making, disputes are usually minor and not acute as the closeness of members moderates belligerent and assertive behaviour into minor disagreements, which minimizes the likelihood of major fights.
- b. *Stimulation of a search for new facts or resolutions.* When two parties who respect each other face a conflict situation, the conflict resolution process may help in clarifying the facts and stimulating a search for mutually acceptable solutions.
- c. *Increase in group cohesion and performance.* When two or more parties are in conflict, the performance and cohesion of each party is likely to improve. In a conflict situation, an opponent's position is evaluated negatively, and group allegiance is strongly reinforced, leading to increased group effort and cohesion.
- d. *Assessment of power or ability.* In a conflict situation, the relative ability or power of the parties involved can be identified and measured.

3.8.2 Negative effects of conflict:

Impediments to smooth working

Diminishing output

Obstructions in the decision making process

Formation of competing affiliations within the organization

Self-check exercises

1. Conflicts can be treated as good for organization. Comment.
2. Describe a situation in which not having enough conflict can be a problem.

3.9. SUMMARY

Conflicts are inevitable in any organization. A modest level of conflict can be useful in generating better ideas and methods, inspiring concern and ingenuity, and stimulating the emergence of long-suppressed problems. Conflict can run the gamut from minor annoyances to physically violent situations. At the same time, conflict can increase creativity and innovation, or it can bring organizations to a grinding halt. There are many different types of conflict, including interpersonal, intrapersonal, and intergroup. Within organizations, there are many common situations that can spur conflict. Certain organizational structures, such as a matrix structure, can cause any given employee to have multiple bosses and conflicting or overwhelming demands. A scarcity of resources for employees to complete tasks is another common cause of organizational conflict, particularly if groups within the organization compete over those resources. Of course, simple personality clashes can create intrapersonal conflict in any situation. Communication problems are also a very common source of conflict even when no actual problem would exist otherwise. When conflict arises, it can be handled by any number of methods, each with varying degrees of cooperation and competitiveness. Different situations require different conflict handling methods, and no one method is best.

3.10 SUGGESTED READINGS

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3.11 QUESTIONS FOR PRACTICE

1. Define Conflict and the reasons that cause conflicts.
2. What are the levels of Conflicts and Types of conflicts? How can they be managed effectively?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

SKILL ENHANCEMENT COURSE (SEC): SOFT SKILLS

UNIT 4: EMOTIONAL INTELLIGENCE

STRUCTURE

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4.5 Goleman's EI Model

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4.0 OBJECTIVES

- To explain the concept and importance of emotional intelligence
- To give brief introduction of models of emotional intelligence
- To explain few common measures of emotional intelligence

4.1 INTRODUCTION

Emotional intelligence (EI) is the ability to perceive, control, understand, evaluate and respond to your own as well as other's emotions. When it comes to happiness and success in life, EQ matters just as much as IQ. It helps in relieving stress, build stronger relationships, communicate effectively, achieve personal goals, empathize with others, overcome challenges and defuse conflict. It also aids in connecting with own feelings, turn intention into action, and make informed decisions about anything that matters the most. It is the capability of the individuals to discern between different feelings and label them appropriately, to adjust emotions to adapt to environments. The ability to express and control emotions is essential. Imagine a world in which one is not able to understand when a loved one is feeling sad or when a co-worker was angry, this could create a great havoc.

In this unit we will discuss the basic concept of emotional intelligence by explaining various models of emotional intelligence. The students will learn about various strategies for enhancing their emotional intelligence. The unit also covers the various measures used in the assessment of emotional intelligence.

4.2 EMOTIONS MEANING

Emotions colour our lives. Emotions can be defined as cognitive, physiological and behavioural aspect of feelings. Emotions have three major components 1. Physiological arousal in the body- shifts in heart rate, blood pressure and so on. 2. Subjective cognitive state (an inner awareness of feelings) labelled as emotions. 3. Expressive behaviours to the outward world.

Definition of emotion

“Each emotion is a feeling and each is at the same time a motor set. Fear is set for escape, anger for attack, happiness to laugh and grief to cry”. **Woodworth**

“Emotion is an acute disturbance of the organism, as a whole psychological in origin involving behaviour, conscious experience and visceral functioning”. **P.T. Young**

Emotion is a powerful force every person shapes his behaviour to suit the world he lives in. People vary not only in experience of emotions but also in controlling and expressing emotions. Some people are effusive, others hide their feelings and sometimes only admirable emotions are expressed while disapproved ones are concealed.

4.3 WHAT IS EMOTIONAL INTELLIGENCE?

Greek philosopher Aristotle in his literature suggested –to be angry with the right person, to the right degree, at the right time, for the right purpose and in the right way, is the recipe for smooth relationships. This definition is a major theme of emotional intelligence. But as a term it was coined by Peter Salovey and John D. Mayer in 1990 and defines it as “a form of social intelligence that involves the ability to monitor one’s own and others’ feelings and emotions, to discriminate among them, and to use this information to guide one’s thinking and action” but it gained popularity in 1995 with best-selling book "Emotional intelligence" authored by Daniel Goleman in which he defined EI as the range of skills that are required for an effective leadership. Some researchers suggest that emotional intelligence can be learned and strengthened, while others claim it's an inborn characteristic.

To have a better understanding of the nature of emotional intelligence various components involved in it needs to be discussed. Models of emotional intelligence encompasses various skills and abilities which are helpful in managing one’s own emotions and behaviour and also in understanding and adjusting with the other individuals and stressful situations.

4.4 MAYAR AND SALOVAY’S MODEL OF EMOTIONAL INTELLIGENCE

According to Mayar and Salovay’s definition –emotional intelligence is the ability to process information about your own emotions and other peoples’.

Thus people high on emotional intelligence tend to pay attention to, use, understand, and manage their emotions. According to this model, for a person to be categorized as emotionally intelligent, they have to have four basic abilities:

- The ability to perceive emotions in oneself and others and express them accurately.
- The ability to use emotions in a way to facilitate thinking.
- The ability to understand emotions, emotional language, and the emotional signals.
- The ability to manage emotions in order to fulfill goals.

4.4.1 Perception of Emotion

The first emotional intelligence skill is Perception of emotion which refers to identification of your own and other people’s emotions using facial expressions, tone of voice, and body language. It involves understanding of subjective feelings, way other people feel and even the feelings expressed by a piece of artwork. Those who are skilled in the perception of emotion are able to express emotions adequately and communicate your needs in better way. Further they have the ability to distinguish between correct and incorrect emotional expressions.

Example- Suppose you are scolded by the teacher in the class, you slowly settle into the reality and sit with your classmates for lunch. A group of your classmates began to discuss about the teaching methods at lunch table. When they ask if you have any idea regarding this, you shrug and pick at your food. If your classmates are skilled at perception of emotion, then they will easily identify your facial expression and body language and determine that you might be

masking your true feelings of disengagement from the conversation. As a result, they might choose not to talk about the topic in your presence.

4.4.2. Emotional facilitation of thinking

Using emotion to enhance cognitive activities and adapt to various situations is the second component of EI. It refers to the ability of a person to understand and analyze emotions as well as an appreciation of the outcomes from emotions. It includes the ability to use emotions in order to aid thinking by directing thoughts to the most important information. It also includes the capacity to label and discern between different feelings. As a result, emotions help you make decisions by considering different points of view on a particular subject. It also involves social awareness in shaping the way in which emotions are managed. People who have developed and practiced this area of EI understand that some emotional states are more optimal for targeted outcomes than others.

Let us take an example, feeling frustrated over scolded by the teacher may be a helpful mindset as you are about to play a football match. The high levels of adrenaline rush associated with frustration may boost your energy and help you compete while the same emotion however, will likely impede your ability to write an essay or solve mathematical problems. Making decisions based on the impact that emotional experiences may have on actions and behavior is an essential component of EI.

4.4.3. Understanding emotions

This skill of Emotional intelligence refers to the ability to differentiate between emotional states and the use of right words to express them. It also includes understanding of specific causes for the emotional states and the ability to detect the transitions between emotions such as the transition from surprise to joy. Standing in the rain, might be a slight annoyance; however, waiting in the rain for hours in a large crowd will likely result in irritation or frustration. People skilled with this ability have a strong sense of how multiple emotions can work together to produce another. For instance, it is possible that you may feel contempt for the teacher who scolded you in the class for being late. However, this feeling of contempt does not arise from anger alone rather; it is the combination of anger and disgust by the fact that she is biased in her approach because you have a strong preference for sports.

4.4.4. Managing Emotions

It includes the ability to remain open to a wide range of different emotions, recognize how influential, reasonable, or clear the emotions are and understand which short- and long-term strategies are most efficient for emotional regulation. Anger seems an appropriate response to falling short of a goal. In fact, you may even find it useful and reasonable to experience the feeling of anger. However, this feeling will certainly need to be managed in order to prevent aggressive, unwanted behavior. Coming up with strategies, such as taking a deep breath and waiting until you feel calm before speaking, will allow you to regulate your anger and prevent the situation from escalating. Using this strategy may even let you gain insight into other perspectives.

Salovey and Mayer's emotional intelligence model shows us something that was truly revolutionary during that time. This theory is simple and easy to understand. As such, it's the perfect starting point if you're interested in delving deeper into the wonderful world of emotions.

4.5 GOLEMAN'S EI MODEL

Daniel Goleman developed five components of emotional intelligence at work. This model focuses on EI as a wide array of competencies and skills that drive leadership performance. Goleman's model describes following five constructs of EI:-

4.5.1. Self-awareness

Self-awareness refers to the ability of a person to recognize what one is feeling at any given time and understanding those emotions strengths, weaknesses, drives, values and goals and also to have a sense of effect on others. It helps a person in recognizing that how we feel and what we do are related, and having awareness of one's own personal strengths and limitations. A person skilled in this construct knows his own emotional state and names them correctly; they also keep track of different emotional reactions. Self-awareness leads to self-confidence, realistic self-assessment, and goal setting ability.

7.5.2 Self Regulation

Activity
1. Enhancing Self Awareness: start writing a journal and express your feelings and emotions. This will help in understanding your own emotions, thoughts and consequential behaviour.
2. Strengths and weakness: List your strengths and weakness objectively and honestly. For e.g. your strengths can be hardworking, creative, humble.....then make a list of your weakness like being low on confidence, stressed easily, adjustment issues etc.
3. Appreciate your strengths and try to work on your ability you feel needs some improvement for e.g.: you feel lack of confidence for public speaking. You can overcome this by reading more books and some regular practice of speaking while standing in front of the mirror on some relevant topic.

Self regulation refers to the ability of a person to control or redirect disruptive impulses and moods in order to adapt to changing circumstances. This construct of EI is related with the appropriate expression of emotion. People with this skill have the ability to diffuse difficult or tense situations and often think before acting. They are aware of how their actions affect others and take ownership of these actions. It includes flexibility, coping with change, and managing conflict.

Activity

Mindfulness: —Mindfulness is awareness that arises through paying attention, on purpose, in the present moment, non-judgementally,|| says Kabat-Zinn. –And then I sometimes add, in the service of self-understanding and wisdom.||

To start with mindfulness just try to focus on your breathing, start inhaling and exhaling by paying attention only to your breathing. This is the first step towards understanding the concept of being in the moment without any judgement. This activity on regular basis will foster regulation of our emotions.

4.5.3. Motivation

Motivation, as a component of EI, refers to intrinsic motivation. It is the ability of a person to work for internal drive that is beyond external rewards such as money, prize, appreciation and status. People who are intrinsically motivated also experience a state of ‘_flow’, by being immersed in an activity. They are usually action oriented, typically have a need for achievement and search for ways to improve. They are the one who takes initiatives. People skilled with this construct utilize emotional factors to achieve goals, enjoy the learning process and persevere in the face of obstacles. It includes a strong drive to achieve optimism even in the face of failure, and organizational commitment and propensity to pursue goals with energy and persistence. This can be illustrated by understanding Steve Jobs life journey, despite failing number of times finally he achieved his goals.

Activity

Understanding your goals and motives

1. Start writing the statements starting with I *should*.....

For example: I should be strong; I should reduce weight; I should compete civil services exam. After writing 5 or 7 statements ask yourself **why** after each statement. The answer will help you to understand if you are actually motivated to achieve something or its coz of some family or social pressure. Then write the statement with some positive affirmation like I will rather than I should. Sometimes we are not clear about our intrinsic motives so this activity will help in realizing your goals.

2. Reading biographies of great personalities and listening to motivational ted talks also helps in developing achievement motivation.

4.5.4. Empathy

Empathy refers to ability to understand other people's feelings especially while making decisions. This component of EI enables an individual to recognize other people's emotions and enables them to respond appropriately. It empowers people to sense power dynamics, as they accurately perceive situations where power dynamics come into force such as all social relationships, but also most especially in workplace relations. It includes expertise in building and retaining talent, to soften negative emotions or experiences in others, cross-cultural sensitivity, and service to clients and customers.

4.5.5. Social skills

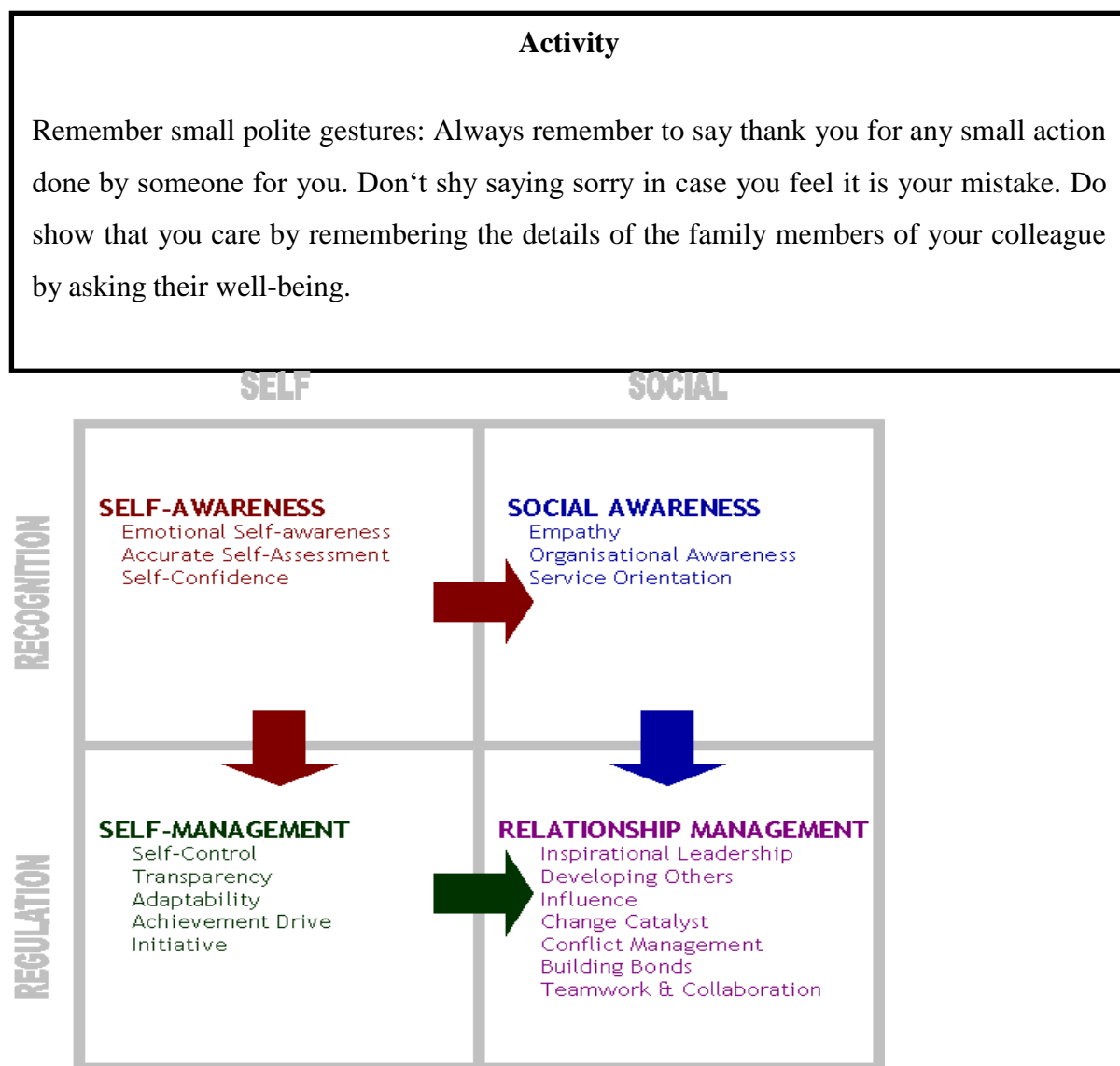
Activity

Go people-watching

When you go out for a walk, or any other situation outside among people and you are alone, just observe their interactions, emotions and moods, how and what they eat or do, how they make eye contact, their facial expressions, their body language etc. This will help in understanding peoples non-verbal clues which are important in developing empathy.

It is the ability to interact well with other people. People with such ability are usually proficient in managing relationships and building networks and an ability to find common ground and build rapport. It involves an understanding of one's own and other's emotions to communicate and interact with others on a day-to-day basis. It includes active listening, verbal communication skills, non-verbal communication skills and effectiveness in leading change, persuasiveness, and expertise in building and leading teams. Such people often inspire others and induce desired responses from them.

Fig. 1 Pictorial Representation of Goleman's Model



Source: web.sonoma.edu

Self-Check Exercise 1

Fill in the Blanks

1. The ability to understand what other person is going through.....
2. is the ability to pay attention to the present moment.
3. Goleman's model has..... components of Emotional Intelligence.
4. the ability to perceive, control, understand, evaluate and respond to emotions.
5. Identification of own and other's emotions is

4.6 BAR-ON MODEL OF EMOTIONAL AND SOCIAL INTELLIGENCE

Bar-On viewed emotional intelligence as non-cognitive capabilities and skills that influence an individual's ability to cope with emotional turmoil. *According to the Bar-On model, "emotional-social intelligence is a cross-section of interrelated emotional and social competencies, skills and facilitators that determine how well we understand and express ourselves, understand others and relate with them, and cope with daily demands, challenges and pressures."* Bar-on model of Emotional and Social Intelligence has five composites with three subscales within each composite. The Bar-On Model has a more holistic base to define Emotional Intelligence, it includes an individual understanding oneself, understanding others, and relating well to people -- but also to adapting and coping with environmental demands and stressors.

4.6.1. Intrapersonal – it refers to the ability of a person that relates to self-awareness and self-expression of emotions in general. Further it enables a person to understand his own strengths and limitations, and to express feelings non-destructively. It consists of sub factors including self-regard, emotional self-awareness, assertiveness, independence and self-actualization.

1. Self-regard – Respect for oneself and self-confidence.
2. Self-actualization - Pursuit of meaning and self-improvement.
3. Independence- being free from emotional dependence on others.
4. Emotional Self-awareness - Understanding one's own emotions.
5. Assertiveness- Communicating feelings and beliefs in a non-offensive way.

4.6.2. Interpersonal – it is the ability to be aware of others' feelings and emotions. It helps a person to establish and maintain cooperative, constructive and mutually satisfying relationships. It consists of sub factors including empathy, social responsibility and interpersonal relationships.

1. Interpersonal Relationships - Mutually satisfying relationships.
2. Empathy – Understanding and appreciating how others feel.

3. Social responsibility - Social consciousness and helpfulness.

4.6.3. Stress Management – it refers to managing emotions and controlling one's ability to deal with emotions so that they work for us and not against us. It consists of sub factors including stress, tolerance, and impulse control.

1. Stress Tolerance - Ability to cope with stressful situations
2. Impulse Control - Resist or delay impulse to act

4.6.4. Adaptability – it basically implies to the person's ability to deal with change. It involves how we cope with and adapt to personal and interpersonal change. It consists of sub factors including reality testing, flexibility, and problem solving.

1. Flexibility - Adapting emotions, thoughts, and behaviours
2. Reality Testing - Objective, see things as they really are
3. Problem Solving - Finding solutions when emotions are involved

4.6.5. General Mood - relates to our level of self-motivation. It consists of sub factors including optimism and happiness.

1. Optimism - Positive attitude and outlook towards life.
2. Happiness- feeling of content with oneself and with life in general.

Figure 2 shows the original Bar-On's model of emotional intelligence

EQ-i SCALES	The EI Competencies and Skills Assessed
Interpersonal Self-regard Emotional self-awareness Assertiveness Independence Self-actualization	Self-awareness and self-expression: Accurately perceive, understand, and accept oneself Be aware of and understand one's emotions Effectively and constructively express one's emotions and oneself Be self-reliant and free of emotional dependency on others Strive to achieve personal goals and actualize one's potential.
Interpersonal Empathy Social responsibility Interpersonal relationship	Social awareness and interpersonal relationships: Be aware of and understand how others feel Identify with one's social group and cooperate with others Establish mutually satisfying relationships and relate well with others
Stress Mgmt Stress tolerance Impulse control	Emotional management and regulation: Effectively and constructively manage emotions Effectively and constructively control emotions
Adaptability Reality-testing Flexibility Problem-solving	Change management: Objectively validate one's feelings and think with external reality Adapt and adjust one's feelings and thinking to new situations Effectively solve problems of a personal and interpersonal nature
General Mood Optimism Happiness	Self-motivation: Be positive and look at the brighter side of life Feel content with oneself, others, and life in general

Source: <http://www.free-management-ebooks.com/>

The original model has five dimensions with 15 components explained above. In 2000, Bar-On refined his original model by re-categorising the components into constituent components (self-regard, emotional self-awareness, assertiveness, empathy, interpersonal relationship, problem solving, flexibility, reality testing, stress tolerance and impulse control) and facilitators (self actualisation, independence, social responsibility, optimism and happiness).

It is important to note that the ideal behaviour is to be balanced within each subscale. Being very high or very low on any of the specific subscale can lead to dysfunctional behaviour. The Bar-On Model believes that the Emotional Intelligence contributes equally to an individual's potential to succeed in life as the overall intelligence. In this way, the theory becomes less about any particular skill being more worthwhile, or any characteristic being superior, but rather looks at it as defined by the individual's ability to meet their own needs.

The Bar-On Model does propose that those with lower on skills of emotional intelligence are more likely to struggle with impulse control, stress tolerance, problem solving, and so on. While those with high EQs are more capable, through whatever means, of dealing with emotional challenges and environmental demands and pressures.

4.7 IMPORTANCE OF EMOTIONAL INTELLIGENCE

As we know, it's not the smartest people who are the most successful in life. Intellectual ability isn't enough on its own to achieve success in life. The importance of EI should not go unappreciated. Emotional intelligence can help us lead a fulfilled and happy life. Emotional intelligence is dynamic aspects of one's psyche that, when worked upon, can yield fruitful benefits, from personal happiness and well-being to elevated success in a professional context. There is ample of research supporting that individuals with higher EI are better equipped to work cohesively within teams, deal with change more effectively, and manage stress – thus enabling them to work more efficiently in personal as well as professional life.

To have a comprehensive understanding of the impact of emotional intelligence on various domains of life, a few domains are discussed in the following sections.

