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HISTORY AND CULTURE OF INDIAN UP TO AD 1526

I- B.A(HISTORY) / I - Semester
As per Choice Based Credit System (CBCS)



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History and Culture of Indian up to AD 1526

Unit I:

Influence of Geography on History – Survey of the Sources – pre-historic period Paleolithic. Mesolithic and Neolithic cultures – Role of Technology. Indus valley Civilization – Its characteristic features – Vedic culture – Early and later Vedic Period – Post-Vedic period Emergence of Varna and caste system – Rise of new Religious Movements-Jainism and Buddhism in 6th Century B.C. Impact on Society and culture.

Unit II:

A brief survey of political conditions in ancient India – Magadha, Alexander's Invasion and Mauryas – Ashoka's Dharma, Its nature and propagation – Mauryan Administration – Economy – Art and Architecture:

Unit III:

Post-Mauryan period in North India-A brief political survey of Kushans, Guptas, Pushyabhuti and Rajputs: Polity and Administration-Social Conditions-Caste System – position of Women-Economy,-Indian Feudalism Art-Architecture-Education, Literature, Philosophy, Science and Technology.

Unit IV:

A brief political survey of South India-Sangham Age-Satavahanas-Pallavas-Cholas-Chalukyas, and Rashtrakutas-Kakatiya and Vijayanagara-Polity and Administration, Society, Economy-Art and – Architecture.

Unit V:

Invasions of Arabs, Ghaznavids and Ghori and Delhi Sultanate – A brief Political Survey, Polity and Administration under Delhi Sultanate, society, Composition of rural Society, Nobility-Status of Women, Economic and Technological developments. Agriculture-Industry-Trade and Commerce-Urbanisation, Art and Architecture-Fine Arts-Education and Literature.

Unit VI:

Impact of Islam on Indian Society and culture-Bhakti and Sufi Movements Emergence of Composite culture.

UNIT 1

INFLUENCE OF GEOGRAPHY ON HISTORY

Structure

- 1.0 Aims and Objectives
- 1.1 Introduction
- 1.2 Influence of Geography on History
- 1.3 Survey of Sources
- 1.4 Prehisotric Period
 - 1.4.1 Paleolithic
 - 1.4.2 Mesolithic
 - 1.4.3 Neolithic Culture
- 1.5 Role of Technology
- 1.6 Indus Valley Civilization
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 - 1.8.4 Impact on Culture
 - 1.8.5 Influence of Jainism on Sculpture
- 1.9 Summary
- 1.10 Keywords
- 1.11 Review Questions

1.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Study about prehistoric period and their cultures.
- Describe role of technology during prehistoric period.
- Explaining about Vedic culture and Vedic period.
- Define caste system and its emergence.

1.1 INTRODUCTION

“India is the cradle of human race, the birthplace of human speech, the mother of history, the grandmother of legend, and the great grandmother of tradition. Our most valuable and most attractive materials in the history of man are treasured up in India only! “The Indus valley civilization saw its genesis in the holy land now known as India around 2500 BC. The people inhabiting the Indus River valley were thought to be Dravidians, whose descendants later migrated to the south of India. The deterioration of this civilization that developed a culture based on commerce and sustained by agricultural trade can be attributed to ecological changes. The second millennium BC was witness to the migration of the bucolic Aryan tribes from the North West frontier into the sub continent. These tribes gradually merged with their antecedent cultures to give birth to a new milieu.

The Aryan tribes soon started penetrating the east, flourishing along the Ganga and Yamuna Rivers. By 500 BC, the whole of northern India was a civilized land where people had knowledge of iron implements and worked as labor, voluntarily or otherwise. The early political map of India comprised of copious independent states with fluid boundaries, with increasing population and abundance of wealth fueling disputes over these boundaries.

1.2 INFLUENCE OF GEOGRAPHY ON HISTORY

The **geography of India** describes the geographic features of India, a country in South Asia. India lies largely on the Indian Plate, the northern portion of the Indo-Australian Plate, whose continental crust forms the Indian subcontinent. The country is situated north of the equator between 8°4' and 37°6' north latitude and 68°7' and 97°25' east longitude. It is the seventh-largest country in the world, with a total area of 3,166,414 square kilometers (1,222,559 sq mi). India measures 3,214 km (1,997 mi) from north to south and 2,933 km (1,822 mi) from east to west. It has a land frontier of 15,200 km (9,445 mi) and a coastline of 7,517 km (4,671 mi).