4.7.1 Performance at school or work

High emotional intelligence helps in navigating the social complexities, excel in career and business performance. Many researchers have established a negative correlation of emotional intelligence with high risk behaviour in school children. It has been found that students with high emotional intelligence were less indulged in bullying, violence, substance abuse and risky sexual behaviour. Similarly in the work sector when it comes to recruitment, many companies now rate emotional intelligence as important as technical ability and employ EI testing before hiring. Individuals with high EI have an edge over others in dealing with high pressure situations, conflict resolution and constructive criticism. Emotional intelligence facilitates reasoning with co-workers, supervisors and customers more than logic alone. Proficiency in EI is becoming a vital prerequisite in prolonged or intense areas of 'emotional work' such as nursing, social work, the service industry, and management roles.

4.7.2 Health

The ability to manage emotions helps in managing stress. Being unable to manage emotions can lead to stress. Uncontrolled stress has adverse consequences such as high blood pressure, poor immune system, increased risk of heart attacks and strokes. Uncontrolled emotions can impact mental health too. It increases vulnerability to anxiety and depression. **Being unable to manage emotions,** will lead to struggle to form strong relationships. This in turn can leave you feeling lonely and isolated and further exacerbate any mental health problems.

4.7.3 Relationships

By understanding and managing emotions, you're better able to express how you feel and understand how others are feeling. This further aids in effective communication and forge stronger relationships, both at work and in your personal life. The most salient feature in the maintenance of a good relationship is Empathy. The individual having empathy will feel and understand another person's feelings by standing in the person's shoes. Empathy facilitates the connection with other people and also helps in building trust. Team work or working collaboratively becomes easier when trust is developed.

4.7.4 Resilience and EQ

Emotional intelligence is undoubtedly a valuable tool to utilize in the face of adversity. EI may be correlated to resilience, such that emotionally intelligent people are more adaptive in stressful situations. EI person has the ability to buffer the effects of stressful events through self-awareness, expression and management. Thereby EI has the potential to enhance resilience, which is the ability to cope with stressful situations. Many research studies endorse that resilience contributes in an employee's job satisfaction, commitment and happiness.

4.7.5 EI and Job Performance

The increasing body of research in emotional intelligence suggests the existence of link between emotional intelligence and job performance. Research indicates that EI in the workplace is positively associated with job satisfaction as it leads to better stress management and leadership skills. The workplace represents a distinct social community, whereby utilizing emotional intelligence skills can significantly improve the personal and social capabilities of individuals within that workplace.

4.7.6 Motivation and Emotional Intelligence

Emotional intelligence matters for motivation, and motivation matters to fulfill goals. Whether it's related to work, personal goals, professional commitments or health, the emotionally intelligent person have the tendency to understand their aspirations better and the self-motivation skills required to achieve them.

4.7.7 Emotional Intelligence and Decision-Making

Emotional Intelligence is closely related to cognitive development, it impacts how we make decisions. An adequate understanding of the emotions we feel and why we are feeling

them can have a huge impact on our decision-making abilities. It prevents a person to decide based on emotional biases.

4.8 MEASURES OF EMOTIONAL INTELLIGENCE

Nowadays industries and even schools use certain measures to assess emotional intelligence or Emotional quotient (EQ). Emotional intelligence scales are used for assessing set of abilities one possesses to adapt and work effectively in stressful situations. Numerous tests that promise to measure emotional intelligence have appeared in recent years which are discussed as following.

4.8.1 The Mayer-Salovey-Caruso Emotional Intelligence Test (MSCEIT, 2002)

The (MSCEIT) is an ability-based test designed to measure the constructs of the Mayer and Salovey's model of EI. Multifactor Emotional Intelligence Scale (MEIS) was developed from an intelligence-testing tradition formed by the emerging scientific understanding of emotions and their function. It consists of 141 items that assess how well people perform tasks and solve emotional problems and takes 30-45 minutes to administer. MSCEIT analysis provides five scores, including one for each construct and one for total EI. The constructs of the measure are (a) perceiving emotions, (b) facilitating thought, (c) understanding emotions, and (d) managing emotions.

4.8.2 The Emotional Quotient Inventory (EQ-i, 1997)

The Emotional Quotient Inventory (EQ) is a 133-item self-report test of EI, developed by Bar-On to assess the factors that are composed of 15 subscales, including (a) intrapersonal EQ, composed of emotional self-awareness, assertiveness, self-regard, self-actualization, and independence; (b) interpersonal EQ, composed of empathy, relationship skills, and social responsibility; (c) adaptability, composed of problem solving, reality testing, and flexibility; (d) stress management, composed of stress tolerance and impulse control; and (e) general mood, composed of happiness and optimism based on Bar-On model of emotional-social intelligence. This measure assess the emotional intelligence by one total score, five composite scores and 15 specific subscale scores. It can be used with 18 years and older. **However**, Bar-On (2000) has revised his model and now considers the fifth factor, general mood, as a facilitator of EI and not part of it. Therefore, the total EQ-i score used here is based on the sum of the first four scales.

4.8.3 Swinburne University Emotional Intelligence Test (SUEIT, (2001)

The SUEIT is a 64 items self-report measure of EI. Each item of the measure is a statement (i.e. 'I can tell how others are feeling'). Respondents are required to rate the degree to which each statement represents the way they think, feel or act. Items are scored on a five-point Likert-type scale where 1 equals 'never' and 5 equals 'always'. Scores are derived for five dimensions of EI: Emotional Recognition and Expression (ERE); Understanding Emotions External (UE); Emotions Direct Cognition (EDC); Emotional Management (EM); and Emotional Control (EC).

4.8.4 Self-report Emotional Intelligence Test (SREIT,1998)

The SREIT is a 33 item brief self-report measure of EI that was developed by Schutte et. al.(1998). These self-report items that were primarily based on Salovey and Mayer's (1990) early model of EI, and assess four provisional factors optimism and mood regulation, appraisal of emotions, social skills and utilization of emotions.

4.8.5 Wong and Law Emotional Intelligence Scale (WLEIS, 2002)

This is a self report measure with 36 items. The scoring is based on seven points Like rt scale ranging from strongly disagree to strongly agree. WEIS based on the four ability dimensions described in the domain of EI:

- (1) Appraisal and expression of emotion in the self
- (2) appraisal and recognition of emotion in others
- (3) regulation of emotion in the self
- (4) use of emotion to facilitate performance

4.8.6 The Genos Emotional Intelligence Inventory (Genos EI, 2008)

The Genos Emotional Intelligence Inventory (Genos EI), is a behaviour-based measured. The **Genos EI** assesses Emotional Intelligence, in relation to the workplace. It comprised of seven subscales that covers the ability to manage emotions in an appropriate, professional, and productive manner at work. The instrument focuses on measuring the frequency with which someone may display emotionally intelligent actions. The scale consists of 70 questions and includes report rating from managers, peers, and customers. It takes 20 minutes to administer the test.

4.8.7 Emotional Competence Inventory (ECI, 1998)

The ECI is based on the seminal work of Dr. Daniel Goleman and Dr. Richard Boyatzis, and published by the Hay Group, This measure was developed by Boyatzis, Goleman, and colleagues, designed to assess emotional competencies and positive social behaviors. It comprised of 110 items and assesses 20 competencies that are organized into four groups: (1) Self-Awareness, (2) Social Awareness, (3) Self-Management, and (4) Social Skills.

4.8.8 Emotional and Social Competence Inventory (ESCI, 2007)

Emotional and social intelligence impacts leadership skills. To differentiate between an effective and average leader it is necessary to the behaviours that differentiate between an outstanding from average performers. This instrument is developed by Daniel Goleman, Richard Boyatzis and Hay Group to assess the emotional and social competencies that distinguish between average and outstanding leaders. It comprised of 68 items assessing twelve competencies different domains of emotional intelligence namely Emotional Self-Awareness, Emotional Self-Control, Adaptability, Achievement Orientation, Positive Outlook, Empathy, Organizational Awareness, Coach and Mentor, Inspirational Leadership, Influence, Conflict Management and Teamwork.

Self-Check Exercise 2

1. Write about the importance of emotional intelligence.

.....
.....
.....
.....

2. How emotional intelligence can be measured?

.....
.....

3. Give a brief introduction to Goleman's model of emotional intelligence.

.....
.....
.....

4.9 SUMMARY

Emotional intelligence refers to the ability to differentiate between emotional states and the use of right words to express them. Emotional intelligence encompasses the ability to perceive emotions in one and others and express them accurately. It helps in relieving stress, build stronger relationships, communicate effectively, achieve personal goals, empathize with others, overcome challenges and defuse conflict. It also aids in connecting with own feelings, turn intention into action, and make informed decisions about anything that matters the most. Emotional intelligence can be measured and can be facilitated through various training programs and exercises.

4.10 KEYWORDS

Self Regulation: Self regulation refers to the ability of a person to control or redirect disruptive impulses and moods in order to adapt to changing circumstances. People with this skill have the ability to diffuse difficult or tense situations and often think before acting.

Stress Management: it refers to managing emotions and controlling one's ability to deal with emotions so that they work for us and not against us. It consists of sub factors including stress, tolerance, and impulse control.

Empathy: Empathy refers to ability to understand other people's feelings especially while making decisions. This component of EI enables an individual to recognize other people's emotions and enables them to respond appropriately.

Adaptability: it basically implies to the person's ability to deal with change. It involves how we cope with and adapt to personal and interpersonal change. It consists of sub factors including reality testing, flexibility, and problem solving.

Managing Emotions: It includes the ability to remain open to a wide range of different emotions, recognize how influential, reasonable, or clear the emotions are and understand which short- and long-term strategies are most efficient for emotional regulation.

4.11 MODEL ANSWERS

Check Your Progress 1

1. Empathy 2. Mindfulness 3. Five 4. Emotional intelligence
5. Perception of Emotions

Check Your Progress 2

1. Importance of Emotional Intelligence

Performance at school or work- High emotional intelligence helps in navigating the social complexities, excel in career and business performance. Many researchers have established a negative correlation of emotional intelligence with high risk behaviour in school children.

Health- The ability to manage emotions helps in managing stress. Being unable to manage emotions can lead to stress. Uncontrolled stress has adverse consequences such as high blood pressure, poor immune system, increased risk of heart attacks and strokes.

Relationships- By understanding and managing emotions, you're better able to express how you feel and understand how others are feeling. This further aids in effective communication and forge stronger relationships.

Resilience and EQ- Emotional intelligence is undoubtedly a valuable tool to utilize in the face of adversity. EI may be correlated to resilience, such that emotionally intelligent people are more adaptive in stressful situations.

EI and Job Performance- Research indicates that EI in the workplace is positively associated with job satisfaction as it leads to better stress management and leadership skills.

2. Measures of Emotional Intelligence

The Mayer-Salovey-Caruso Emotional Intelligence Test (MSCEIT, 2000)

The (MSCEIT) is an ability-based test designed to measure the constructs of the Mayer and Salovey's model of EI. MSCEIT analysis provides five scores, including one for each construct and one for total EI. The constructs of the measure are (a) perceiving emotions, (b) facilitating thought, (c) understanding emotions, and (d) managing emotions.

The Emotional Quotient Inventory (EQ-i, 1997)

The Emotional Quotient Inventory (EQ) is a 133-item self-report test of EI, developed by Bar-On to assess the factors that are composed of 15 subscales, including (a) intrapersonal EQ, composed of emotional self-awareness, assertiveness, self-regard, self-actualization, and

independence; (b) interpersonal EQ, composed of empathy, relationship skills, and social responsibility; (c) adaptability, composed of problem solving, reality testing, and flexibility; (d) stress management, composed of stress tolerance and impulse control; and (e) general mood, composed of happiness and optimism based on Bar-On model of emotional-social intelligence.

Swinburne University Emotional Intelligence Test (SUEIT, (2000)

The SUEIT is a 64 items self-report measure of EI. Each item of the measure is a statement (i.e. 'I can tell how others are feeling'). Scores are derived for five dimensions of EI: Emotional Recognition and Expression (ERE); Understanding Emotions External (UE); Emotions Direct Cognition (EDC); Emotional Management (EM); and Emotional Control (EC).

SREIT (1998)

The SREIT is a 33 item brief self-report measure of EI that was developed by Schutte et al. (1998). These self-report items that were primarily based on Salovey and Mayer's (1990) early model of EI, and assess four provisional factors optimism and mood regulation, appraisal of emotions, social skills and utilization of emotions.

Wong and Law Emotional Intelligence Scale (WLEIS, 2002)

This is a self report measure with 36 items. The scoring is based on seven point Likert scale ranging from strongly disagree to strongly agree. WEIS based on the four ability dimensions described in the domain of EI:

- appraisal and expression of emotion in the self
- appraisal and recognition of emotion in others
- regulation of emotion in the self
- use of emotion to facilitate performance

3. Goleman's Model of Emotional Intelligence

Daniel Goleman developed five components of emotional intelligence at work. This model focuses on EI as a wide array of competencies and skills that drive leadership performance. Goleman's model describes following five constructs of EI:-

Self-awareness

Self-awareness refers to the ability of a person to recognize what one is feeling at any given time and understanding those emotions strengths, weaknesses, drives, values and goals and also to have a sense of effect on others.

Self-Regulation

Self-regulation refers to the ability of a person to control or redirect disruptive impulses and moods in order to adapt to changing circumstances. This construct of EI is related with the appropriate expression of emotion.

Motivation

Motivation, as a component of EI, refers to intrinsic motivation. It is the ability of a person to work for internal drive that is beyond external rewards such as money, prize, appreciation and status. People who are intrinsically motivated also experience a state of 'flow', by being immersed in an activity.

Empathy

Empathy refers to ability to understand other people's feelings especially while making decisions. This component of EI enables an individual to recognize other people's emotions and enables them to respond appropriately.

Social skills

It is the ability to interact well with other people. People with such ability are usually proficient in managing relationships and building networks and an ability to find common ground and build rapport.

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4.13 QUESTIONS FOR PRACTICE

1. What is emotional intelligence? Discuss its importance.
2. Discuss Mayer and Salovey's model of emotional intelligence.
3. What do you mean by Goleman's EI Model?
4. What is Bar-on model of Emotional and Social Intelligence?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

SKILL ENHANCEMENT COURSE (SEC): SOFT SKILLS

UNIT 5: STRESS MANAGEMENT; TIME MANAGEMENT

STRUCTURE

5.0 Objectives (Stress Management)

5.1 Introduction

5.2 Nature of stress

5.2.1 Nature of the stressor

5.2.2 A person perception and tolerance of stress

5.3 Consequences of stress

5.4 Stress Management

5.5 Coping with stress

5.5.1 Emotion focused coping

5.5.2 Problem focused coping

5.6 Factors that affects coping

5.7 Preventing stress

5.7.1 Avoid

5.7.2 Alter

5.7.3 Accept

5.7.4 Adapt

5.8 Tips to reduce stress

5.9 Relaxation techniques to reduce stress

5.10 Keywords

5.11 Model answers

5.12 Objectives (Time Management)

5.13 Introduction

5.14 Meaning of time management

5.14.1 Culture and Time Management

5.15 Benefits of time management

5.16 Time Management Techniques

5.17 Time management styles

5.17.1 Hopper

5.17.2 Hyper focus

5.17.3 Cliffhanger

5.17.4 Big Picture

5.17.5 Perfectionist

5.17.6 Impulsive

5.18 Tips to manage time better

5.19 Summary

5.20 Keywords

5.21 Model Answers

5.22 References

5.23 Questions for Practice

5.0 OBJECTIVES

- To help reader understand the meaning and nature of stress
- To explain consequences of stress
- To explain various coping strategies
- Strategies and tips to reduce stress

5.1 INTRODUCTION

Stress seems to be as old as the mankind is. According to Wheeler C.M., stress is a word of physics, used to analyze the problem of how manmade structures must be designed to carry heavy loads and resist deformation. In physics the term –stress refers to the amount of force used on an object. The usage of term changed with transition from physics to behavioural sciences. In psychology it can be defined as any change that causes physical, emotional, or psychological pressure. Stress is simply a response of body to anything that requires attention or action. Stress is a type of psychological pressure. Everyone experiences stress to some degree. Small amounts of stress may be beneficial, as it plays a role in motivation. However, excessive stress increases the risk of strokes, heart attacks, ulcers, depression and hypertension.

This unit will highlight the role of stressors and subjective factors in dealing with stressful or adverse situations. The students will learn about the various coping mechanisms and techniques to prevent stress.

5.2 NATURE OF STRESS

The term stress was coined by Cannon (1932) and he believed it to underlie all medical problems. He termed the body's physiological response to stress as a flight-fight syndrome. In fight-flight syndrome, the epinephrine, cortisol and other hormones prepare the body to defend against stress by attacking or by running away from the stressful situation. He regarded this response as highly functional and adaptive in nature. Different physiological mechanisms that seem to play a role in stress are brain, nervous system and the endocrine system. When the sympathetic nervous system senses stress (Selye's alarm reaction) it triggers the release of adrenaline resulting into accelerated heart rate and respiration. Simultaneously, hypothalamus causes the pituitary to release adreocorticotrophic hormone (ACTH) which further triggers the release of Cortisol. Cortisol boosts the energy and helps the individual to deal with the stressful situation by flight or fight reaction but sustained elevated levels weaken the immune system.

Fig. 1: Depicting Fight or Flight Reaction



Source: psychologistsworld.com

How we cope with tension and danger in our world is largely determined by our fight-or-flight reaction. When we are threatened, our bodies are primed to either fight or escape. Stress is considered to be subjective in nature as what may be stressful for one may not be for the other. Stress can be caused due to number of reasons such as financial difficulties, health issues, personal conflicts and work issues all carry force or pressure on a person's that deemed as stress. If the source of stress originates from the environment it is known as external stressor but most often it emanates from within a person's head in the form of worry, anxiousness, regret, discouragement and low confidence and self-esteem known as internal stressor.

Stress is usually experienced in terms of three components, that is, emotion (such as anxiety or fear), thought (such as pessimistic self-talk) and behavior (such as smoking). All situations, positive and negative, that require adjustment can be stressful. Thus, according to Hans Selye (1956), there are two kinds of stress---**Eustress** (refers to stress caused by positive situations such as marriage, promotion etc.) and **Distress** (refers to stress caused by negative situations such as death, divorce, loss of a job etc.). Though both eustress and distress tax an individual's coping skill and resources but distress has more potential to cause damage.

The severity of stress is assessed by the degree to which it disrupts functioning. Various factors that predispose a person to stress have been categorized below based on the nature of stressor, person's perception and tolerance of stress.

5.2.1 Nature of the stressor: the impact of stress on an individual depends on the nature of a stressor like its importance to the person, duration and number of stressors.

- Importance or intensity of a stressor to the person: stressors that involve important aspects of a person's life such as the death of a loved one, a divorce, a job, or a serious illness tend to be highly stressful for most people.
- Duration of the stressor: the longer a stressor operates, the more severe its effect is experienced. For example, chronic stressors like living with a frustrating job or an unhappy marriage are likely to have more adverse effect than an acute stressor like having a fight with a friend.
- Cumulative effect of stressors: the more the number of stressors one faces in succession the more the stress as, these stressors tend to have a cumulative effect. For example a person is going through heavy financial loss and his wife is diagnosed with cancer at the same time, the resulting stress will be more severe than if these events occurred separately or over a time gap.
- The nature of the circumstances: In difficult situations, especially those involving conflicts, the severity of stress usually increase as the need to deal with the demand approaches. For example, the anxiety of performing in an exam is likely to be higher in the hour just prior to the exam.
- Degree of involvement: The more closely an individual is involved in a traumatic situation, the more is the stress experienced by him or her.
- Controllability: the more control an individual thinks he or she can exert over the stressor the less is the stress experienced by him or her. That is why uncontrollable events like death of a closed one are likely to be more stressful.
- Predictability: Being able to predict the occurrence of a stressful event, even if the individual cannot control it, usually reduces the severity of the stress as it allows an individual to initiate some sort of preparatory process that acts to lessen the effect of a stressor. Also, with a predictable stressor, there is a safe period in which the individual can relax to some extent.

- **Challenging limits:** Situations despite being controllable and predictable can be experienced as stressful if they push one's limits and capabilities and challenge an individual's view of himself or herself. Similarly any change in life that requires numerous readjustments can be perceived as stressful.
- **Personality characteristics:** Researchers Friedman and Rosenman (1976) found that men with personality characteristics of intense drive, aggressiveness, ambition, competitiveness and the pressure for getting things done were two to three times more likely to have heart attack in middle age than men who were equally competent but more easygoing.

5.2.2 A person's perception and tolerance of stress

One person's stressor is another person's piece of cake. There are individual differences in reaction to the same stressor, this may be due to a person's perception of threat, level of stress tolerance and his personality traits.

- **Perception of threat:** if a situation is perceived as threatening and more likely to occur, whether or not the threat is real, it is likely to evoke significant stress. Also an individual who feels overwhelmed or feels that he or she will not be able to deal with the threat is more likely to experience negative consequences from the situation than a person who believes that he or she will be able to manage it. Understanding the nature of a stressful event, preparing for it, and knowing how long it will last can lessen the severity of the stress. Perception of threat is determined by an individual's past experiences, conditioned responses, his personality and resources he has to deal with it.
- **Stress tolerance:** The term stress tolerance refers to a person's ability to withstand stress without becoming seriously impaired. The amount of stress one can handle without getting overwhelmed is what psychologists call as stress tolerance. Psychologist Robert Sapolsky has used the term *stress signature* to demonstrate the individual differences in sensitivity for stress. There are certain receptors in different areas of the brain for stress chemicals and the more receptors you have the less sensitive you are to stress. It has been found that individuals who have better tolerance can withstand the daily stressors and make better decisions in high pressure jobs.
- **Optimism-pessimism:** Optimists are people who see the glass as the half full and pessimist are those who see it as half empty. Research has shown that optimists (i.e. people who have general expectancies for good outcomes) are likely to be more stress resistant than pessimists (i.e. people who have general expectation for poor outcomes). One reason behind this could be the difference in the stress coping strategies adopted by them.

- Hardiness is a term coined to demonstrate a personality characteristic having three constituent traits (commitment, challenge and control), and acts as a resistance to stress (Kobasa, 1979). Hardy people (i.e., relatively stress-resistant) seem to differ from other with respect to their high level of Commitment: tendency to see change as challenge (i.e. an opportunity for growth and development) and a stronger sense of control over events and outcomes in their life. Research finding indicates that persons high in hardiness tend to report better health than those low in hardiness even when they encounter major stressful life changes.

5.3 Consequences of stress

Stress at its optimum level can have adaptive and positive effects, for instance, it can increase one's tolerance for future stressors but continued exposure to severe stress can have more negative and damaging effect on one's physiological and psychological functioning, for instance, it can lower one's efficiency, cause depletion of adaptive resources, resulting in severe personality and physical deterioration. Prolonged and chronic stress may contribute to high blood pressure, diabetes, heart disease, obesity and many other psycho -somatic ailments.

Activity 1

How Stressful Are You?

Rate yourself on a scale of 1 to 10

1.....2.....3.....4.....5.....6.....7.....8.....9.....10

Least Stress

Highest Stress

Higher the number more is the stress

- Identify your any three internal stressors such as fear of failure, losing job or lack of confidence etc.
- Identify your any three external stressors such as financial crisis, relationship difficulties or career choice etc.

5.4 STRESS MANAGEMENT

Avoiding stress is not an easy task but managing can be. Stress management can help in minimizing the harmful effects of stress, such as depression or hypertension.

At times you may feel helpless in cutting down your level of stress. The obligations aren't going to stop, there will never be more hours in the day for all your errands, and your responsibilities will always remain demanding. But there is a lot more you can control than

you think. Realization the charge of control is in your hand is the foundation of stress management. Managing stress is all about taking charge of your perceptions, thoughts, environment, emotions and the way in which you respond or react to the situation. Stress management begins with the identification of stressor. It is difficult to identify stressor as sometimes the source of stress is not obvious, and also because of human tendency to overlook one's own stress-inducing thoughts, feelings, and behaviors. For e.g., you might be worried about work deadline but it may be due to your procrastination which leads to job stress rather than actual job demand. Your stress level will remain out of your control until you take responsibility for the part you played in generating or sustaining it.

5.5 COPING WITH STRESS

Generally speaking, increased levels of stress threaten a person's well-being and automatically an individual takes some action to do away with stress and its harmful effects. What action an individual takes often depends on a complex interplay between internal factors like a person's frame of references, motives, competencies, or stress tolerance and external factors like one's social demands and expectations.

Ironically, some people are seen to create stress for themselves by engaging in maladaptive behaviors and cognitions rather than coping with it. Some individuals get caught in the vicious cycle of generating life events that in turn produce adjustment problems.

Individuals tend to cope with stress at three levels---at the biological or the physiological level (through the use of immunological defenses and damage-repair mechanisms), the psychological or the interpersonal level (through the use of learned coping patterns, self-defenses, and support from family and friends) and at the socio-cultural level (through group resources, such as labor unions, religious organizations, and law-enforcement agencies). The failure of coping efforts in any of these levels may seriously increase a person's vulnerability on other levels and also to other stressors.

In order to effectively cope with stress, individuals are seen to engage in various coping strategies. Coping strategies refer to various cognitive, behavioral and emotional ways people engage in to manage stress. They are dynamic processes which neither eliminate a stressor nor prevent its re-occurrence but increase one's tolerance of the situations; all the coping strategies an individual engages in are not equally effective.

Lazarus has given two kinds of coping strategies---emotion coping strategies and problem focused coping strategies.

5.5.1 Emotion focused coping: This involves the use of cognitive & behavior strategies to manage one's emotional reaction to stress. Cognitive strategies include changing one's appraisal of stressor and denying unpleasant information whereas, behavioral strategies include taking

social support and alcohol or psychoactive drug. Emotion focused coping primarily aims at distracting attention from unpleasant situations, stress evoking events and problems. An individual tends to make use of them when nothing significantly can be done to alter the stressor or stress evoking situation. This type of coping is also adopted when he or she lacks the skills or resource to meet demands posed by the stressors. Three types of emotion focused coping strategies that are frequently used are:

- **Escape avoidance coping** is when the individual physically/psychologically separates himself or herself from the stressors. For instance, to avoid the fear of failing one may either not give the exam or may engage in excessive sleeping.
- **Distancing** refers to psychological detachment of oneself from the stressor. For instance, over-weight people may stop thinking about their weight.
- **Position reappraisal** is Reinterpreting the situation to turn the negative aspects of the situation or the stressor into its positive aspects. For example, one may look at the loss of job as an opportunity to get something better.

5.5.2 Problem focused coping: This involves directly dealing with the stressful situation by either reducing its demands, or by increasing one's capacity to deal with it. Some problem focused coping strategies that are frequently used are:

- **Proactive coping (preventive coping)** is to anticipate potential stressors and act in advance to either prevent their occurrence or to reduce its impact. To achieve this goal one may make use of several mechanism like, improving problem solving skills, develop stronger social support network etc. for example, the fear of losing a job can be overcome by learning new skills and increasing social networking.
- **Combating coping is used** to escape from stressors that cannot be avoided. It involves the active use of Relaxation techniques meditation and eating nutritious diet.

Research has shown that women in general and individuals from a low socio-economic status are more likely to use emotion focused strategies. On the other hand men in general and people from a high socioeconomic status, make use of problem focused strategies. One reason behind this could be that women are seen to react emotionally more to stress than men and past experiences may create feelings of helplessness and hopelessness in individuals from a low socio-economic status. In fact, in dealing with various stressors, both the above mentioned coping strategies are often used together.

Activity 2

- Identify your coping style.
- Write the coping styles you engage in to deal with internal and external stressors.
- Do you think you can manage stress by using appropriate coping style?

5.6 Factors contributing in coping

In addition to the various coping strategies, certain factors that can affect one's ability to cope with stress are as follows:

- Hardiness is seen to be associated with better coping. It is seen that individuals high on hardiness are more likely to make use of problem focuses coping strategies.
- Resilience means to stand in the face of adversity and to cope with stressors effectively. Some individual's are seen to be more resilient than others. For instance, it is seen that some children have the ability to develop into competent and well -adjusted adults despite being raised in extremely disadvantaged environment. Resilience may be the result of child's personality trait, life experiences and the available social support. Resilient children tend to have well developed social, academic and creative skills.
- Explanatory style is another relevant factor in coping, it can be of two types namely, positive explanatory style and a negative explanatory style. Individuals who adopt a positive explanatory style tend to attribute outcomes always to a positive event such as one's personality, hard work etc. Individuals who adopt a negative explanatory style tend to attribute outcomes predominantly to a negative event, they feel that they are always surrounded by failures. Pessimists have a negative explanatory style and are vulnerable to experience negative emotions like depression, anger, anxiety and hostility. They are also likely to have suppressed immune systems. However, in contrast to them optimists have a positive explanatory style and are more likely to experience positive emotions and are likely to increase one's social, physical and cognitive resources. They are also likely to have healthy attitudes and healthy habits.
- Self- regulation is the ability to modulate ones thoughts, actions and emotions in most of the situations. Individuals who are self -regulated have better inter personal relations, as they can control their negative emotions in a better way. However too much of self control is not healthy as it leads to suppression of anger and may make an individual vulnerable to develop ulcers later in life.
- Repression is a defense mechanism adopted by some individuals who tend to repress or block the awareness of negative stress evoking events out of consciousness. It is unhealthy and may result in pathology.
- Learned helplessness is a phenomenon, in which after experiencing a series of negative uncontrolled events, the individual comes to an understanding that he is helpless in the face of adverse circumstances and hence does not make effort to overcome his difficulties even if they have opportunity to do so. People with this trait usually find themselves in pitiable situation and indulge in negative self talk.

Fig. 2 Learned Helplessness



Source: quora.com

The above picture demonstrates that how one believes that he is unable to control or change the situation, hence he does not even try to — even when opportunities for change become available.

Social support is the presence of adequate support of relatives or friends which acts as a buffer to stress. There are two hypotheses, namely buffering hypothesis and the direct effect hypothesis, which have been proposed to explain how social support reduces the negative effects of stress. According to the buffering hypotheses social support reduces stress by providing resources on the spot to cope with the stress effectively. People with good social support tend to ruminate less and this further minimizes the negative impact of the stressor on the individual. According to the direct effect hypotheses social support enhances the physical response to challenging situations. For examples, pressure of others may reduce sympathetic nervous system arousal and may decrease the release of Corticotrophin Release Hormone (CRH).

Individuals with better social skills tend to create stronger social network and are likely to receive more social support.

Self-Check Exercise 1

1. The body's physiological response to stress is... syndrome.
- 2... the ability to modulate ones thoughts, actions and emotions.
3. Stress caused by positive situations such as marriage, promotion etc. is.....
4. Lazarus has given... kinds of stress coping strategies.
5. Reinterpreting the situation to turn the negative aspects into its positive ones is

5.7 PREVENTING STRESS

Feeling of stress is like carrying a backpack that's becoming heavier by the minute. Stress can make our journey across life difficult. For coping with stress one need to restore the balance by reducing the intensity of stressors or increasing the ability to cope or both. Try using one of the four A's: avoid, alter, accept or adapt can help in preventing stress.

5.7.1 Avoid

Simply avoiding a stressor can reap the benefits of a lighter load. If a stressful situation needs to be addressed It is not healthy to avoid it, but there are number of stressors that you can eliminate by simply avoiding them. Few strategies that can be incorporated in avoiding stress are:-

- **Learn to say no-** Over burdened and under too much stress, you're more likely to feel run-down and possibly get sick. There is always a line between being foolish and being charitable. At a certain point when worthy requests isn't lessening saying no is the solution. It is not necessarily selfish turn. Saying no to new commitments is actually making you honour the existing obligations.
- **Taking control of surroundings-** If the news makes you feel anxious, take the control and turn off the TV. If traffic makes you tense, leave early for work or take a longer but less-traveled route. If going to the market is an unpleasant chore, online shopping can help.
- **Avoid people who bother you-** If a person is causing stress consistently in your life, put physical distance between the two of you. Limit the amount of time spent with such a person.
- **Ditch part of your to do list-** After analyzing your daily tasks and responsibilities label your to-do list with A's, B's and C's, according to importance. If you have got too much on your plate, scratch the C's from your list.

However, some problems can't be avoided. For those situations, try another technique.

5.7.2 Alter

If avoiding a stressful situation is not possible try to alter it.

- **Communicate your feelings rather than bottling them-** Remember to use -I statements in expressing your feelings such as "I feel stressed due to heavier workload. Is there something we can do to balance things out?"
- **Respectfully ask others to change their behavior-** And be willing to do the same. If small problems aren't resolved they often create larger ones. Be assertive in communicating concerns if something or someone is bothering you. For e.g. if you have an exam ahead but you got a chatty roommate say up front that you are preparing for exam in respectful manner. If you don't voice your feelings, resentment will build and the

stress will increase.

- **Manage your time-** All work and no leisure is a recipe of burnout. Create a balanced schedule, combine the tasks that are similar in nature. The reward of increased efficiency will be extra time.

5.7.3 Accept

Sometimes there is no choice but to accept things, such as the death of a loved one, a serious illness, or a national recession. In such cases, the best way to cope with stress is to accept things as they are. For those times try to:

- **Share your feelings-** You may not be able to change a frustrating situation. In such case schedule a break with an understanding friend or visit a therapist. Expressing what you are going through is cathartic and helps in relieving stress.
- **Forgiveness-** we live in an imperfect world in which people make mistakes. It takes energy to be angry. Letting go of anger and resentment helps in relieving stress. Forgiving may take practice, but by doing so you will free yourself from burning more negative energy.
- **Make constructive self-talk a habit-** When you're tired, it's easy to lose your objectivity. One negative thought will lead to another, and you'll soon have a mental avalanche in your head. Maintain a good attitude by shifting thoughts. Rather than saying, "'I'm terrible with money and will never be able to manage my finances," try this: "I made a financial error, but I'm a hell of a fighter." I'm sure I'll be able to get through it."Don't try to control the uncontrollable.
- Many things in life are beyond our control, particularly the behavior of other people. Rather than stressing out over them, focus on the things you can control such as the way you choose to react to problems.

5.7.4 Adapt

If you can't change the stressor, change yourself. Thinking you can't cope is one of the greatest stressors. Changing expectations and attitudes is a way to adapt to stressful situations and regain. That is why adapting can be helpful in dealing with stress.

- **Adjust your standards-** Redefine your success and stop striving for perfection. Perfectionism is a major source of avoidable stress. Set reasonable standards for yourself and others and you may operate with a little less guilt and frustration.
- **Reframe the problem-** Try looking at your situation from a positive perspective. Instead of feeling frustrated about a traffic jam, look at it as an opportunity to pause, listen to your favourite music, or enjoy some alone time.
- **Adopt a mantra.** Create a saying such as, "I can handle this," and mentally repeat it in tough situations.
- **Create an assets column-** Imagine all the things that bring joy in your life, such as

vacation, children, old neighbours and pets. Then call on that list when you're stressed. It will put serve as a reminder of life's joys.

- **Practice gratitude-** When you're feeling stressed, take a moment to think about all the things you're grateful for in your life, including your own good attributes and abilities. This straightforward approach will assist you in keeping things in perspective.
- **Look at the big picture.** Ask yourself, "Will this matter in a long run? Will it matter in a month a year or in five years?" The answer is often no. Realizing this makes a stressful situation seem less overwhelming.

The way you respond to stress, however, makes a big difference to your overall well-being.

5.8 TIPS TO REDUCE STRESS

- **Start a stress journal-** It is an easy way to identify stressor in daily life. Keep a record in your journal, each time you feel stressed. In your journal write about what is the cause behind your stress? How you felt about it? How you responded to the stressor to make yourself feel better? Stress journal will be helpful in identifying if you have healthy or unhealthy coping mechanism.
- Don't get so caught up in the hustle and bustle of life that you forget to take care of your own needs. Nurturing yourself is a necessity, not a luxury.
- Set aside relaxation time. Include rest and relaxation in your daily schedule. Don't allow other obligations to encroach. This is your time to take a break from all responsibilities and recharge your batteries.
- Connect with others. Spend time with positive people who enhance your life. A strong support system will buffer you from the negative effects of stress.
- Do something you enjoy every day. Make time for leisure activities that bring you joy, whether it be stargazing, playing the piano, or working on your bike.
- Keep your sense of humor. This includes the ability to laugh at yourself. The act of laughing helps your body fight stress in a number of ways.

5.9 RELAXATION TECHNIQUES TO REDUCE STRESS

You can control your stress levels with relaxation techniques that evoke the body's relaxation response, a state of restfulness that is the opposite of the stress response. Regularly practicing these techniques will build your physical and emotional resilience, heal your body, and boost your overall feelings of joy and equanimity.

- **Physical activity-** It plays an important role in reducing and preventing the effects of stress. Exercise regularly for at least 30 minutes daily, minimum of three times a week.
- **Diet-** Eat a healthy diet, be mindful of what to eat. Well-nourished bodies are better

prepared to cope with stress. Do not skip the first meal of the day i.e. breakfast, and keep your energy level up with balanced, nutritious meals throughout the day.

- Reduce caffeine and sugar- Avoid excessive intake of the temporary "highs" such as caffeine that often end in with a crash in mood and make you sleepless. Adequate sleep fuels your mind, as well as your body.
- Consuming alcohol or drugs may provide an easy escape from stress, but the relief is only temporary. Don't avoid or mask the issue at hand; deal with problems head on and with a clear mind.

Activity 3

Try Jacobson's Progressive Muscle Relaxation (JPMR)

Three-step process Spruill (Speech specialist) recommends:

1. Close your hands tightly to feel the tension. Hold for 5 seconds, and slowly allow the fingers to release one by one until they're completely relaxed.
2. Press your lips tightly together and hold for 5 seconds, feeling the tension. Slowly release. The lips should be completely relaxed and barely touching after the release.
3. Finally, press your tongue against the roof of your mouth for 5 seconds, and notice the tension. Slowly relax the tongue until it's sitting on the floor of the mouth and your jaws are slightly unclenched.

Activity Source: [healthline.com](https://www.healthline.com/health/progressive-muscle-relaxation)

Self-Check Exercise 2

1. What are the different strategies of coping with stress?

.....
.....
.....

2. Write about stress relieving techniques.

.....
.....

5.10 KEYWORDS

Distress: refers to stress caused by negative situations such as death, divorce, loss of a job etc.).

Resilience: Resilience means to stand in the face of adversity and to cope with stressors effectively. Some individual's are seen to be more resilient than others. Resilience may be the result of child's personality trait, life experiences and the available social support. Resilient children tend to have well developed social, academic and creative skills.

Repression: It is a defense mechanism adopted by some individuals who tend to repress or block the awareness of negative stress evoking events out of consciousness. It is unhealthy and may result in pathology.

Stress tolerance: The term stress tolerance refers to a person's ability to withstand stress without becoming seriously impaired. The amount of stress one can handle without getting overwhelmed is what psychologists call as stress tolerance.

Escape avoidance: Escape avoidance coping is when the individual physically/psychologically separates himself or herself from the stressors. For instance, to avoid the fear of failing one may either not give the exam or may engage in excessive sleeping.

5.11 MODEL ANSWERS

Self check exercise 1

1. Flight- fight
2. Self regulation
3. Eustress
4. Two
5. Position reappraisal

Self check exercise 2

In order to effectively cope with stress, individuals are seen to engage in various coping strategies. Coping strategies refer to various cognitive, behavioral and emotional ways people

engage in to manage stress. They are dynamic processes which neither eliminate a stressor nor prevent its re-occurrence but increase one's tolerance of the situations, all the coping strategies an individual engages in are not equally effective.

Lazarus has given two kinds of coping strategies---emotion coping strategies and problem focused coping strategies.

Emotion focused coping: This involves the use of cognitive & behavior strategies to manage one's emotional reaction to stress. Cognitive strategies include changing one's appraisal of stressor and denying unpleasant information whereas, behavioral strategies include taking social support and alcohol or psychoactive drug. Emotion focused coping primarily aims at distracting attention from unpleasant situations, stress evoking events and problems. An individual tends to make use of them when nothing significantly can be done to alter the stressor or stress evoking situation. This type of coping is also adopted when he or she lacks the skills or resource to meet demands posed by the stressors. Three types of emotion focused coping strategies that are frequently used are:

- Escape avoidance coping is when the individual physically/psychologically separates himself or herself from the stressors. For instance, to avoid the fear of failing one may either not give the exam or may engage in excessive sleeping.
- Distancing refers to psychological detachment of oneself from the stressor. For instance, over-weight people may stop thinking about their weight.
- Position reappraisal is Reinterpreting the situation to turn the negative aspects of the situation or the stressor into its positive aspects. For example, one may look at the loss of job as an opportunity to get something better.

Problem focused coping involves directly dealing with the stressful situation by either reducing its demands, or by increasing one's capacity to deal with it. Three types of problem focused coping strategies that are frequently used are :

- Proactive coping (preventive coping) is to anticipate potential stressors and act in advance to either prevent their occurrence or to reduce its impact. To achieve this goal one may make use of several mechanism like, improving problem solving skills, develop stronger social support network etc. for example, the fear of losing a job can be overcome by learning new skills and increasing social networking.
- Combating coping is used to escape from stressors that cannot be avoided. It involves the active use of Relaxation techniques meditation and eating nutritious diet.

Ans 2. Physical activity- It plays an important role in reducing and preventing the effects of stress. Exercise regularly for at least 30 minutes daily, minimum of three times a week.

- Diet- Eat a healthy diet, be mindful of what to eat. Well-nourished bodies are better prepared to cope with stress. Do not skip the first meal of the day i.e. breakfast, and keep your energy level up with balanced, nutritious meals throughout the day.
- Reduce caffeine and sugar- Avoid excessive intake of the temporary "highs" such as caffeine that often end in with a crash in mood and make you sleepless. Adequate sleep fuels your mind, as well as your body.
- Consuming alcohol or drugs may provide an easy escape from stress, but the relief is only temporary. Don't avoid or mask the issue at hand; deal with problems head on and with a clear mind.

Ans. 3. The term stress was coined by Cannon (1932) and he believed it to underlie all medical problems. He termed the body's physiological response to stress as a flight-fight syndrome. In fight-flight syndrome, the epinephrine, cortisol and other hormones prepare the body to defend against stress by attacking or by running away from the stressful situation. He regarded this response as highly functional and adaptive in nature. Different physiological mechanisms that seem to play a role in stress are brain; nervous system and the endocrine system. When the sympathetic nervous system senses stress (Selye's alarm reaction) it triggers the release of adrenaline resulting into accelerated heart rate and respiration. Simultaneously, hypothalamus causes the pituitary to release adrenocorticotrophic hormone (ACTH) which further triggers the release of Cortisol. Cortisol boosts the energy and helps the individual to deal with the stressful situation by flight or fight reaction but sustained elevated levels weaken the immune system.

Stress is usually experienced in terms of three components, that is, emotion (such as anxiety or fear), thought (such as pessimistic self-talk) and behavior (such as smoking). All situations, positive and negative, that require adjustment can be stressful. Thus, according to Hans Selye (1956), there are two kinds of stress---**Eustress** (refers to stress caused by positive situations such as marriage, promotion etc.) and **Distress** (refers to stress caused by negative situations such as death, divorce, loss of a job etc.). Though both eustress and distress tax an individual's coping skill and resources but distress has more potential to cause damage.

Stress is considered to be subjective in nature as what may be stressful for one may not be for the other. Stress can be caused due to number of reasons such as financial difficulties, health issues, personal conflicts and work issues all carry force or pressure on a person's that deemed as stress. If the source of stress originates from the environment it is known as external stressor but most often it emanates from within a person's head in the form of worry, anxiousness, regret, discouragement and low confidence and self-esteem known as internal stressor.

The severity of stress is assessed by the degree to which it disrupts functioning. Various factors that predispose a person to stress have been categorized below based on the nature of stressor, person's perception and tolerance of stress.

5.12 OBJECTIVES (TIME MANAGEMENT)

After reading this chapter you will be able to

- define time management
- understand the importance of time management
- know the benefits of time management
- explain various styles of managing time

5.13 INTRODUCTION

Managing your time lowers your stress level and boosts your self-confidence. Taking charge of your time will help you feel less stressed and anxious. Meeting tight deadlines and managing your time are examples of good time management. Managing your time prevents overwhelm and guarantees that you are not constantly tired. You will be more creative with the time you have if you handle it well. Furthermore, stress reduction leads to a rise in productivity and makes you successful in both professional and personal front.

In this lesson we will study about what time management actually is? We will focus on the benefits of time management and introduce various styles to manage it effectively.

5.14 TIME MANAGEMENT

The process of planning and controlling how much time to spend on particular tasks is known as time management. Good time management allows a person to do more in less time, reduces tension, and contributes to professional success. Time management means making optimal use of the available time to increase productivity. It is the process of organizing and planning tasks and exercising conscious control of the time spent on specific activities to work smarter than harder to get more done in less time. Being busy isn't the same as being productive, despite working the entire day, many people can't complete their daily tasks. Here comes in the role of time management strategies.

5.14.1 Culture and Time Management

Cultural differences influence time management. A linear time view (conceiving time as flowing from one moment to the other) is predominant in America along with most North- East

European countries, such as Germany, Switzerland, and England. People in these cultures usually value productive time management and avoid decisions that would waste time later on. This cultural view leads to a better focus on accomplishing a singular task and hence, more productive time management.

Another time view is multi-active time view. Cultures that follow this trend believe that the more activities or tasks being done at once the better. People in this culture prefer to do multiple tasks at the same time. A multi-active time view is more popular in most Southern European countries such as Spain, Portugal, and Italy. In these cultures, people often tend to spend time on things deemed to be important. They often pay little attention on how long it takes to finish the task, rather focus is on having high quality results.

Another time view type is a cyclical time view. In cultures that follow cyclic time view time is not seen as wasted because it will always come back later, hence there is an unlimited amount of it. It is predominant throughout most countries in Asia, including Japan and China. Most people in cyclical cultures spend more time thinking about decisions and the impact they will have, before acting on their plans.

5.15 BENEFITS OF TIME MANAGEMENT

“Time and Tide Wait for None”

Geoffrey Chaucer

This is the phrase everyone is familiar with since school days. The importance of time in life is well cited, but many of us fail to get most out of it. In order to use time in more productive way it is essential to understand how important it is. Before we learn different time management styles, let's take a look at following advantages of time management:-

1. Reduces Procrastination

“I will do it later” is an excuse that we all have made at some point of time. The meaning of time management is not just about doing more in less time but also to reduce the urge to procrastinate. Time management lets you control your time. It will help you in focusing at what you want to complete in given time frame. As a result it reduces procrastination.

2. Improves Work-Life Balance

Effective time management results in finishing work early which eventually means having more time for self, personal goals and interpersonal commitments. It also impacts work and productivity in a positive way — the happier you are, the more productive you become.

3. Prevents Burnout

Taking some time off work, boost up mental energy level and avoids the possibility of burnout. It also enables a person to focus better and enhance problem-solving capabilities.

4. Reduces Stress and Anxiety

Overwhelmed with too much on plate can create stress and make oneself feel anxious. This not only hampers productivity but also the overall health. Planning tasks and prioritizing schedule reduces stress.

5. Develops Sense of Responsibility

It is true that time and tide waits for none. Each of us has got twenty four hours a day. Realizing the importance of time develops a sense of responsibility to reap more benefits out of limited resources.

6. Never miss a deadline

There are number of time bound tasks allocated to students or in work life. Effective time management helps you allocate a time period to a particular task and ensure that they are completed on time. This helps to stay sharp on the deadlines, and manage workload in the best possible way. Time boxing tasks and goals allow you to deliver the assigned work on time.

7. More time freedom

Techniques for time management mean that you have more time to do the things that matter most to you. Good time management means that you spend your time on the most important things. As a result, you'll have more time in your hands. When you have more time in your hands, you will have more freedom to use it in the way you want. You'll have more time to spend with your family if you have more time independence.

8. Things have become much simpler and faster.

Things become quick and easy when you have good time management skills. You become more optimistic and competent when you take care of your time, and tasks become easier. You will feel clear and optimistic about how to use your time if you practice good time management. As a result, you devote your time and effort to achieving the outcomes and outcomes you desire.

9. Increased vitality

One of the most significant advantages of time management is increased energy and motivation. Working longer and harder will deplete your energy levels, leaving you exhausted all of the time. You can better handle your resources and efficiency levels if you have good time management skills. Greater energy is one of the most significant advantages of time management.

10. Punctual and disciplined

As a result of successful time management, one learns to function only when it is truly necessary. Individuals should prepare a –TASK PLAN– or a –TO DO– List at the start of the day to jot down tasks that need to be completed in a given day according to their value and urgency against the various time slots allocated to each activity. At work, a Task Plan provides individuals with a sense of direction. A person understands how his day will unfold and works accordingly, resulting in improved productivity.

5.16 TIME MANAGEMENT TECHNIQUES

As we have discussed above the ample benefits of managing time, but still most people struggle at managing time. This can be due to lack of knowledge of how to do it. Following section will provide brief information about various techniques of time management. These techniques will provide a way to use time management skills.

5.16.1 ABC analysis

This technique is used in business management. It involves categorization of large data into groups. Activities are ranked by :-

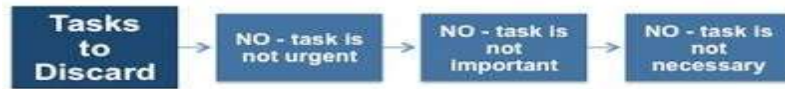
A- Tasks that are urgent and important (very important)

B- Tasks that are important but not urgent (important)

C- Tasks that are unimportant but urgent (less important)The goal of this analysis is to focus more on important things by differentiating between very important, important and less important tasks. Discard the tasks from your workload that does not fit in any of the above mentioned lists.

Fig. 1 Pictorial representation of ABC analysis





Source: <http://www.free-management-ebooks.com/>

5.16.2 The Pareto Principle (The 80:20 Rule) in Time Management

According to the Pareto principle 80% of the work can be done in 20% of the time. For time management, Pareto principle means that only 20% of the tasks contribute to 80% of the total success. It is an effective method for setting priorities and developing plans for work. In order to apply the Pareto Principle, it is essential to assess strengths and weaknesses and recognize the factors that will help to reap success. Examples of Pareto Principle in meetings, 80% of the decisions are usually made in 20% of the time. In daily life we usually wear only 20% of the clothes we own.

5.16.3 Eisenhower Method

In Eisenhower principle the tasks are divided into important, unimportant, urgent and not urgent. After division the tasks are placed in quadrant matrix (given below) also known as ‘Eisenhower box’ or ‘Eisenhower Decision Matrix’. The quadrant is filled as follows:-

1st quadrant- important and urgent task (deadlines, crises etc.)

2nd quadrant- important but not urgent task (planning, preparation etc.)

3rd quadrant- not important but urgent (meetings, interruptions etc.)

4th quadrant- neither important nor urgent (pleasant activities, time wasters etc.)

Fig.1- The Eisenhower Decision Matrix

The Eisenhower Decision Matrix



Source: luxafor.com

5.16.4 POSEC method

POSEC is an acronym to Prioritize, Organize, Streamline, Economize and Contribute. It is one of the popular methods of time management in personal life. It is a hierarchical model. Things that are more important are placed on the top while the least important at the base of the hierarchy.

Prioritizing- first things first, defining life by goals

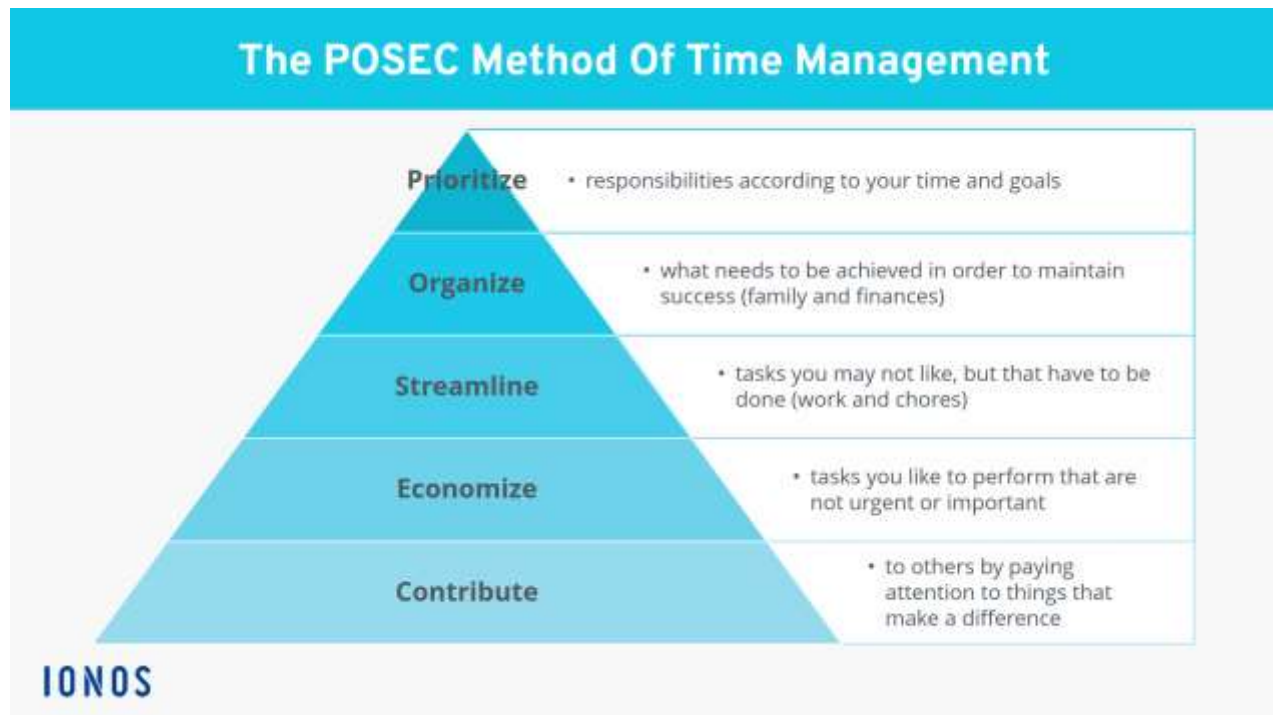
Organizing- things that has be done regularly in order to succeed (finances, security etc.)

Streamline- things you don't like to do but must do (work and chores)

Economize- things that are not urgent but you should do (pastime, recreation etc.)

Contribute- to remaining things that make a difference (social obligations etc.)

Fig. 2 POSEC Model



Source: Ionos.com

5.16.5 ALPEN Method

ALPEN is an acronym from German language.

- A (Aufgaben)- tasks to do
- L (Lange)- length of time
- P (Pufferzeiten)- plan buffer time
- E (Entscheidungen)- establish priorities
- N (Nachkontrolle)- notation

It helps in daily planning as follows:-

A: tasks list

L: time needed for each task

P: reserve at least 40% buffer time, plan only 60% of the work day
E: establish priorities (ABC analysis)
N: record results and accuracy of the plan

Activity 1

At the end of the day note down what distracted you from your goal. It could be anything a phone call, your thoughts, day dreaming, unwanted visitors etc. Do it for a week; identify your distracters and remove them.

Self-Check Exercise 1

Fill in the blanks

1. The most important task is categorized in..... list.
2. The..... principle suggested the time division into 80- 20 ratio.
3. The..... is the hierarchical model of time management.
4. The method that can be used to differentiate between important and less important tasks.....

5.17 TIME MANAGEMENT STYLES

Equipped with different techniques to manage time, next comes the role of time management styles. These are the distinctive features that characterize an individual's personal disposition of managing time.

Six common time management styles are:-

5.17.1. Hopper

This time management style is similar as feeling busy. **Hoppers** are people who tend to work on multiple tasks at once. They switch from one task to another before finishing. They are involved in many different things but isn't usually productive. As those different tasks start to pile up, it can become difficult to stay organized, meet deadlines, and follow through.

A. Advantages

People who follow hopper style of time management like to stay busy and can do several different things at the same time. It's easy for them to switch between tasks.

B. Disadvantages

Multitasking is not a very productive way of working, multi taskers often find it difficult to stay organized, complete specific tasks, and meet deadlines.

C. Tips to Increase Productivity

- Eliminate distractions while working.
- Focus working on only two or three tasks.
- Use the Pomodoro technique to work in short bursts.

Pomodoro technique is a time management technique developed by Francesco Cirillo in the late 1980s. It involves usage of timer to break down work into intervals, traditionally 25 minutes in length, separated by short breaks. A *pomodoro* is the interval of time spent working with rest of 3 to 5 minutes between consecutive pomodoros. Four pomodoros form a set. A longer (15–30 minute) rest is taken between sets. A goal of the technique is to reduce the impact of internal and external interruptions.

5.17.2 Hyper focus

This style is the opposite of the hopper. People who follows **hyper focus** style of time management instead of constantly moving between tasks gets deeply involved in the task at hand until it's done. This results in producing high-quality work. These people usually feel like they can't make it through their daily to-do list hence, get stressed.

A. Advantages

People often produce high-quality work with meticulous attention to detail.

B. Disadvantages

Focusing on only one task, can lead to failure to meet deadlines and hence, caught stress. It also lack flexibility, as it's challenging for them to move on from one task to another.

C. Tips to Increase Productivity

- People should set reminders to switch between tasks.

- Track the amount of time allocated to different tasks.
- Use backward planning strategy to make realistic predictions of the time taken to complete tasks.

In recent years, a method known as backwards planning has been receiving a lot of attention. It is a process of beginning from end goal and then works your way backwards to develop a plan of action. It helps you know when you actually need to get started, and also gives you timing points along the way to let you know if you need to adjust your plan in order to get it done when you need to.

An example of backward planning in daily life:

- The meeting is scheduled to be held at 3:00 pm.
- You need to pick up the grocery, which is fifteen minutes from the school.
- It will take around ten minutes in the store, so you need to arrive there at 2:35 pm.
- Before, that you have appointment with doctor at a local clinic, and take half an hour for check-up.
- The clinic is five minutes away from the grocery shop, so you need to arrive there at 2 pm.
- Finally, the clinic is twenty minutes from your house, so you need to leave home at 1:35 pm in order to reach meeting on time.

5.17.3 Cliffhanger

A person with cliffhanger style works best under pressure. Adrenaline rush gets as the clock ticks closer to the deadline moves the person forward. People with such time management style remains calm initially and works day in and out when deadline is closer. This can lead to rushing to finish a project, producing lower-quality work, and elevating your stress levels.

A. Advantages

People with Cliffhanger management style can withstand stressful work conditions and are productive even under pressure.

B. Disadvantages

The work performed under pressure is generally of low quality. People with this style usually tend to procrastinate.

C. Tips to Increase Productivity

- Schedule earlier dates for the urgent tasks.
- Prioritizing tasks is the way to avoid a last-minute rush.

5.17.4. Big Picture

People with big picture time management have a bird's eye view of the tasks in their to do list. They spend more time in planning over paying attention to the fine details necessary to execute plan. They are the ones who quickly spot smart solutions to problems.

A. Advantages

Since people in this category are quick thinkers and spontaneous problem solvers. They often suggest creative ideas and novel strategies for different problems.

B. Disadvantages

The most significant disadvantage with this style is they often have trouble when it comes to details.

C. Tips to Increase Productivity

- Collaborating with more detail-focused individuals like the perfectionists can help them achieve a balance.

Activity

Take a jigsaw puzzle and try to solve it without the sample picture in hand. Jot down the difficulties you had in solving the puzzle. The activity helps in identifying benefits of big picture in managing time

5.17.5 Perfectionist

As the name suggests a person with perfectionist time management spends too much time on details and engages in making everything perfect. They may miss a deadline, as they maintain very high standards of work. They are usually too involve in any task hence, feel burdened.

A. Advantages

These people produce very high-quality work.

They are good in prioritizing tasks and saying no to work wherever necessary.

B. Disadvantages

They often miss deadlines in the pursuit of trying to make everything perfect by focusing too much on details.

They usually fail to see with the larger vision.

C. Tips to Increase Productivity

- Should take on fewer tasks at a time.
- Collaborate with a team member to finish tasks

5.17.6 Impulsive

This style of time management means working without plan. They do not follow the idea of rigidly fixed schedule, setting up a routine or creating a task list. They work well in unexpected spontaneous situations.

A. Advantages

As they are great improvisers, people tend to operate well in the face of unexpected challenges,

B. Disadvantages

The impulsive time manager very often struggles with deadlines and also fails in organizing their day to day work.

C. Tips to Increase Productivity

These people should:

- Create schedules, and set reminders of their goals.

- Consider the larger projects, review routines and responsibilities before making a decision.
- Should design a flexible but clear schedule.

5.18 TIPS FOR BETTER TIME MANAGEMENT:-

Set goals correctly- like it should be specific, realistic and relevant.

Priorities wisely- identify the most important and urgent task to do.

Set time limit- set a definite time period for each task and tries to finish it in the set limit.

Take a break- take a small break; freshen your mind up before jumping to another task.

Identify distracters- identify the distracters and remove them.

Use a to do list- it will help in planning the day and saving time for more productive goals.

Change in schedule- change your schedules frequently to avoid boredom and reduce procrastination.

Be strict- if you plan your day ahead, be strict with your schedule.

Self Check Exercise 2

1. What are the various benefits of time management?

.....

2. Describe the Hyperfocus style of time management.

.....

3. What is Eisenhower technique?

.....

5.19 SUMMARY

Stress can be defined as any change that causes physical, emotional, or psychological pressure. Small amounts of stress may be beneficial, as it plays a role in motivation. However,

excessive stress increases the risk of strokes, heart attacks, ulcers, depression and hypertension. There are individual differences in response to a stressful situation. Certain factors that predispose a person to stress are nature of stressor, person's perception and tolerance of stress. Stress can't be avoided but can be managed. Managing stress is all about taking charge of your perceptions, thoughts, environment, emotions and the way in which you respond or react to the situation. You can control your stress levels with relaxation techniques that evoke the body's relaxation response, a state of restfulness that is the opposite of the stress response. Relaxation techniques like breathing exercise, walk, visual imagery and good sleep can make a person more adaptive and resilient.

Time management means making optimal use of the available time to increase productivity. It is the process of organizing and planning tasks and exercising conscious control of the time spent on specific activities to work smarter than harder to get more done in less time. Managing time can be beneficial in number of ways such as it lowers the stress, anxiety and increases productivity. To be successful in both personal and professional front managing time is an essential prerequisite. Different strategies of manage time have their own pros and cons. Be wise while choosing the right strategy for yourself.

5.20 KEYWORDS

Time management: Time management means making optimal use of the available time to increase productivity. It is the process of organizing and planning tasks and exercising conscious control of the time spent on specific activities to work smarter than harder to get more done in less time.

Cyclic Time view: In cyclic time view; it is believed that the time is not wasted because it will always come back later, hence there is an unlimited amount of time we have. It is predominant throughout most countries in Asia, including Japan and China.

Procrastination: Procrastination is the practice of deferring or postponing assignments until the last possible moment or after the deadline has passed. Procrastination is described as a "type of self-regulation failure characterized by the unreasonable delay of tasks despite potentially negative consequences.

Cliff hanger: A person with cliff hanger style works best under pressure. Adrenaline rush gets as the clock ticks closer to the deadline moves the person forward. People with such time management style remains calm initially and works day in and out when deadline is closer.

Pomodoro technique: It is a time management technique developed by Francesco Cirillo in the late 1980s. It involves usage of timer to break down work into intervals, traditionally 25 minutes in length, separated by short breaks.

5.21 MODEL ANSWERS

Self check exercise 1

1. A list 2. Pareto 3. POSEC 4. ABC analysis 5. Time management

Self check exercise 2

1. Benefits of time management

1. Reduces Procrastination

“I will do it later” is an excuse that we all have made at some point of time. The meaning of time management is not just about doing more in less time but also to reduce the urge to procrastinate. Time management lets you control your time. It will help you in focusing at what you want to complete in given time frame. As a result it reduces procrastination.

2. Improves Work-Life Balance

Effective time management results in finishing work early which eventually means having more time for self, personal goals and interpersonal commitments. It also impacts work and productivity in a positive way — the happier you are, the more productive you become.

3. Prevents Burnout

Taking some time off work, boost up mental energy level and avoids the possibility of burnout. It also enables a person to focus better and enhance problem-solving capabilities.

4. Reduces Stress and Anxiety

Overwhelmed with too much on plate can create stress and make oneself feel anxious. This not only hampers productivity but also the overall health. Planning tasks and prioritizing schedule reduces stress.

5. Develops Sense of Responsibility

It is true that time and tide waits for none. Each of us has got twenty four hours a day. Realizing the importance of time develops a sense of responsibility to reap more benefits out of limited resources.

2. Hyper focus Style of Time Management

This style is the opposite of the hopper. People who follows hyperfocus style of time management instead of constantly moving between tasks gets deeply involved in the task at hand

until it's done. This results in producing high-quality work. These people usually feel like they can't make it through their daily to-do list hence, get stressed.

A. Advantages

People often produce high-quality work with meticulous attention to detail.

B. Disadvantages

Focusing on only one task, can lead to failure to meet deadlines and hence, caught stress. It also lack flexibility, as it's challenging for them to move on from one task to another.

C. Tips to Increase Productivity

- People should set reminders to switch between tasks.
- Track the amount of time allocated to different tasks.
- Use backward planning strategy to make realistic predictions of the time taken to complete tasks.

In recent years, a method known as backwards planning has been receiving a lot of attention. It is a process of beginning from end goal and then works your way backwards to develop a plan of action. It helps you know when you actually need to get started, and also gives you timing points along the way to let you know if you need to adjust your plan in order to *get it done* when you need to.

An example of backward planning in daily life:

- The meeting is scheduled to be held at 3:00 pm.
- You need to pick up the grocery, which is fifteen minutes from the school.
- It will take around ten minutes in the store, so you need to arrive there at 2:35 pm.
- Before, that you have appointment with doctor at a local clinic, and take half an hour for checkup.
- The clinic is five minutes away from the grocery shop, so you need to arrive there at 2 pm.
- Finally, the clinic is twenty minutes from your house, so you need to leave home at 1:35 pm in order to reach meeting on time.

3. Eisenhower Method

In Eisenhower principle the tasks are divided into important, unimportant, urgent and not urgent. After division the tasks are placed in quadrant matrix (given below) also known as ‘Eisenhower box’ or ‘Eisenhower Decision Matrix’. The quadrant is filled as follows:-

1st quadrant- important and urgent task (deadlines, crises etc.)

2nd quadrant- important but not urgent task (planning, preparation etc.)

3rd quadrant- not important but urgent (meetings, interruptions etc.)

4th quadrant- neither important nor urgent (pleasant activities, time wasters etc.)

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5.23 QUESTIONS FOR PRACTICE

1. Define stress. How can it be managed effectively?
2. What can be the harmful consequences of stress?
3. Discuss the factors that affect coping.
4. What are the relaxation techniques to reduce stress?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

SKILL ENHANCEMENT COURSE (SEC): SOFT SKILLS

UNIT-6: INTERVIEW SKILLS

STRUCTURE

- 6.0 Objectives**
- 6.1 Introduction**
- 6.2 Definition**
- 6.3 Objective of an Interview**
- 6.4 Interviewer**
 - 6.4.1 Qualities of a Good Interviewer**
- 6.5 Interviewee**
 - 6.5.1 Traits an Interviewee must possess**
- 6.6 Types of Interview**
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 - 6.6.5 One-on-one Interview**
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 - 6.7.3 After the Interview**
- 6.8 Additional Tips for Success**
- 6.9 Summary**
- 6.10 Suggested Readings**
- 6.11 List of Important Questions**

6.0 OBJECTIVES

A careful reading of this unit will help you in understanding:

- the meaning, definition, and objective of an Interview,
- the difference between an Interviewer and an Interviewee,
- various interview techniques employed by the recruiters and
- the things an interviewee must keep in mind before, during and after the interview.



6.1 INTRODUCTION- WHAT IS AN INTERVIEW?

An interview can be viewed as a face-to-face verbal exchange between two persons- Interviewer and Interviewee. The interviewer aims to elicit information from the interviewee by asking certain questions. Outwardly, it may seem to be merely a conversation but it has a specific purpose. It is a selection device and is often considered a standardized test of intelligence on the basis of which an individual got employment in an organization. In the interview, the interviewer asks questions not only to assess the knowledge of the interviewee but also to obtain information related to his attitude and qualities. It is a two-way communication process in which one starts the conversation and the other responds. It provides an opportunity to the interviewer to interact with a candidate and to evaluate from his/her experience, skills, knowledge, and behavior the things which cannot be judged merely from the resume. It enables the interviewer to determine whether an interviewee's skills, experience, and personality meet the requirements of the job.

6.2 DEFINITIONS

According to Gary Dessler, –An interview is a procedure designed to obtain information from a person's oral response to oral inquiries.¶

According to Thill and Bovee, –An interview is any planned conversation with a specific purpose involving two or more people.¶

According to Dr. S. M. Amunuzzaman, –Interview is a very systematic method by which a person enters deeply into the life of even a stranger and can bring out needed information and data for the research purpose.¶

6.3 OBJECTIVES OF AN INTERVIEW:

The objectives of an interview can vary according to its purpose. The objective of a job interview is to recognize and choose an applicant whose range of abilities and practices match what is required for a specific job and whose character, interests, and qualities match the culture and mission of the association. During the interview, an interviewer tries to find out whether the candidate has the potential to do a certain job effectively and with this motive, a range of questions are asked and those who present themselves differently and effectively get an opportunity to serve. In research, the objective of an interview is to collect the data in order to prove a hypothesis. The collected information can be related to health, nutrition, problems of past and present, future expectations, and so on, depending upon the type of information is required for particular research.

6.4 Interviewer:



An Interviewer is a subject matter expert who aspires to understand the respondent's opinion with the help of a series of questions. The interviewer is the one who recruits the candidate on the basis of his performance. He tries to elicit as much information from the candidate as he can in order to choose the best applicant. The number of interviewers can vary according to the type of the interview.

6.4.1 Qualities of a Good Interviewer:

1. An Interviewer must have complete knowledge about the nature and requirements of the job as the lack of adequate knowledge can be resulted in the selection of the wrong candidate.
2. He or she must have experience and maturity as these two qualities help a person in passing judgment free from biases and based on logic and reason.

3. Proper control of anger, aggression, and arrogance is also an important trait of a successful interviewer. Such an interviewer would not react to any comment made by the candidate.
4. He must be able to communicate in a way the respondent can understand.
5. He must be a good and patient listener. It will help him in doing a better evaluation. Those who talk much often fails to focus on the important points mentioned by the candidates.
6. He must make the candidate comfortable in order to elicit the required information.
7. He must be able to see through the masquerade and focus on the actual points.
8. He must have the ability to identify uniqueness. Every applicant possesses different types of unique traits. A successful interviewer identifies the best combination for a particular job.
9. An extrovert behavior makes an individual friendly, frank and open. This quality of an interviewer can help him in asking any question and in transforming the otherwise formal and stressful interview into just a conversation.
10. An empathetic attitude and stable personality can also work wonders as it will relieve the candidate's anxiety and nervousness.

6.5 Interviewee



A person who applies for a certain position and in order to get that position answers the questions in an interview is called an interviewee. The interviewee is assessed by the interviewer on the basis of his verbal and non-verbal communication skills. He tries his best to impress the recruiter as the recruitment depends upon his performance only. In research, an interviewee can be a person who helps the interviewer by providing him the information he is asking for. The objective of such an interview is not recruitment but the exchange of information.

6.5.1 Traits an Interviewee must Possess:

1. He must have good communication skills so that responses can be articulated in the best manner.
2. He must be a good listener. Interrupting the interviewer shows overconfidence and disrespect. He must listen first and then answers clearly, concisely, and correctly.

3. A candidate who is flexible enough to adapt to the changing conditions is always welcomed by the employer so the willingness to be flexible and an eagerness to be adaptable can prove rewarding.
4. A cooperative individual with an ability to get along with his co-workers is wanted everywhere. The interviewee must demonstrate such traits by giving tangible examples while answering the questions.
5. Positive thinking and confidence are the most important ingredient for a successful Interview. A positive attitude helps in dealing with any kind of problem and an expert interviewer can easily identify the lack of these traits through the actions and posture of the candidate.
6. Transparency and truthfulness are two pillars that enhance the demeanor. The interviewee can let his personality speak for itself by being who he really is.

Check your Progress 1

1. An Interview is a verbal exchange between whom?
2. What is the objective of an interview in research?
3. What are the most important ingredients of an interviewee's personality?

State True or False:

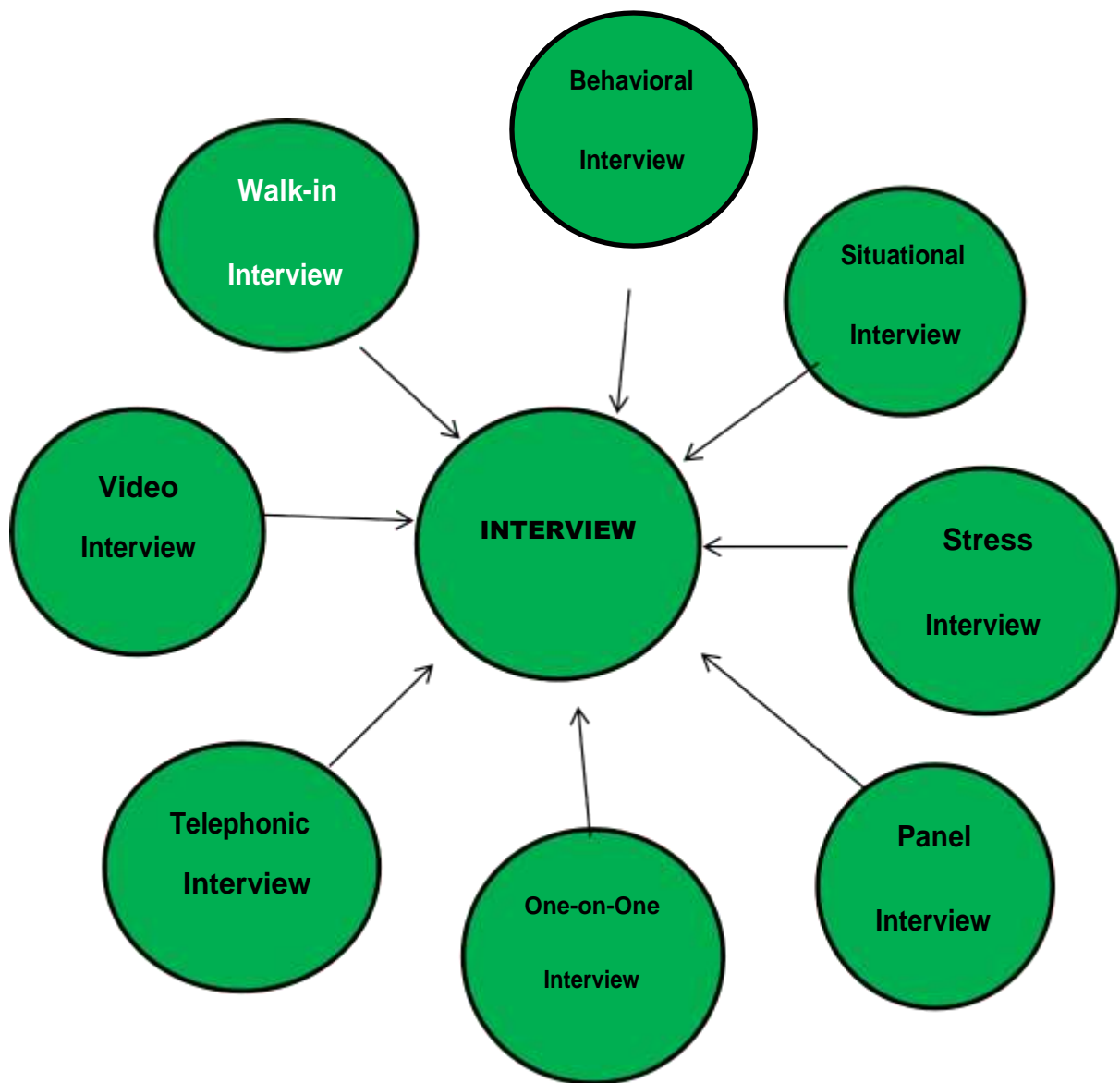
- i) An interviewer need not be a subject expert. _____
- ii) Patient listening is a trait which is common to both an interviewer and an interviewee. _____
- iii) Transparency and truthfulness are superfluous things. _____
- iv) To elicit necessary information is the goal of an interviewer. _____
- v) A person being interviewed is called an interviewer. _____

6.6 TYPES OF INTERVIEW

The interview is a process in which needed information is exchanged verbally in a face-to-face situation between an interviewer and interviewee. It can be classified into –**Structured** and –**Unstructured** interviews. An interview in which everything is properly structured and a particular set of predetermined questions are asked is called a **Structured Interview**. All the candidates are generally asked the same questions which ultimately help in comparing their answers and selecting the suitable candidate. This type of interview is more formal. However, it has some disadvantages as it comprises the risk of the leaking out of questions which means candidates can come prepared beforehand. An **Unstructured Interview**, on the other hand, does not follow any predetermined pattern; questions are not decided beforehand rather an interviewer asks the questions that come to his/her mind on the spot. This type of interview is generally informal, open-minded, and friendly. It helps in reducing the stress among the candidates but it

contains the possibility to wander off the subject and may take more time than a structured interview.

There are various techniques by which suitable candidates can be selected. Most of these techniques fall under the categories of Structured Interviews.



6.6.1 Behavioral Interview

A kind of structured interview in which questions are generally pre-designed to probe the interviewee's past behavior in specific situations. The interviewees are judged on the basis of their past behavior in certain situations that may emerge even in the future. In behavioral

interviews, questions are pointed, probing, and specific, and candidates are asked to provide specific examples from their past experiences, demonstrating their behavior, knowledge, skills, and abilities how they dealt with certain issues. The interviewee's answers to such questions reveal their actual level of experience and potential to handle similar situations in the future. The questions in behavioral interviews are often structured using the STAR (Situation, Task, Action, Results) model. For example: What was the situation that the candidate faced? Which task he had to accomplish? What were the actions taken by the candidate? And what were the results of the action taken by him?

6.6.2 Situational Interview

Situational interviews are conducted in order to judge the candidate's behavior or response in a particular situation. A hypothetical situation is given to the interviewees and they have to describe how they would react under those situations. The difference between a situational interview and a behavioral interview is that in a behavioral interview the focus is on the past action or experience of the candidate while in the situational interview one has to answer by putting oneself in an imaginary situation. Most of the questions in such interviews are related to problem-solving. Such questions often make the candidates nervous as anticipation is harder and they go off-topic, so it is important for the interviewee not to ramble and to demonstrate his qualities like the presence of mind, confidence, instinct, and patience as these type of interviews are aimed at judging these qualities only. These questions have the potential to make the candidate drop his interview script or ready-made material and think on his own.

6.6.3 Stress Interview

An interview in which the interviewer tries to make the interviewee uncomfortable by asking him certain questions rudely in order to judge his stress tolerance is called a Stress interview. Anxiety or stress is intentionally created in such interviews to determine how an interviewee will respond to stress on the job. The interviewee's response under stress determines his ability to handle situations. The interviewee is made to feel that he is not wanted for a certain position as he seems to be incompetent. A few brainteaser questions are also asked which actually have no correct answers. The interviewee needs to keep calm while answering such questions. He must always stop and breathe and can also ask the interviewer to repeat the question as it may provide him time to regain composure. Stress interviews can be controversial as they may create a rift between the interviewer and interviewee and the most suitable candidate may turn down the offer due to the nature of the interview. This interview technique is common among those industries where the employees have to deal with a high-pressure work environment like sales, law enforcement, intelligence, and airline employees.

6.6.4 Panel Interview

An interview which is conducted by a team of interviewers is called a panel or board interview. In other words, such an interview comprises one interviewee and several interviewers. The panel typically consists of two to five people who interview each candidate and then finally combines their scores and thus a candidate with the highest rating is selected. In such interviews, the panelists or experts are free to ask follow-up or probing questions. The advantage of a panel interview is that the involvement of multiple assessors increases the accuracy of assessing a candidate and reduces the risk of biasedness. The panel generally consists of the various representatives of the organizations who evaluate the candidate from varied perspectives and mark their scores on an evaluation sheet for each section which ultimately helps them in reaching consensus. While facing a panel interview, the interviewee must make eye contact with everyone. Having prior knowledge about the background of the interviewers can also help a great deal as it would give a fair idea of the type of questions they may ask.

6.6.5 One-on-one Interview

In a one-on-one interview, as its name shows, only one interviewer meets one interviewee. As the same interviewer interviews other candidates too, the knowledge, skills, qualities, nature, and behavior are usually compared to other candidates and in the end, the best one is chosen. Since only one interviewer is present, an interviewee has the opportunity to build a rapport more easily. He need not change his focus and can impress the interviewer with his verbal and non-verbal communication skills. It also provides an opportunity to the interviewer to probe deeply the attitude, beliefs, desires, expectations, and experiences of the interviewees. The interviewer can be flexible too as he can change the type of questions according to his own discretion. It has some disadvantages as it's a little time-consuming, a trained interviewer is needed and as a single interviewer is there, his decision can be biased.

6.6.6 Telephonic Interview

When a candidate is being interviewed on a phone call is called a telephonic interview. The advantage of being interviewed in this manner is that one can easily refer to some key points jointed out by him and the major disadvantage is non-verbal cues cannot be conveyed or received. Thus, even the slightest high tone of voice can be taken as a sign of arrogance. This interview technique is sometimes used by the companies to screen candidates so that only the selected ones can be invited for an in-person interview. While scheduling a telephonic interview, the interviewer and interviewee must select a time comfortable to both of them and a quiet space without any distractions must be chosen. A telephonic interview is equally professional so the interviewee must take care of his answers, tone of voice, and pauses. Listening plays a major part in such type of interview. One cannot indulge in subsequent reading or note-taking as the important part of the question can be missed. In Telephonic interviews verbal communication

skills can be better judged as all the focus of the interviewer is on the choice of words only as visual clues are absent in it.

6.6.7 Video Interview

In this type of interview, candidates are interviewed virtually using video software such as Zoom, Skype, Hangouts, Face Time, etc. Just like a telephonic interview, a video interview is also preferred in the early stages of hiring in order to screen a number of candidates quickly. This type of interview is also feasible when the interviewer and interviewee belong to distant places. Both interviewer and interviewee must possess basic video interview equipment like a computer with a built-in microphone, camera, and speakers or a laptop, an internet connection with good bandwidth speed, headphones, and a quiet, well-lit place. Dressing up formally, sitting in a good posture, nodding, smiling, eye contact, and other gestures are equally important in a video interview as they are in an in-person interview. One needs to be even more careful in a video interview because letting one's gaze drift away and fidgeting may give the impression that one is referring to some notes. Technology is something on which one cannot rely completely; practicing beforehand can help in reducing anxiety or stress

6.6.8 Walk-in-Interview

A comparatively recent type of interview in which the interviewee need not apply for a certain position beforehand and directly walk in on the day of the interview as advertised by an organization. This type of interview is also called an open interview as no short listing is done beforehand and anyone interested in applying can come for the interview. These types of interviews are generally spontaneous and unplanned. Organizations prefer this type of interview when there are lots of positions to fill, instead of going through stacks of formal applications or resumes for screening they simply announce a mass interview day, where recruiters can meet the candidates face to face and make their decisions quickly and effectively. Walk-in or open interviews are generally shorter and less formal due to a large number of candidates. Since the interviewees have less time to prepare for such interviews, they should research the company, its policies, vision, and mission. However, the candidates need not apply for these types of interviews even then they must possess all the important documents as proof of their qualification and technical skills because after the selection they can be asked to show the documents. The interviewees need to keep their resumes updated for such types of interview.

Check Your Progress 2

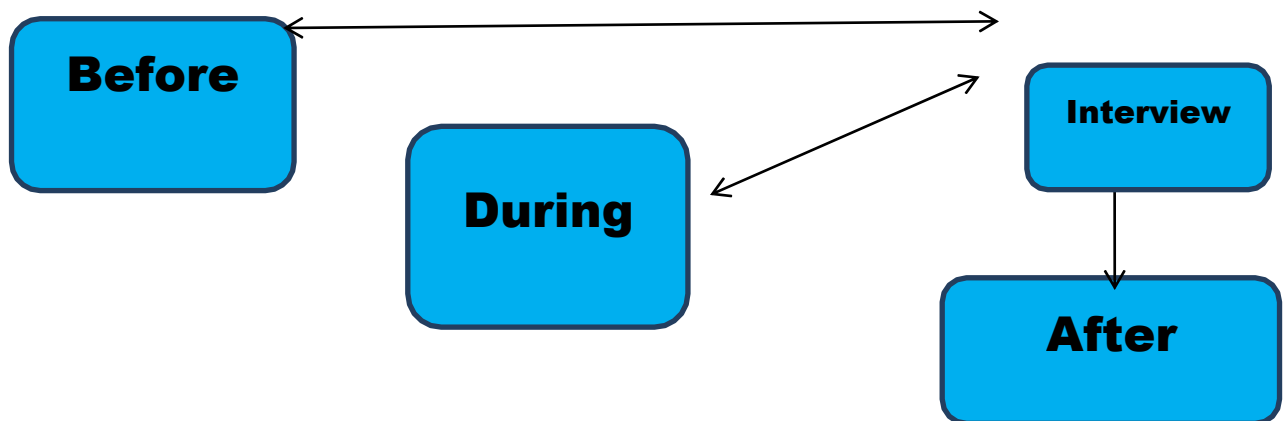
- 1) What is the difference between a Structured and an Unstructured Interview?
- 2) What is the difference between a Behavioral Interview and a Situational Interview?
- 3) Describe a Walk-in-Interview?

Fill in the blanks.

- a) A _____ situation is given to an interviewee in a situational interview.
- b) The questions in a Behavioral Interview are structured using _____ model.
- c) Stress Interviews can create _____.
- d) A Panel Interview is also called a _____ Interview.
- e) _____ interviews are generally spontaneous and unplanned.

6.7 HOW TO CRACK AN INTERVIEW?

As it is stated earlier an interview is a communication between an interviewer and an interviewee in which an interviewee is assessed by the interviewer from varied perspectives. An interview is not merely a test of the knowledge of the candidate rather it is an art in which non-verbal expressions play an equal part. There are certain things that an interviewee must keep in mind before, during, and after the interview



6.7.1 Before the Interview:

1. The Interviewee must know everything about the company or institution in which he is appearing for the interview- the policies of that company, ongoing projects, future plans, and goals.
2. Generating a list of probable questions and revising them will also prove helpful.
3. The candidate must know everything about his/her CV including the strengths and weaknesses. Before walking into the interview room one must have a fair idea of his likes, dislikes, and goals.
4. Punctuality is an important trait of an individual's personality. One must reach the interview venue well before time. It also helps in boosting the confidence level.
5. Even a full dress rehearsal can also prove beneficial as being comfortable in the clothes one wears adds to the confidence level.
6. One must know the route to the interview venue, it will help in reducing the stress.

7. Turning off or putting one's cell phone on silent mode before the interview is also a good practice.

6.7.2 During the Interview:

1. The interviewee must be on time on the day of the interview and should sit down only when asked to do so.
2. Answering the questions with a proper beginning, middle, and end and providing tangible examples is the best way. It becomes possible only when the interviewee would be focused.
3. Authenticity and honesty are the best traits of an individual's personality. An interviewee must never try to manipulate things. An honest candidate is always preferred. Interviewers can easily discover the misrepresentations so the best way to save oneself from misery and humiliation is to be authentic and honest.
4. **Body language** comprises all non-verbal expressions such as eye contact, eye movements, posture, facial and hand expressions, coupled with good communication skills they can lead to great efficacy. During the interview, an interviewee's body movements should be restricted. Unnecessary body movements such as waving hands continuously, changing postures too often, jerking head and shoulders, shaking legs, and so on make an adverse impression on the interviewer. Not only these, opening or closing the door with thunder, dragging the chair, and sitting without permission also speaks volumes about a person. Maintaining eye contact while answering the questions shows confidence and builds trust in whatever the interviewee is saying. Sitting straight and attentive with one's shoulders back and feet firmly placed on the ground without being stiff, changing posture stealthily, smiling, nodding, and showing confidence can attract the interviewer's attention. Good body language is just an aiding device, what counts most are the words spoken by a candidate being interviewed.
5. After Body language, the other important tool in the hands of the interviewee is the **modulation of voice and speech pattern. Volume, tone, pitch, and speed** play an important role in the expression and an interview is a verbal-oriented test to judge the ability of a candidate to express freely, eloquently, and impressively. A proper modulation of these four (volume, tone, pitch, and speed) can help an interviewee to hold the attention of his interviewers.
6. The interviewee's voice must be clearly audible to everyone present depending upon the distance between him and the interviewers. He can make his tone higher or lower for effect and emphasis because a monotone signifies indifference and disinterestedness. The pitch of the voice can be significantly used in giving dramatic effect to the entire communication. A candidate can effectively use the pitch of his voice to indicate to the interviewer that he has not finished yet and can give free flow to his ideas, otherwise the interviewer interrupts a candidate and start another question.

7. Speed of speech is also important. Some people speak faster and some take so many pauses while speaking, these acts create a distraction. An interviewee must know how to speak at varying speeds depending upon the situation. Speaking steadily so that the communication can be heard and understood is always better. During the interview, if a candidate makes a long statement about anything, he must summarize that in the end to make his point clear.
8. Another noticeable point while speaking is the way a candidate controls his breathing. It will be a little irritating to the interviewer if a candidate gushes out the wind with a great force. Constant and slow breathing is generally not noticed which can be easily done while speaking short sentences. Keeping the breath under control and releasing stress and nervousness at the same time is important for the candidate.
9. **The halo effect**- the immediate ‘gut reaction’ for a person or the –positive first impression is called the halo effect. The interviewee can create this halo effect from the moment he enters the interview room and if he creates that effect particularly through non-verbal skills, the interviewers usually ignore or minimize every evidence that contradicts that first impression.
10. Talking too quickly, digressing from the points, using slang and not knowing the meaning of certain words mar the impression so an interviewee must be careful while speaking.
11. The interviewee must not be too defensive if the interviewer points out some of his weaknesses. Being arrogant or defensive marks intolerance. He must admit that and show a willingness to improve those in the future.
12. Looking for something in common and mentioning the same before the interviewer can also make a difference.

6.7.3 After the Interview:

1. The interviewee must get the contact information of the organization in order to keep himself from staying in the dark.
2. Assessing one’s performance critically is also good training. It helps in identifying the weaknesses and can prove beneficial for future interviews.
3. Writing down the important points one remembers about the interview is also a good practice.
4. A note of gratitude to the employer who took the time to assess is also a fine gesture within twenty-four hours of the interview.
5. Establishing connection with the interviewers on social or business sites is also a good step, it would help them in learning about the candidate. Even if he didn’t join their organization it would open a window for future opportunities.

Check your Progress 3

1. List the things an interviewee must do before the interview?
2. How important are non-verbal expressions during an interview?
3. What is the most important step after the interview?
4. What is the halo effect?
5. A proper dress rehearsal before the interview is very important. Give your opinion.

State True or False:

- 1) A candidate need not know everything written in his CV. _____
- 2) An interviewee should not say everything truthfully as nobody would get to know. _____
- 3) _____ Non-verbal expressions are as important as verbal skills. _____
- 4) An interview must keep a monotone throughout the interview. _____
- 5) Self- evaluation is important. _____

Activity

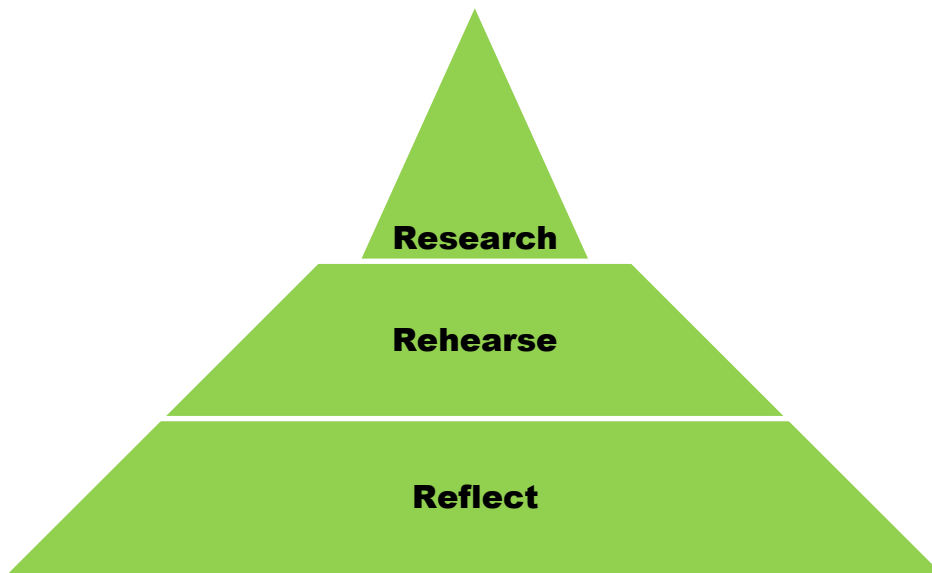
- A mock interview can be conducted with friends in whom one person can be an interviewer and another interviewee.

These questions can be practiced in that:

- What is your biggest accomplishment to date?
- Why do you want to work here?
- Where do you see yourself in five years?
- Why should we hire you?
- Tell me about a time you demonstrated leadership skills?
- Do you consider yourself successful?
- What's your dream job?
- What can you do for us that other candidate's can't?
- What are the three positive things about you?
- What salary are you seeking?

ADDITIONAL TIPS FOR SUCCESS

The interview is a process of exchanging information. Preparation, practice, and self-evaluation are keys to a successful interview. Required research, rehearsal of the same, and final reflection during the interview are necessary steps for a positive and successful interviewing experience.



1. Preparing oneself well by having all the necessary information about the organization as well as one's own self is the key to success. One must not look into the copy of the resume when asked to explain anything. One must be clear about each and everything that is written in his CV.
2. As it is said that -The first impression is the last impression,|| try to make that impression lasting as one can never get a second chance. That impression can be made with the help of one's dressing, body language, posture, and confidence.
3. Positivity is another key to success. One must never mention anything negative related to the previous employers and focus on positive achievements. It adds charm to one's personality. Steering away from negative descriptions and mentioning lessons learned, skills developed and relevant experiences make a significant impression on the interviewer.
4. Eye contact is the most important aspect of nonverbal communication; it can make a significant impression on the prospective employer during the interview and symbolizes confidence and truthfulness of the candidate.
5. Self-evaluation is important and during self-evaluation, one must try to find out one's strengths, weaknesses, skills that one wants to improve, priorities, expectations, and future goals.
6. Giving specific rather than general examples also demonstrates that one has the ability to perform one's job well.
7. A flexible, adaptive, responsible, progressive, creative, active, decisive, and cooperative candidate is always preferred. Demonstrating these qualities can be helpful.

6.8 SUMMARY

Interview skills actually comprise the art of selling oneself well. One who knows this art and presents oneself efficiently and effectively can easily excel in this and those who do not know can be successful by preparing and practicing. During an interview, the interviewer tries to secure the maximum amount of information from the candidate by asking him certain questions and at the same time keenly observing the behavior, body language, manners, appearance, etc. Different types of interview techniques are adopted by different employers based on the nature of the job and requirements. A truthful, flexible, seeker of knowledge, adaptive, patient, good communicator, and well-informed candidate can easily excel in this.

6.9 SUGGESTED READING:

- Higgins, Jessica. *10 Skills for Effective Business Communication*. Paperback, 2018.
- Joshi, Manmohan. *Soft Skills*. Bookboon, 2017.
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- Setch, Fiona. *The Art of Interview Skills*. Bookboon, 2014.
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6.10 LIST OF IMPORTANT QUESTIONS

- What is an Interview?
- List the Qualities of a good interviewer and an interviewee.
- Describe the different types of Interviews.
- What is the difference between a Behavioral and a Situational Interview?
- What is the difference between a Panel interview and a one-on-one Interview?
- What are the basic necessities for a Video Interview?
- Differentiate between a Structured and Unstructured Interview.
- What are the things that a candidate must keep in mind before, during, and after the interview?
- Describe the importance of non-verbal elements in an Interview.
- How can one excel in an interview?

BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

SKILL ENHANCEMENT COURSE (SEC): SOFT SKILLS

UNIT 7: PRESENTATION SKILLS

STRUCTURE

7.0 Objectives

7.1 Introduction

7.2 Effective Presentation Strategy: 4 -Ps for Effective Presentations

7.3 Plan your presentation

7.3 Define the purpose

7.3.2 Analyse the audience and Locale

7.4 Prepare your presentation

7.4.1 Organising the content

7.4.2 Use of Audio-Visual Aids

7.5 Practice is the key

7.6 Perform and Win the day

7.6.1 Choosing Appropriate Delivery Method

7.7 Handling Stage Fright

7.8 The Power of Body Language

7.9 Presentation Matrix

7.10 Let's sum up

7.11 Further Readings

7.12 Answers to Check your Progress

7.0 OBJECTIVES:

After careful reading of the unit, you will be able to:

1. Describe the importance of presentation skills.
2. Explain and follow different pre-presentation planning and preparation steps.

3. Organize your presentation using appropriate Introduction, visual aids and memorable conclusion.
4. Present your ideas effectively by handling stage fright and using dynamic movement and gestures.

7.1 INTRODUCTION

Great Speakers aren't born, they are trained.

Dale Carnegie.

Presentation skills have become one of the most sought-after skills in the contemporary era. Emerging as the most important tool of business, academic and professional interaction, they are being acquired at a fast pace in order to excel in one's career. Whether you are a student, or you work in an educational institution or a business organisation or run your own enterprise, you may be required to present your ideas in innumerable situations. For example: at a seminar, in a conference, in a business meeting, at a job interview or while sharing the annual reports and so forth. Though these situations differ in purpose, the strategies you need to make presentations do not differ much. All of them call for effective, memorable speeches without being faltered. Even school students these days, in an attempt to be prepared for their upcoming opportunities, are trained to present their views on scores of subjects in front of their class or may be entire school on some occasions.

7.2 EFFECTIVE PRESENTATION STRATEGY: 4-PS FOR EFFECTIVE PRESENTATIONS

The four key steps to remember before you set off on a journey to present on a topic are:

- Planning
- Preparation
- Practice
- Performance/Presentation



Master these steps to stand out among others. People assigned with the task to make speeches, give presentations or elevator talks often become flummoxed. Most of the times they don't know what to talk about, or ramble without making a point, or simply sound confusing to listen to. Following these four steps will make you shine where others falter. You'll learn how to organize your presentations clearly, write them memorably, and deliver them confidently. Here we go with step no.1

7.3: PLAN YOUR PRESENTATION:

Planning is the most essential ingredient of an effective presentation. Presentation is generally given in a formal situation that demands the sharing of information in a precise yet persuasive manner. Hence, planning is the first step to a well-structured and systematic presentation of a message to an audience. It involves

- Identification of the purpose of the presentation
- Analysis of the audience



7.3.1 : Purpose: Why do I need to give this presentation? What purpose will it fulfil? Planning starts with the answers to these questions. It is important for a presenter to identify the general purpose and the specific purpose in order to make a focused presentation with clear objectives.

Usually general purposes may include:

- To persuade: to convince some one
- To educate: to share information
- To demonstrate: to make audience understand how to do something

Besides identification of general purpose, it is imperative to state a specific objective in order to meet the expectations, knowledge, needs and interests of the audience. Study the following examples:

- Informative presentation: My presentation will enable the audience to describe three advantages of using web 2.0 tools like blogs and wikis in the classroom.
- Persuasive presentation: My presentation will make the audience believe that the use of web 2.0 tools like blogs and wikis is better than using mere chalk and paper in the classroom.
- Demonstrative presentation: My presentation will enable them to make use of web 2.0 tools like blogs and wikis themselves for their students.

7.3.2 Analyse the Audience and Locale:

Grabbing the attention of the audience is the most important factor in conveying your message. Hence, before preparing your script it is wise to identify audience characteristics, to

analyse their needs and expectations. The nature of the audience has the direct impact on the strategy you devise for your presentation

An international professional speaker, Lenny Laskowski uses the word AUDIENCE as an acronym and suggests to make the analysis accordingly will always lead to the successful achievement of the aim of your presentation:

- **A_u**dience- Who are the members? How many will be at the event?
- **U_**nderstanding-What is their level of knowledge about the topic I am going to address?
- **D_**emographics- What is their age, gender, educational background etc?
- **I_**nterests- Why do they want to attend the event?
- **E_**nvironment-How will be the seating arrangement? Where will I stand and speak? Will I be clearly visible and audible to all?
- **N_**eeds- What are the listener's needs? What are my needs as a speaker?
- **C_**ustomised- How can I custom fit my message to this audience?
- **E_**xpectations-What do listeners expect to learn from me?

By finding answers to the above given questions, the presenter can deal with the topic from the perspective of the audience. The message can remain the same yet the appealing way to communicate can be chosen to make it more focused and audience-oriented.

In addition to the overall understanding of the audience, it is equally important to find out about the locale as well. Every location has its unique physical environment. You may be asked to present in a big hall, large auditorium or a small conference room can be the venue too. Arriving in time at the venue to assess the event location yourself can be of great help as you can either ask for alternative arrangements or modify your materials, visual aids and style to suit the environment.

7.4 PREPARE YOUR PRESENTATION

-Today's preparation determines tomorrow's achievements.¶

-Anonymous

Once the planning stage is over, it is time to begin preparing for it. Preparation involves giving a suitable title to the presentation, developing the central idea and the main points, thereafter gathering some relevant information in the forms of facts and figures to support your ideas.

7.4.1 Organising Content

Wondering how to organize a presentation to persuade the audience? Use this approach to know how to start a speech, how to end a speech powerfully, and create maximum engagement in between! Follow the thumb rule of 3 Ts:

Tell the audience what you are going to tell.

Tell it.

Tell them what you have told.

Hence, to achieve this purpose, divide your presentation into three distinct parts: the introduction, body and conclusion.

Organising Content	Key Functions
Introduction	Primarily serves five purposes: <ol style="list-style-type: none">1. Get the audience's attention by using startling statement/short story/question/ quotation or humour2. Introduce the subject3. Give the audience a reason to listen4. Establish the rapport5. Preview the main ideas
Body	Any of the following organizational patterns may be used: <ol style="list-style-type: none">1. Chronological2. Categorical3. Cause and Effect

	4. Problem-solution
Conclusion	<p>The conclusion of the presentation should accomplish the following four specific objectives:</p> <ol style="list-style-type: none"> 1. Summarize the presentation 2. Reemphasise the central Idea 3. Motivate the audience to respond 4. Provide Closure

7.4.2. Use of Audio-Visual Aids

Spoken words are like bubbles as soon as they come out of our mouth they vanish in the air. Owing to this limitation, presentations often need strong visual support-handouts, chalk boards, flip charts, computer generated presentations, etc. If an audio-visual aid being used is simple, clear and appropriate to its purpose, it will deliver its message more accurately and quickly than a mere verbal explanation.

The importance of Audio-Visual Aids

- Increase Audience Interest
- serve as Speech Notes
- Help listeners retain information
- Illustrate key points
- Give Confidence
- help Focus on the theme of the presentation
- Give clarity and Precision

Audio-Visual aids used in Presentations. Any of the following types of visual aids may be used:

Types of Audio-Visual Aids	
Objects	Power point Presentations
Models	Charts
Photographs	Maps

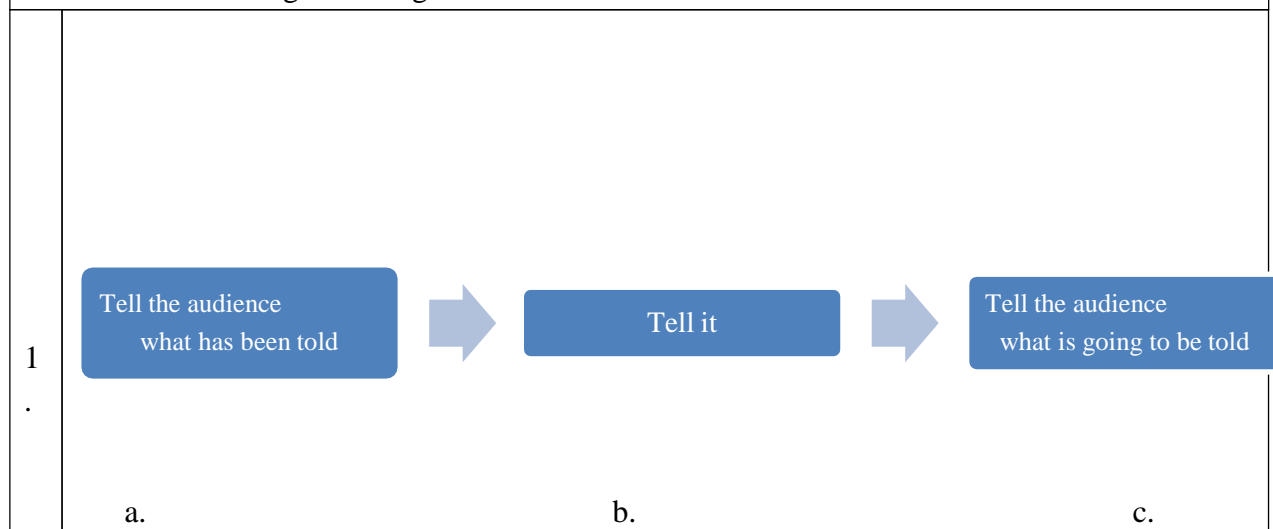
Graphs	Chalkboards
Overhead Transparencies	Audio/Video Clips

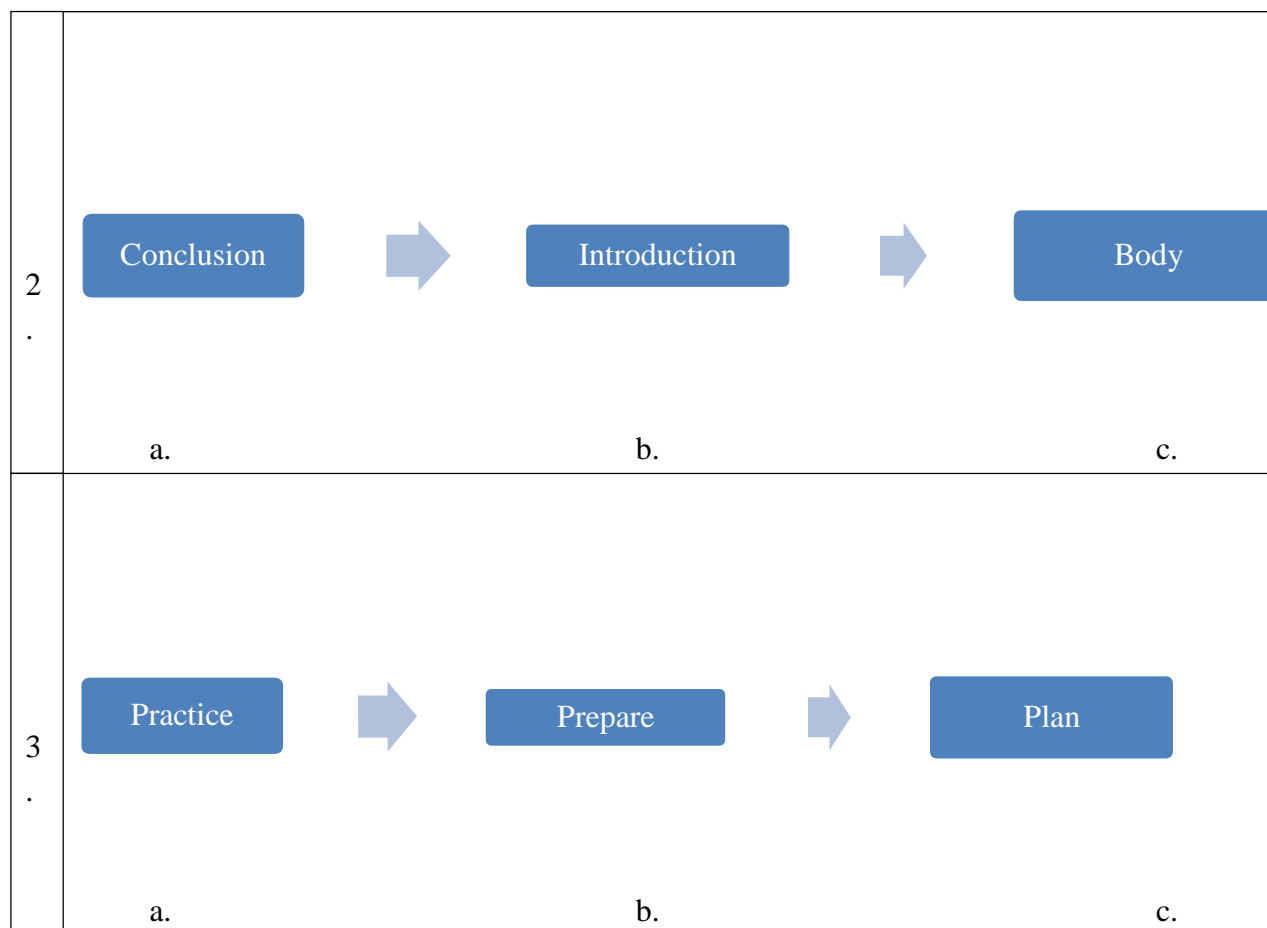
Guidelines to make effective use of audio- visual aids

1. Relevant visual aids must be chosen and fit them into the plan.
2. The presenter must be familiar with the visual aids being used and rehearse presentation using the same.
3. Eye contact should be thoroughly maintained. Talk to the audience not to the visual aids. Look at them only when the audience should look at them.
4. Handouts may be distributed that is presentation abstracts, summaries brochures, pamphlets, outlines and so on in order to complement the presentation.
5. Be familiar with the basic operations of the electronic devices which you would use for your presentations.
6. Use enough visual aids to make your points clear but don't overdo it.
7. Avoid blocking the listeners view of the visual aids. Make sure that podiums, charts, pillars and such don't block anyone's view.
8. The presenter must take care not to stand in anyone's line of vision.

Check your Progress-1

Correct the following flow diagrams:





7.5 PRACTICE IS THE KEY

As a common adage goes, –Practice makes a person perfect, it is pertinent to rehearse the presentation several times. It not only gives enough confidence to the speaker but also enhances one’s command on the subject. It helps in dealing with the discussions and answering of the questions in a much better way. Rehearsals should be planned and conducted properly and systematically. Practice helps the presenter:

- To deal with speech anxiety effectively.
- To develop the confidence

The following suggestions may help in achieving the desired results:

1. **Plan the rehearsal** well in advance before the actual presentation so that you have enough time to make the required modifications.

2. **Rehearse before a live audience** in order to get feedback, comments and suggestions needed to improve your presentation. Classmates, friends, colleagues or roommates can make up the audience.
3. **Timing during practice** is another important factor to be taken care of. Appropriate rate of speech can infuse new life to your presentation. Although the rate of delivering the presentation depends on the communicative situation, delivery technique and style of speaking, a rate that varies between 120 to 180 words per minute is generally considered to be ideal.
4. **The Power of pauses** during the presentation cannot be overlooked. Though simple yet one of the most versatile tools, pauses holds the significance to make or mar your presentation. A pause, if used correctly, can be used to add emphasis to key points and indicate a change in tone or topic.



7.6 PERFORM AND CARRY THE DAY

Once the presentation is well planned, prepared and practised enough, then comes the time of delivering the presentation. But wait! before we proceed, let's understand the nuances of delivery. Your manner of presentation actually decides the fate of your presentation. So, be careful while choosing method of delivery for your presentation. If you want to hold the attention and interest of the audience, then choose the appropriate delivery method:

7.6.1 Methods of Presentation Delivery

Method of Delivery	Key features	Disadvantages
Memorising Method	<p>Entire presentation is to be learnt by heart.</p> <p>Eye-contact can be maintained throughout the presentation.</p> <p>Possible to finish the speech on allotted time.</p>	<p>Memorization requires too much of time.</p> <p>Forgetting even a single word may prevent you from completing the presentation.</p> <p>May not sound spontaneous and natural.</p> <p>May not be able to involve the audience in the presentation</p>
Reading Method	<p>Delivered by reading from the manuscript.</p> <p>Useful while presenting a technical paper or report that may contain complex technical information for statistical data.</p> <p>Helps control nervousness</p> <p>Gives the speaker confidence.</p>	<p>Less eye-contact with the audience.</p> <p>Limited conversational tone and voice inflection</p> <p>May not sound spontaneous and natural.</p>
Outlining Method	<p>Note cards are used to write the key words and phrases.</p> <p>Most popular and effective method</p> <p>Demands full preparation and practice</p> <p>Chance to establish good rapport with the audience through eye-contact and gestures</p> <p>Enables one to move freely and with ease.</p>	<p>May feel uncomfortable if preparation is inadequate.</p> <p>Relying too much on Note cards can make your speech monotonous.</p>

Among the above discussed modes of delivery, outlining method is the best because of its flexible nature and its effectiveness. Hence it is always better to use this method to make your presentation lively, effective and memorable.

7.7 HANDLING STAGE FRIGHT

-The mind is a wonderful thing. It starts working the minute you are born and never stops until you get up to speak in public. - **Roscoe Drummond**

Stage Fright or fear of speaking on stage generally arises when a person is required to perform in front of an audience. Some degree of Stage Fright is quite normal. In fact, seasoned speakers experience butterflies in their stomachs when they mount the stage. Do you know?

- You feel more nervous than you appear
- The more you think that you are nervous, the more nervous you will feel.
- Your audience cannot easily detect your stage fright

But why does nervousness try to dominate us? What are the reasons behind it?

Top 5 Reasons to Have Stage Fright

1. Self-consciousness in front of large groups.

The most common reason to have performance anxiety is to present before a large audience. The best way to deal with this kind of obstacle is to remember that the people in a big audience are the same ones you talk to often individually, and thorough preparation of the subject can give you enough confidence to put your views across.

2. Fear of appearing nervous. Most of the people experience nervousness in such type of situations. However, the secret is known only to your heart and not to others. So, try to keep yourself composed by putting a smile on your face and taking deep breaths.

3. Inadequate preparation. Don't blame others but yourself if you haven't done your homework (including knowing your audience). Nothing undermines public speaking confidence like being unprepared. However, nothing gives you as much confidence as being ready. Hence choice is yours!

4. Poor breathing habits. Only the trained actors or singers have the knack of breathing for speech, others probably are unaware of the innumerable benefits of deep breathing. Public speaking requires more air than "vegetative breathing", hence it is important to master this yoga technique. Deep breathing not only calms your galloping heart but also helps you to control your exhalation to sustain sound through the end of your speech.

5. **Comparing yourself to others.** Don't be judgemental! Believe in yourself and your abilities. You have a unique identity in the universe. It is good to be motivated from others but do not lose your own self in a bid to compare yourself with others.

Tips to Overcome Nervousness:

When nervousness is in top gear, some physiological changes take place in our bodies like dryness of the mouth, sweating of palms, racing of heartbeat etc which further enhance our anxiety and lead to the stage fright. However, by following the given strategies, one can easily win over the nervousness and become a confident presenter:

1 Focus on the three Ps: planning preparation and practice: As already mentioned, presentations should be well planned, thoroughly prepared and rehearsed repeatedly. Knowing the purpose, analysis of the audience and occasion helps in reducing speech anxiety. Effective preparation familiarises the speaker with his or her message and reduces stage fear. Well-organised content which is practised enough gives the speaker confidence to control the stage fear before and during the presentation.

2. Avoid negative thoughts: It is important to remain positive by having faith in yourself and your abilities. Do not entertain negative thoughts that may sneak in before your presentation to make you more anxious. Hence, avoid thoughts such as –I am going to fail, –I can't speak my topic, –I am not well prepared, –Audience may not like me and my ideas, –I am not fluent, I may not be able to handle the discussion well and so on. Instead positive self-talk such as –I really know this presentation and believe in what I am saying, –the topic of my presentation is very interesting, –I am well prepared and confident will boost your confidence and level of energy.

3. Begin the presentation with a smile and positive body language: It is common to have feelings of nervousness and excitement at the beginning of the presentations. This can be controlled by taking a few moments to make yourself feel comfortable. Do not be in a hurry to start rather try to establish rapport with the audience by maintaining eye contact with them, by having a smile on your face and by maintain good posture. Place your note cards confidently yet calmly on the podium and then begin your presentation.

4. Speak at the right place: Do not ever do the blunder to rush through your speech. It is quiet common for speakers to naturally enhance the rate of speech while presenting themselves before the audience in order to finish their turn. But practice enough to cultivate your pace so as to fit in the reasonable limit of 120-150 words per minute. A well -paced speech laced with wise pauses suggests enthusiasm, self-assurance and awareness of the audience

5. **Practice stress reduction techniques** like deep breathing. It is the preferred method of breathing for speech. It calms and relaxes you, improves your focus, and helps give you a strong well-supported sound.

Check your Progress-2

Analyse the following statements and mark True/False against each of them in light of the above discussion:

1. Good speakers don't feel nervous at all while giving a presentation.
2. Knowing your audience helps to control stage fear.
3. Planning and practice reduce stage fear.
4. Stage fright is quite normal.
5. Deep breathing does not help nervous speakers.

7.8 THE POWER OF BODY LANGUAGE

Body language plays a vital role in influencing the listeners and getting your message across. When a speaker presents him/herself we see him before we hear them. Immediately, we begin developing impressions of his abilities and attitudes based on the non-verbal signals he sends. This is why body language is so critical in oral communication.

It includes every aspect of your appearance from what you wear, how you stand, look and move, to your facial expressions and physical habits such as nodding your head, jingling change in your pocket or pulling your necktie. Your use of space and gestures are other key concerns. Let us understand them in detail.

Personal Appearance:

-First impression is the last impression.¶

Personal appearance plays an important role. Even before a speaker utters the first word we begin to form an opinion about him and visualise the way he is going to talk. Hence, it becomes imperative to dress appropriately on the day of your presentation as appearances communicate how we feel about ourselves and how you want to be viewed. Appearance includes type and colour of clothes, hair do, accessories you carry and so on. It is important to look clean and well-groomed with light make up and simple accessories on and conform to the need of the occasion to establish a good rapport with the audience.

Posture:

Posture generally refers to the way we stand, sit or walk. Standing in an upright position by placing your hands on the podium is considered to be a good posture for presentation. It is important to move occasionally to hold attention and to emphasise a point. Your posture reveals a lot about you and your personality. Here are a few examples:

1. Slumped posture indicates low spirits
2. Upright posture indicates high spirits, energy and confidence.
3. Leaning forward shows honesty and interest.
4. Lean backward suggest defensive or disinterest
5. Crossed arms indicate defensive and non- cooperative attitude.
6. Uncrossed arms mean willingness to listen.

Gesture:

Gestures are the movements made by hands, arms, shoulders, head and torso. A well-timed gesture not only drives a point home but also adds greater value to what is being conveyed. They clarify your ideas, reinforce them and should be well-suited to the audience and occasion. Gestures should not be too loud to divert the attention of the listener and distract them from the message to sink in. In fact, they should be quite natural and spontaneous. Be aware of avoiding irritating gestures like playing with the ring, twisting a key chain, clasping the hands tightly, or cracking your knuckles.

Facial Expressions:

Face is considered to be an index of mind. It is perhaps the most expressive part of our body. A variety of facial expressions can be used to add or inhibit or complement your communication: such as a smile stands for friendliness, a frown for discontent, raised eyebrows for disbelief and tightened jaw muscles for anger or revenge etc. Hence, in order to look relaxed and express pleasure for the audience, it is important to start your presentation with a smile on your face. It not only complements your message but also relaxes the muscles of your face.

Eye-contact:

Eyes, the windows of the soul, can be used in a very effective manner to enhance the impact of your presentation. By maintaining eye-contact, a speaker can show sincerity and elicit a feeling of trust.

Eye-contact is a direct and powerful form of non-verbal communication. It is a rich source of feedback. Though looking directly at the listeners helps in building rapport with them, how do you look at them also counts? In the professional world it is important to make pleasant eye contact with the listeners. While giving presentations, avoid looking outside the windows,

towards the roof of floor or at any one particular section instead try to establish uniform eye contact with one and all present at the event.

7.9 PRESENTATION MATRIX

This presentation matrix will extend a great deal of help in organising, writing and preparing your presentation. A wonderful ready reckoner indeed which is used extensively by the novice presenters, even the seasoned presenters don't mind using it for achieving good and expected results.

(1). Suitable Title of your Presentation:

(2). Purpose: To inform/ To persuade/ To entertain

(i) Specific purpose: My presentation will enable the audience to.....

(3) Audience:

(i) Expected Number.....

(ii) Age.....

(iii) Type of audience: Interested/Uninterested/Neutral

(4). Central idea:

.....
.....

(5). Main Ideas:

.....
.....
.....

(6) Supporting Material

.....
.....
.....

(7) Organisation

(i) Introduction

(ii) Body

(iii) Conclusion

7.10 SUMMARY

- Start with confidence and a smile
- Be organised
- Stay relaxed
- Use appropriate Visual Aids
- Pay attention to all details
- Mind your body language
- Close in a memorable way

Check your Progress-3

1. Which of the following is not one of the functions of introduction in an oral presentation:

1. Get the audience's attention
2. Demotivate the audience
3. Introduce the subject
4. Give the audience a reason to listen

2. The techniques used to capture audience attention does not include the use of:

- a. a question
- b. a joke
- c. an essay
- d. a startling statement

3. In order to involve the audience with the topic of presentation the speaker should.

4. Which of the following is false:

- a. the speaker should include as many points in his presentation as he can.
- b. The audience will understand a simple message easily.

- c. the audience we concentrate better if the message is short t
 - d. The speaker should focus on a few main ideas.
5. Which of the following is not one of the functions of the conclusion in an oral presentation:
- a. summarizing the presentation
 - b. Reemphasizing the central idea
 - c. motivates the audience to respond
 - d. introduces the subject

7.11 SUGGESTED READINGS

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BACHELOR OF ARTS (LIBERAL ARTS)

SEMESTER-IV

SKILL ENHANCEMENT COURSE (SEC): SOFT SKILLS

UNIT-8 PERSONALITY DEVELOPMENT

STRUCTURE

8.0 Objectives

8.1 Introduction

8.2 Meaning and Nature of Personality

8.3 Definitions

8.4 Features of Personality

8.5 Personality Development

8.6 Approaches of Personality

8.6.1 Trait approach

8.6.2 Trait – type approach

8.6.3 Psychoanalytic Perspective

8.6.4 Humanistic Perspective

8.6.5 Social- cognitive perspective

8.7 Big Five Model of Personality

8.8 Stages of Personality Development

8.8.1 Psychosexual stages of development

8.8.2 Psycho-social stages of development

8.9 Personality Development and Soft Skills

8.10 Learning Skills

8.10.1 Adaptability skills

8.10.2 Why adaptability matters

8.10.2.1 Types of adaptability skills

8.10.2.2 How to improve adaptability skills

8.11 Summary

8.12 Keywords

8.13 Model Answers

8.14 References

8.0 OBJECTIVES

- To help reader understand meaning and nature of personality.
- To explain various features and approaches of personality.
- To explain meaning of personality development.
- To explain staged models of personality development
- To provide brief introduction to learning skills.

8.1 INTRODUCTION

The term personality is not new to anyone. Majority of the people think it is the measure of outer beauty or appearance. However; this is just a narrow outlook at such a broader concept. The scope of personality and its development is quite broad. It involves outer as well as internal makeup of an individual. It includes social graces, grooming, speech and interpersonal skills. Whatever you do, you choose, you learn, you create at both personal and professional front is your personality. In the current unit will discuss the boarder explanation of personality, it's nature, various viewpoints on structure and components of personality and stages of personality development.

8.2 MEANING AND NATURE OF PERSONALITY

To know the meaning, of personality we have to trace the historical roots of the term. The term personality has been derived from the Latin word ‘_Persona’ which means theatrical mask worn by actors while performing a character on the stage. Thus the layman's perspective of personality is confined to physical appearance only. Generally by personality people mean the degree of attractiveness a person holds. This notion makes us believe that there can be good, bad or no personality at all. However, this is a limited view of the concept; personality is much deeper than just physical appearance of a person.

Thus by the term personality means the characteristic style of behaviour of an individual revealed from his external appearance. The external appearance of a person includes dressing, speech, gestures, postures, habits and expressions. Thus a person endowed with good external appearance is considered to possess a good personality and vice versa. But this is not the reality.

In social psychology, the term personality indicates an integrated whole. It is considered as all inclusive of all characteristics and qualities that a person holds. Thus, personality is the sum total of the ideas, attitudes, and values of a person which determine his role in society and form an integral part of his character. Personality is not something that is self created but it is acquired as a result of individual participation in group life.

Personality shows behavioural characteristics that vary from one person to another. Each person's behaviour exhibits a certain degree of consistency across situations over time. It would seem that a person's personality represents his or her largely acquired style of coping with the world. Understanding someone's personality gives the clues about how the person is likely to act in a given situation. In the field of organizational behavior, an understanding of different employees' personalities is helpful. Having this knowledge is also useful for placing people in jobs and organizations. A person with a positive attitude can direct his thoughts, control his emotions and regulate his attitude.

Personality is basically the sum total of all that an individual possess. It refers to the behavioural characteristics of a person. It includes memories, knowledge, habits, goals, aspirations, interest, thinking, attitudes, beliefs, and values, self, emotional and temperamental makeup. All that a person is and aspires to become is part of personality.

Personality is a dynamic in nature. Individuals are different from each other even at birth, in physique, chemique, motivation and temperament resulted from the interaction with the environment. With age these differences become more pronounced as behavioural characteristics.

8.3 DEFINITIONS

-Personality is the sum of activities that can be discovered by actual observations over a long enough period of time to give reliable information.¶

Watson

-Personality is a dynamic organisation within the individual of those psychophysical systems that determine his unique adjustment to his environment.¶

Allport.

-Personality is the more or less stable and enduing organisation of a person's character, temperament, intellect and physique, which determine his unique adjustment to the environment.¶

Eysenk

Reputation is what people think you are

Personality is what you seem to be

Character is what you really are

Source: Personality Development and Soft Skills (Mitra, 2016)

Thus we can conclude the following points about personality from above definitions:

1. The personality is an entity which makes individuals unique. No two individuals behave in same manner over any similar situation.
2. Personality constitutes everything that a person possesses such as behaviour patterns, i.e., conative, cognitive and affective and covers not only conscious activities but goes deeper into sub-conscious and unconscious also.
3. It is an organisation of some psychophysical systems or some behaviour characteristics and functions as a unified whole.
4. Personality is not static, it is dynamic in nature. The behaviour undergoes modification in the face of changing circumstances.
5. Every personality is the product of heredity, environment and situations and contributes towards the overall development.
6. Learning contributes in personality development. In other words personality is the end product of learning and acquisition.

8.4 FEATURES OF PERSONALITY

1. **Nature and nurture-** Personality is the product of nature and nurture. Both the factors contribute significantly in development of personality. Personality is developed with continuous interaction of an individual with the environment.
2. **Assessment-** personality is an assessable attribute. On the basis of different theoretical perspectives numerous scales, tests have been devised such as TAT, CAT, MMPI, NEO-PI, 16PF to name a few.
3. **Goal oriented-** personality is an entity that aims towards fulfilling some specific goals. Adler, a profound personologist suggested that a person's personality can be easily known through the study and interpretation of the goals he set.
4. **Personality and Character-** character of a person is a moral concept while personality is a psychological construct. Personality is a broader construct and character is one of its components.
5. **Consistency-** consistency means a person will behave consistently in similar situations such as a lazy person will exhibit laziness at home, work, sleeping and eating etc. and an honest person will express the characteristics of honesty in all situations.
6. **Unique-** every person has its own unique adjustment to time and place. Activities of two seemingly alike persons are actually very different in quality. It is the personality that makes every individual unique.
7. **Dynamic-** Personality is dynamic in nature as it keeps on evolving with motivation and self regulation.
8. **Self-** Personality develops out of our interaction with the environment. This interaction results in formation of concept of self and it includes self identity, self efficacy, self

regulation or self esteem. All the responses of a human being are oriented towards protection of the self concept.

9. **Multiple expressions** - Personality is displayed in more than just behavior. It can also be seen in our thoughts, feelings, close relationships, and other social interactions.
10. **Potentiality for change**- it is another major feature of personality. Modern humanistic perspective contradicts the statement that personality is a rigid structure. They suggested not only the human has the capacity for reorganisation but also the conditions do foster change.

8.5 PERSONALITY DEVELOPMENT

As the personality refers to the stable and enduring behavioural characteristics of an individual, it becomes matter of curiosity to know how these characteristics develop. Personality development occurs throughout life. However some theorists have proposed a stage model like Freud's psycho sexual stages and Erikson's psycho social stages to account for personality development in a person's life. Still other theorists emphasize the role of parent child relationship, in understanding personality development. Rogers, for instance placed importance on how an individual's self concept is modeled. The development of personality is influenced by a lot of factors. We call them the '_determinants of personality'. These factors can be classified under three heads:

- Physiological factors- role of neurotransmitters or hormones, health, genetic makeup etc.
- Psychological factors- traits, cognitions, emotional intelligence etc.
- Environmental factors- family settings, culture, economic status etc.

8.6 APPROACHES OF PERSONALITY

There are a number of different schools of thought in psychology explaining nature and structure of personality. In order to understand how personality evolves with time we need to know the components of personality. Some of these major perspectives on personality are the following:-

8.6.1 Trait Perspective

An important school of thought of personality is centered on identifying, describing, and measuring the specific traits that make up human personality. The lexical approach to personality is based on the assumption that qualities can be expressed using single adjectives or descriptive

phrases. By traits, it means persistent and enduring behavioural patterns that make every individual unique. These are the building blocks of personality. It includes honesty, shy, aggressive, calm, polite, dependent, and lazy to name a few.

Major Theorists of this perspective are Gordon Allport and Raymond Cattell. Gordon Allport classified traits into three categories: cardinal (that dominates the personality like patriotism in Bhagat Singh), central (habitual way of responding like being funny, rude or aggressive) and secondary traits (tastes and preferences. These are subjective preferences like favourite colours, preferences for food, clothes etc). Cattell performed a statistical method (factor analysis) to generate sixteen dimensions of human personality traits: abstractedness, warmth, apprehension, emotional stability, and liveliness, openness to change, perfectionism, privacy, intelligence, rule consciousness, tension, sensitivity, social boldness, self-reliance, vigilance, and dominance. He has also developed a tool to assess these dimensions known as 16PF.

8.6.2 Trait type approach

Hans Eysenck: Suggested that there are three dimensions of personality:

- 1) Extraversion-Introversion- Eysenck believed that there are no pure introverts or extroverts. A person can be high on either of the dimension but still have traits of other type. Extraversion are the people who are sociable, talkative, party going etc. while the ones who are opposite with traits of shyness, solitary etc. are introverts.
- 2) Emotional stability-Neuroticism- another category Eysenck suggested is emotionality of a person. People who are moody, anxious or restless are high on neuroticism while emotionally stable people possess trait such as calmness, even tempered, easy going etc.
- 3) Psychoticism- the person high on this dimension tends to be egocentric, impulsive, insensitive, opposes social norms while the one who scores low on this dimension found to be empathetic, bold and less adventurous.

To assess these types Eysenck developed a well known inventory named as Eysenck's Personality Inventory (EPI).

8.6.3 Psychoanalytic Perspective

This perspective of personality psychology emphasizes the importance of early childhood experiences and the unconscious mind. The key spokesperson of this perspective was Sigmund Freud who believed that things hidden in the unconscious could be revealed in a number of different ways, including through dreams, free association, and slips of the tongue. Neo-Freudian personality theorists namely Erik Erikson, Carl Jung, Alfred Adler, and Karen Horney, believed in the importance of the unconscious but disagreed with other aspects of Freud's theories.

Major Theorists of psychoanalytic perspective:

- **Sigmund Freud:** Father of psychoanalysis stressed the importance of early childhood experiences, the influence of the unconscious and sexual instincts in the development and formation of personality. He also suggested structure of personality involves three components i.e. id, ego and superego.
- **Carl Jung:** Focused on concepts such as the personal unconsciousness, collective unconscious, archetypes, self, and psychological types.
- **Erik Erikson:** Emphasized the social elements of personality development, the identity crisis, and psycho- social stages of development.
- **Alfred Adler:** stressed the core motive by which personality evolves is striving for superiority, or the desire to overcome inferiority complex and move closer toward self-realization.
- **Karen Horney:** her theory is centred on the need to overcome basic anxiety, the sense of being isolated and alone in the world. She emphasized the role of societal and cultural factors including parent- child relationship in personality development.

8.6.4 Humanistic Perspective

The humanistic perspective of personality focuses on psychological growth. It takes a more positive outlook on human nature and is centred on theme of achieving actual human potential.

Major Theorists

- **Carl Rogers:** emphasis the role of unconditional positive regard, free will and self (ideal and real). He believed people are inherited with goodness and suggested that the actualizing tendency is the driving force behind human behavior.
- **Abraham Maslow:** central theme of the theory is actualization. He suggested a hierarchical model of needs. The most basic needs are centred on things necessary for survival such as food and water, but as people move up the hierarchy; these needs become centered on higher goals such as self esteem and self-actualization. He stressed that the ultimate goal of life is to attain self actualization.

8.6.5 Social- Cognitive Perspective

The social cognitive perspective stressed upon the role of observational learning, self-efficacy, situational influences, and cognitive processes in personality development.

Major Theorists

- **Albert Bandura:** he emphasized the importance of social learning, or modeling (learning through observation). His theory emphasized the role of conscious thoughts including self-efficacy, reciprocal determinism and our beliefs in shaping personality.

8.7 BIG FIVE MODEL OF PERSONALITY

Big 5 Factor model of Personality

Many independent researchers contributed to the development of the Big Five paradigm. Gordon Allport's personality characteristic words laid the groundwork for later psychologists to start figuring out the fundamental characteristics of personality. Raymond Cattell and his colleagues utilised component analysis (a statistical method) to reduce Allport's list of qualities to sixteen in the 1940s. Several psychologists looked at Cattell's list and discovered that it could be condensed to only five features. McCrae & Costa were among these psychologists.

Lewis Goldberg, in particular, was a strong supporter of five major personality traits (Ackerman, 2017). McCrae and Costa built on his study, identified five key dimensions of personality. Robert McCrae and Paul CostaThe Five-Factor or the Big Five Model, is the most widely recognised personality model. Unlike previous characteristic theories that categorize people as either introverts or extroverts, the Big Five Model claims that each personality attribute exists on a spectrum. As a result, people are graded on a scale between the two extremes. For example, when testing Extraversion, one is placed on a scale between introversion or extroversion rather than being defined as merely extroverted or introverted. Individual differences in personality can be efficiently measured by ranking individuals on each of the five attributes of personality. According to the model, personality can be broken down to five main characteristics, abbreviated as OCEAN. These five factors include:

- **Openness to experience-** The readiness to explore new things characterises the openness to experience dimension of personality. People with higher levels of openness are more receptive to new ideas and views, particularly those that contradict their preconceptions. They enjoy visiting art galleries, museums, and theatres, listening to music, and travelling to new places for creative and cultural experiences. They are more receptive to other cultures and habits. People who have a low level of openness - who are resistant to new experiences - are afraid of uncertainty and the unknown. Unfamiliar situations make them uneasy, thus they want to be in familiar surroundings. Individuals who are less open appreciate predictability and prefer to stick to well-established customs and habits. Individual levels of openness to experience vary widely, and a person's own openness to experience can change. Openness to new experiences, for example, has been proven to fluctuate with age. Costa et al (1986) found that participants' openness to experience declined as they grew older.
- **Conscientiousness-** People who are conscientious are more conscious of their activities and the implications of their acts than those who are not. They have a strong sense of duty for

others and are often meticulous in carrying out the tasks that have been entrusted to them. Conscientious people like to maintain their surroundings clean and ordered. They are very conscientious about keeping track of time. People with high degrees of conscientiousness are also more goal-oriented. They establish lofty objectives for themselves and are driven to attain them. They are unafraid of hard work and are eager to excel in all aspects of their lives, including academic successes and career advancement. Low levels of conscientiousness are associated with lower levels of motivation. This may cause individuals to be late for appointments and meetings, as well as to be more laidback when setting life goals. People who are less conscientious are more likely to act rashly. They will act on a whim rather than thinking about the ramifications of their decisions.

- **Extraversion-** Extraversion is defined as outgoing, self-assured social demeanour. In social situations, extraverts are gregarious, conversational, and generally outgoing. They appreciate being the centre of attention and will frequently seek it out. Extraverts thrive in the company of others and enjoy meeting new people. They are happy to introduce themselves to strangers. On a scale of introversion to extraversion, this personality attribute is measured. Ambiverts are people who fall somewhere in the middle of the two personality types. Introverts, or persons with low degrees of extraversion, behave in a unique way. They are quieter and often feel self-conscious around others. They may be intimidated by large groups, such as parties, and will often avoid social situations that are difficult. Introverts prefer to be in small social groups, ideally with individuals they know. As a result of this tendency, introverts prefer smaller social networks and instead have a limited circle of trustworthy pals.
- **Agreeableness-** Individuals that perform well on agreeability tests are nice and cooperative. Agreeable people are more trusting of others and more generous, prepared to help others in times of need. They are often deemed more liked by their peers and colleagues. Because of their capacity to collaborate with others, they frequently perform effectively as members of a team. Arguments, disagreement with others, and other forms of confrontation irritate agreeable people. They function as the group's mediating 'peace-maker,' seeking to placate and calm others. Individuals that are disagreeable get a lower score on this personality trait. They aren't as preoccupied with impressing others or gaining friends as they formerly were. Disagreeable people are less compassionate and more skeptical of other people's motives. Instead, they are driven to act in their own best interests, with little regard for the needs of others. While unpleasant people have an easier time promoting their own interests, agreeable people have stronger relationships with others. This can be useful from a young age: Jensen-Campbell et al. (2002) discovered that children with greater levels of agreeableness were less likely to be bullied at school.
- **Neuroticism-** This personality trait is graded on a scale ranging from emotional stability to emotional instability, also known as neuroticism. People with high neuroticism levels are frequently chronic worriers. They are more scared and worried, overthinking and

exaggerating the importance of their difficulties. They may focus on the bad features of a situation rather than the favourable parts. Neuroticism can make it difficult for a person to cope with normal pressures in their daily lives. Instead, they are frequently frustrated with others and may become enraged if events do not go as planned. These negative concerns are less preoccupied in people with low neuroticism levels. They can maintain their composure in stressful situations and assess problems in proportion to their importance. As a result, they tend to be less concerned about such issues.

People's Big Five scores are mostly steady for the majority of their lives, with occasional minor variations from childhood to maturity. Soto and John (2012) attempted to follow the Big Five qualities' developmental tendencies. Overall agreeableness and conscientiousness grew with age, according to the researchers. Although gregariousness dropped and assertiveness increased, there was no significant trend for extraversion overall. From adolescent to middle life, openness to experience and neuroticism both reduced slightly. The researchers discovered that some features (such as adventurousness and sadness) had more significant trends than the Big Five qualities as a whole.

Fig. 1: Five Dimensions of Personality



Source: <https://agile-mercurial.com/>

The above discussion helps us in learning how different theories explain personality and its components. The above explained models provide an insight on different views of personality development. There is not a single standardized mechanism that act as a perfect foundation for understanding personality development. Internal and external forces, which Allport refers to as genotypes and phenotypes, are thought to influence an individual's behaviour and personality. Genotypes are internal forces that influence how a person retains information and interacts with the outside world. External forces that influence how an individual accepts his or her surroundings and how others impact his or her conduct are referred to as phenotypes.

Freud has given staged model of personality development that is explained in section below. Post Freudian theorists have adopted different approach in explaining personality

development. Jung emphasized the role of innate tendencies known as archetype in shaping personality. Further, he describe the goal of personality development is self realization. He explained self realization as the harmonious blending of all the components of human personality. He believed that humans are constantly evolving and progressing to realize their *self*. On the other hand Adler highlighted the role of person's never ending battle to strive for superiority as the basis of personality whereas Karen Horney believed personality is an entity influenced by culture and society.

Bandura a social- cognitive psychologist emphasized the role of observational learning in shaping personality. He believed changes in behaviour occur as one goes on observing other's responses and consequences. This phenomenon eventually influences personality. Although theorists in humanistic perspective believed that human beings possess an inherent tendency to evolve but this is subjected to environment influences. Rogers highlighted the role of evaluations of self by others. He suggested that an individual tends to change as per the evaluations by others. If a person's personality aspect is negatively evaluated by others he/she excluded these unapproved experiences from his self concept.

There is no such thing as a good or bad personality. It varies depending on the function and scenario. In some contexts, having an aggressive disposition is necessary for success, but it can be harmful in others. In the same way, an introverted personality may be better suited for some roles than an outgoing personality. It's also crucial to be aware that one's personality sends out a signal that others can interpret. As a result, it's critical to have a clear understanding of the position one wants to play and the expectations that come with it—and to concentrate on developing the desirable personality qualities. Whatever personality one selects, the most important thing to remember is that one's personality sends out a signal in every direction. Others, more than one realises, are watching it in minute detail. Making this reality work in one's favour can be a major factor in achieving professional success

Self check exercise 1

1. _____ traits are the dominant characteristics of a person.
2. _____ are outgoing, friendly and talkative people.
3. The psychic energy manifested by the life instincts is the _____.
4. Cattell has developed _____ to assess personality.
5. _____ emphasis the role of observational learning in personality development.

8.8 STAGES OF PERSONALITY DEVELOPMENT

8.8.1 Psychosexual stages of development

According to Freud everyone has to go through sequence of stages for development. To understand staged of personality development by Freud, it is necessary to understand two basic concepts i.e. Libido and Fixation.

- **Libido-** It is the instinctual psychic energy that powers all mental activities. It is the life force that energises Id (primitive, innate urges). The id work on pleasure principle and seeks immediate gratification of its desires. Expression of libido varies as a person moves through different developmental stages. Freud demonstrated that psychiatric symptoms are the result of inadequate discharge of libido.
- **Fixation-** The expression of libido depends upon the stage of development a person is in. At each stage, the libido is focused on a specific area. Too much or too little investment of libido in any particular stage can result in fixation. This means that the focus of a person's libidinal energy may remain fixed at an earlier stage of development. As a result the person will remain "fixed" in that stage until the conflict is resolved. If handled successfully, the child moves to the next stage of development and eventually grows into a healthy, successful adult. For instance, in the first stage i.e. the oral stage of psychosexual development the libido is centered on the mouth, so activities such as eating, sucking, and drinking are important. If fixation occurs, in this stage, it might result in problems such as nail-biting, drinking, smoking, and other habits.

Stage 1 – Oral Stage: It is the first stage of psycho sexual development occurs during the first 12 to 18 months of age. In this stage the focus of pleasure is mouth and children sucks or bites anything that fits in their mouth.

Stage 2- Anal stage: It begins from 12 to 18 months and lasts till 3 years of age. In this stage the major source of pleasure is anal region and children enjoys both retention and expulsion of feces. In most cultures during this stage the emphasis is placed on toilet training. If the fixation occurs during this stage it may lead to an adult personality with unusual rigidity, sloppiness, orderliness, punctuality or extreme disorderliness.

Stage 3- Phallic stage: At about 3 years of age the child enters phallic stage of development. In this stage the pleasure is derived from playing with genitals. In this stage according to Freud, Oedipal conflict occurs. The difference between male and female anatomy become more salient, as the children focus their attention on genitals. Furthermore, Freud believes that in this stage the male child develops sexual interest in his mother and see father as rival figure – this phenomenon is known as Oedipus conflict. In parallel to this a conflict arises in girl child known as Electra complex. In this conflict the girl child begin to feel sexually aroused towards her father and competes with her mother. If the conflict is resolved the child moves on to the next stage of

development. If fixation might occur it may result in improper sex role behaviour and failure to develop a conscience.

Stage 4- Latency period: Following the resolution of conflict in phallic stage, the child moves on the latency period at around 5 – 6 years of age and lasts until puberty. In this stage Freud suggested sexual or pleasure seeking concerns are to put to rest even in unconscious mind.

Stage 5- Genital stage: This is the last stage of psycho sexual development. During this stage the sexual feeling reemerge in child after latency period. According to Freud this stage lasts till death and the focus of pleasure is on maturity and sexual intercourse.

8.8.2 Psycho- social stages of development

Erik Erikson was a developmental psychologist who specialized in child psychoanalysis and was best known for his theory of psychosocial development. Psychosocial development is a sequence of stages that refers to how a person's individual needs (psycho) interact with the needs or demands of society (social). Erikson has given eight developmental stages a person passes through across lifespan. At each stage there is a crisis and personality develops by resolving the crisis.

Stage 1: Trust vs. mistrust (Birth to 12 – 18 months)

The child in this stage is totally dependent upon parents for everything they need say food, comfort, cleaning to name a few. In this stage psychological strength of trust emerges, by being there for the baby and fulfilling all the basic needs Children whose needs aren't met will look at the world with anxiety, fear, and mistrust.

Stage 2: Autonomy vs. shame and doubt (18 months to 3 years)

In this stage the children starts to assert their independence. They realize they are not dependent upon others for everything and can do few things by themselves. By this stage the child began to exhibit food, cloth and other preferences. Hence, letting the child choose for himself means helping them build their self-esteem. In this stage toilet training should be practiced as learning to control bodily functions gives child a feeling of independence or autonomy. According to Erikson, children who are not given the opportunity to assert themselves (within the boundaries you set) will struggle with feelings of inadequacy and self-doubt.

Stage 3: Initiative vs. guilt (3 to 5 years old)

In this stage child began to interact socially and plays with others, they learn to take initiatives. In this stage the child should be encouraged to achieve goals and take responsibilities. Give the child a chance to play roles such as teacher, doctor, or pilot while you act the student, patient, or customer. Child in this stage develops self-confidence and learns to enjoy having a sense of

purpose. However, if the parents don't support the child in decision making or setting goals, the child may not be equipped to take the initiative and could be filled with guilt which may lead to deter their creativity.

Stage 4: Industry vs. inferiority (5 to 12 years old)

By this time the child has hit elementary school and began to learn new skills. The children in this stage have plenty of social interactions and they start comparing themselves to others. They will even compare their family to other families. If you notice that your child struggles in one area, look for another area in which they can shine. If a child succeeds in fulfilling a goal he feels industrious while the failure to do so has repeated negative experiences and develops feelings of inferiority.

Stage 5: Identity vs. confusion (12 to 18 years old)

In this stage comes the adolescence period where the child faces the challenge of developing a sense of self. Identity is formed in this stage by examining beliefs, goals, and values an individual adheres in life. The one who passes this stage successfully forms a strong sense of identity. If the parents in this stage force the child to conform to their values and beliefs it will lead to sense of confusion.

Stage 6: Intimacy vs. isolation (18 to 40 years old)

In this stage people are ready to share their lives with others. This is the time when relationship commitments are made. The psychosocial challenge of this stage is to build long-term loving and safe relationships. When people complete this stage successfully, usually have life relationships filled with commitment and love whereas the lack of security and warmth left them to experience loneliness and depression.

Stage 7: Generativity vs. stagnation (40 to 65 years old)

This stage of psycho social development is characterized by a need to give to others. This includes the responsibility of raising children, contributions towards community and charities etc. On the work front it is characterized by doing well and productive. People who accomplish this stage successfully have the satisfaction of knowing that they are valued in life. What can hold people back in this stage is the lack of positive feedback from friends, family and they may experience stagnation. Frustrated with the feeling of inability to do well for family, work, or they may invest in personal growth or in productivity.

Stage 8: Integrity vs. despair (Over 65 years old)

This is the last stage of Erikson's development theory. This is the stage of reflection. It is when the pace of life went down, people look back to assess their achievements in life. People who are

proud of their doings experience satisfaction while the others left with feelings of loss and regret. According to Erikson, this stage is one of flux as people often alternate between feelings of satisfaction and regret.

8.9 PERSONALITY DEVELOPMENT AND SOFT SKILLS

Soft skills, sometimes known as "people skills," are personal characteristics that improve a person's interactions with others, job performance, and career opportunities. Unlike hard skills, such as technical or occupational skills, which are often tied to a single task or activity, soft skills can be applied to a wide range of situations. Soft talents are divided into two categories: personal traits and interpersonal abilities.

Overall personality development is only possible if both hard and soft abilities are developed together. Hard talents alone are insufficient to bring out the best in you and secure success. Combining technical expertise with the process of putting that expertise into practice would result in overall personality development and progress. For example, a person may need to work on his personality in order to prepare for an interview or advance in his professional job.

Every character comes with its own set of personality requirements. One can create a very tangible change to his original self to meet the expectations by intentionally working on the desired attributes over time and projecting the desirable ones. Hence, by inculcating the desired personality traits one can excel in soft skills such as communication, reasoning, planning etc.

Personality is a fluid concept. Every person is made up of a variety of personalities. However, it is critical to consider one's work goals and develop a personality profile that is appropriate for the situation over time. It's also worth noting that personality differs depending on the role. At the start of his profession, the same guy may be more introverted. Later in his career, when his role changes, he may gain the extraversion trait. Similarly, while interacting with children, one individual may be highly sensitive and have a more touchy-feely personality, yet when driving a project, he may be very analytical and of the thinking type.

8.10 LEARNING SKILLS

The abilities involved in gathering knowledge and increasing understanding, especially those abilities demonstrated in educational settings and developed through study, classroom instruction, and the like. APA defines learning skills as –the abilities involved in gathering knowledge and increasing understanding, especially those abilities demonstrated in educational settings and developed through study, classroom instruction, and the like. |

Personality impacts the process of learning through attitudes and motives which create particular conceptions of learning and preferred ways to learn. As the world of work becomes

more flexible, people need to enhance their ability to adapt to new situations and acquire new skills.

8.10.1 Adaptability Skills

Adaptability skills refer to the qualities that allow an individual to adjust to changes in the environment. Being adaptable at work includes quick response to changing ideas, trends, plans, goals, strategies and other processes. Adaptability skills are important when working on projects, developing strategies or implementing different approaches at any given task in hand as they reveal how motivated you are to try new things and acquire new skills.

8.10.1.1 Why Adaptability Skills Matters

The life is ever changing, sometimes it's a stream, sometimes a river, and sometimes a tidal wave however, we must be flexible in our personal lives. What makes it more challenging is that keeping abreast of these means staying informed and knowing when to take advantage of opportunities. Being able to adapt to change in all its forms keeps us constantly prepared to survive and succeed no matter what climate we're in.

8.10.1.2 Types of adaptability skills

Adaptability skills can include a variety of skill sets that can essentially help you adapt to and deal with change positively and proactively. Some examples of these important skills include:

1. **Communication skills-** Communication skills are necessary for adaptability. It includes active listening, non verbal as well as verbal communication. It shows you are attentive, ready to take a new direction, and navigate dynamics in the environment.
2. **Interpersonal skills-** Having excellent interpersonal skills play a key role in overall adaptability. Being able to interact with others in healthy and positive ways avoid miscommunication and conflicts in both personal and professional relationships.
3. **Problem-solving skills-** Adapting to changing circumstances relies on problem-solving skills to find creative solutions to challenges. It also reflects the willingness to make adjustments or improvements to the ways one used to solve problems earlier.
4. **Creative thinking skills-** Adaptability also require creative thinking skills. In case of developing new strategies, ideas or plans implementing methods to improve and develop new strategies can all showcase your overall adaptability skills.
5. **Teamwork skills-** Teamwork skills make an individual able to adapt to different working dynamics. Being able to work with a team of diverse people and deal with conflicts, can positively benefit how adaptive you are in a team environment.

6. **Organizational skills-** This expertise is important to improve your adaptability skills because it can prevent chaos caused by disorganized environment. If you keep your work organised, including documentation, digital data, and other aspects of your job; you can be better prepare to adapt to any changes that occur at work.

8.10.1.3 How to improve adaptability skills

Being adaptable and open to change may not always be easy, however, you might consider the following steps to help you develop and improve your adaptability skills:

1. Identify weak areas.
2. Practice better habits in your daily life.
3. Take a communication skills course.
4. Participate in volunteer opportunities.
5. Be aware of changes in your environment
6. Develop a growth mindset
7. Set goals for yourself
8. Ask for feedback
9. Learn to acknowledge and accept change

Self Check Exercise 2

1. Describe the nature of Personality

.....
.....

2. Explain the psycho-sexual stages of development.

.....
.....

- 3What are the different types of adaptability skills?

.....
.....

8.11 SUMMARY

This chapter discusses the meaning of personality in broader sense. Various approaches such as trait, type, humanistic, psycho analytic and social cognitive to study personality are

explained. These approaches are helpful in understanding different components a personality is made of. Second, we discussed psychosexual stages of personality and where; each stage represents the fixation of libido (roughly translated as sexual drives or instincts) on a different area of the body. As a person grows physically certain areas of their body become important as sources of potential frustration, pleasure or both. Third, we consider Erikson's psychosocial theory of personality development suggested that how we interact with others is what affects our sense of self, or what he called the ego identity. Fourth, we touch upon the contemporary interests of studying learning skills.

8.12 KEYWORDS

Personality Development: Personality development is the development of the organized pattern of behaviors and attitudes that makes a person distinctive. Personality development occurs by the ongoing interaction of temperament, character, and environment.

Trait Approach: Trait theorists believe personality can be understood by positing that all people have certain traits, or characteristic ways of behaving.

Temperament: Temperament refers to emotional aspect of the personality like changes in mood, tensions, excitement, etc.

Psychoanalytic Perspective : The psychoanalytic perspective of personality emphasizes the importance of early childhood experiences and the unconscious mind.

Humanistic Perspective: The humanistic perspective of personality focuses on psychological growth, free will, and personal awareness. It takes a more positive outlook on human nature and is centered on how each person can achieve their individual potential.

Social-Cognitive Perspective: The social cognitive perspective of personality emphasizes the importance of observational learning, self-efficacy, situational influences, and cognitive processes.

Adaptability skills: Adaptability skills refer to the qualities that allow an individual to adjust to changes in the environment. They are also important when working on projects, developing strategies or implementing different approaches at any given task in hand as they reveal how motivated you are to try new things and acquire new skills.

8.13 Model Answers

Self Check Exercise 1

1. Cardinal
2. Extroverts
3. Libido
4. 16 PF
5. Albert Bandura

MEANING AND NATURE OF PERSONALITY

To know the meaning, of personality we have to trace the historical roots of the term. The term personality has been derived from the Latin word ‘_Persona’ which means theatrical mask worn by actors while performing a character on the stage. Thus the layman’s perspective of personality is confined to physical appearance only. Generally by personality people mean the degree of attractiveness a person holds. This notion makes us believe that there can be good, bad or no personality at all. However, this is a limited view of the concept; personality is much deeper than just physical appearance of a person.

Thus by the term personality means the characteristic style of behaviour of an individual revealed from his external appearance. The external appearance of a person includes dressing, speech, gestures, postures, habits and expressions. Thus a person endowed with good external appearance is considered to possess a good personality and vice versa. But this is not the reality. The personality is neither wholly physical nor mental construct. But it entails operations of both body and mind, intractably fused into a whole individual. Persons like Mahatma Gandhi, Lal Bahadur Shastri and George Bernard Shaw and many others whose external appearance was not highly endowed had very good personality indeed. These persons are certainly not favored by nature in external properties. Therefore, the concept of external appearance in personality was relegated to background.

In social psychology, the term personality indicates an integrated whole. It is considered as all inclusive of all characteristics and qualities that a person holds. Thus, personality is the sum total of the ideas, attitudes, and values of a person which determine his role in society and form an integral part of his character. Personality is not something that is self created but it is acquired as a result of individual participation in group life.

Personality shows behavioural characteristics that vary from one person to another. Each person’s behaviour exhibits a certain degree of consistency across situations over time. It would seem that a person’s personality represents his or her largely acquired style of coping with the world.

Understanding someone’s personality gives the clues about how the person is likely to act in a given situation. In the field of organizational behavior, an understanding of different employees’ personalities is helpful. Having this knowledge is also useful for placing people in jobs and organizations. A person with a positive attitude can direct his thoughts, control his emotions and regulate his attitude.

Personality is basically the sum total of all that an individual possess. It refers to the behavioural characteristics of a person. It includes memories, knowledge, habits, goals, aspirations, interest, thinking, attitudes, beliefs, values, self, emotional and temperamental makeup. All that a person is and aspires to become is part of personality.

Personality is a dynamic in nature. Individuals are different from each other even at birth, in physique, chemique, motivation and temperament resulted from the interaction with the environment. With age these differences become more pronounced as behavioural characteristics.

2. Psycho-sexual Stages of Development

Stage 1 – Oral Stage: It is the first stage of psycho sexual development occurs during the first 12 to 18 months of age. In this stage the focus of pleasure is mouth and children sucks or bites anything that fits in their mouth.

Stage 2- Anal stage: It begins from 12 to 18 months and lasts till 3 years of age. In this stage the major source of pleasure is anal region and children enjoys both retention and expulsion of feces. In most cultures during this stage the emphasis is placed on toilet training. If the fixation occurs during this stage it may lead to an adult personality with unusual rigidity, sloppiness, orderliness, punctuality or extreme disorderliness.

Stage 3- Phallic stage: At about 3 years of age the child enters phallic stage of development. In this stage the pleasure is derived from playing with genitals. In this stage according to Freud, Oedipal conflict occurs. The difference between male and female anatomy become more salient, as the children focus their attention on genitals. Furthermore, Freud believes that in this stage the male child develops sexual interest in his mother and see father as rival figure – this phenomenon is known as Oedipus conflict. In parallel to this a conflict arises in girl child known as Electra complex. In this conflict the girl child begin to feel sexually aroused towards her father and competes with her mother. If the conflict is resolved the child moves on to the next stage of development. If fixation might occur it may result in improper sex role behaviour and failure to develop a conscience.

Stage 4- Latency period: Following the resolution of conflict in phallic stage, the child moves on the latency period at around 5 – 6 years of age and lasts until puberty. In this stage Freud suggested sexual or pleasure seeking concerns are to put to rest even in unconscious mind.

Stage 5- Genital stage: This is the last stage of psycho sexual development. During this stage the sexual feeling reemerge in child after latency period. According to Freud this stage lasts till death and the focus of pleasure is on maturity and sexual intercourse.

3. Types of adaptability skills

Adaptability skills can include a variety of skill sets that can essentially help you adapt to and deal with change positively and proactively. Some examples of these important skills include:

1. **Communication skills-** Communication skills are necessary for adaptability. It includes active listening, non verbal as well as verbal communication. It shows you are attentive, ready to take a new direction, and navigate dynamics in the environment.
2. **Interpersonal skills-** Having excellent interpersonal skills play a key role in overall adaptability. Being able to interact with others in healthy and positive ways avoid miscommunication and conflicts in both personal and professional relationships.
3. **Problem-solving skills-** Adapting to changing circumstances relies on problem-solving skills to find creative solutions to challenges. It also reflects the willingness to make adjustments or improvements to the ways one used to solve problems earlier.
4. **Creative thinking skills-** Adaptability also require creative thinking skills. In case of developing new strategies, ideas or plans implementing methods to improve and develop new strategies can all showcase your overall adaptability skills.
5. **Teamwork skills-** Teamwork skills make an individual able to adapt to different working dynamics. Being able to work on a diverse team of people and deal with conflict, differing ideas and other dynamics that can occur can positively benefit how adaptive you are in a team environment.
6. **Organizational skills-** This expertise is important to improve your adaptability skills because it can involve many different aspects. You can be better prepared if organisational changes occur at work if you keep your work area organised, which includes documentation, digital data, and other aspects of your job.

8.14 SUGGESTED READINGS AND REFERENCES

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Web Links

<https://www.artofliving.org/in-en/personality-development>

<https://www.indeed.com/career-advice/finding-a-job/learning-skills#:~:text=Learning%20skills%20are%20habits%20that,That%20Require%20Creative%20Thinking%20Skills>

<https://www.indeed.com/career-advice/career-development/adaptability-skills>

8.15 QUESTIONS FOR PRACTICE

1. What do you mean by Adaptability Skills? What are its different types?
2. What are the different stages of Personality Development?
3. Explain the approaches of Personality in detail?

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