On the south, India projects into and is bounded by the Indian Ocean in particular, by the Arabian Sea on the southwest, the Laccadive Sea to the south, and the Bay of Bengal on the southeast. The Palk Strait and Gulf of Mannar separate India from Sri Lanka to its immediate southeast, and the Maldives are some 400 kilometers (250 mi) to the southwest. India's Andaman and Nicobar Islands, some 1,200 kilometers (750 mi) southeast of the mainland, share maritime borders with Burma, Thailand and Indonesia. Kanyakumari at 8°4'41"N and 77°32'28"E is the southernmost tip of the Indian mainland, while the southernmost point in India is Indira Point on Great Nicobar Island. India's territorial waters extend into the sea to a distance of 12 nautical miles (13.8 mi; 22.2 km) from the coast baseline.

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The northern frontiers of India are defined largely by the Himalayan mountain range, where the country borders China, Bhutan, and Nepal. Its western border with Pakistan lies in the Punjab Plain and the Thar Desert. In the far northeast, the Chin Hills and Kachin Hills, deeply forested mountainous regions, separate India from Burma. On the east, its border with Bangladesh is largely defined by the Khasi Hills and Mizo Hills, and the watershed region of the Indo-Gangetic Plain.

The Ganges is the longest river originating in India. The Ganges-Brahmaputra system occupies most of northern, central, and eastern India, while the Deccan Plateau occupies most of southern India. Kanchenjunga, on the border between Nepal and the Indian state of Sikkim, is the highest point in India at 8,598 m (28,209 ft) and the world's 3rd highest peak. Climate across India ranges from equatorial in the far south, to alpine in the upper reaches of the Himalayas.

Physiographic Regions

India can be divided into five physiographic regions. They are

- The northern mountains
- Indo Gangetic Plains
- The Peninsular Plateau
- Thar Desert
- The Coastal Plains

1) Mountains

A great arc of mountains, consisting of the Himalayas, Hindu Kush, and Patkai ranges define the northern Indian subcontinent. These were formed by the ongoing tectonic collision of the Indian and Eurasian plates. The mountains in these ranges include some of the world's tallest mountains which act as a natural barrier to cold polar winds. They also facilitate the monsoon winds which in turn influence the climate in India. Rivers originating in these mountains flow through the fertile Indo-Gangetic plains. These mountains are recognized by bio-geographers as the boundary between two of the Earth's great ecozones: the temperate Palearctic that covers most of Eurasia and the tropical and subtropical Indomalaya ecozone which includes the Indian subcontinent, Southeast Asia and Indonesia.

India has eight major mountain ranges having peaks of over 1,000 m (3,281 ft)

The Himalayan range is considered as the world's highest mountain range, with its tallest peak Mt. Everest (8,848 m) on the Nepal-China border. They form India's northeastern border, separating it from northeastern Asia. They are one of the world's youngest mountain ranges and extend almost uninterrupted for 2,500 km (1,553 mi), covering an area of 500,000 km² (193,051 sq mi). The Himalayas extend from Jammu and Kashmir in the north to Arunachal Pradesh in the east. These states along with Himachal Pradesh, Uttarakhand, and Sikkim lie mostly in the Himalayan region. Numerous Himalayan peaks rise over 7,000 m (22,966 ft) and the snow line ranges between 6,000 m (19,685 ft) in Sikkim to around 3,000 m (9,843 ft) in Kashmir. Kanchenjunga on the Sikkim-Nepal border is the highest point in the area administered by India. Most peaks in the Himalayas remain snowbound throughout the year. The Himalayas act as a barrier to the frigid katabatic winds flowing down from Central Asia. Thus, North India is kept warm or only mildly cooled during winter; in summer, the same phenomenon makes India relatively hot.

The Karakoram is situated in the disputed state of Jammu and Kashmir. It has more than sixty peaks above 7,000 m (22,966 ft), including K2, the second highest peak in the world 8,611 m (28,251 ft). K2 is just 237 m (778 ft) smaller than the 8,848 m

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(29,029 ft) Mount Everest. The range is about 500 km (311 mi) in length and the most heavily glaciated part of the world outside of the Polar Regions. The Siachen Glacier at 70 km (43 mi) and the Biafo Glacier at 63 km (39 mi) rank as the world's second and third-longest glaciers outside the Polar Regions. Just to the west of the northwest end of the Karakoram, lies the Hindu Raj range, beyond which is the Hindu Kush range. The southern boundary of the Karakoram is formed by the Gilgit, Indus and Shyok rivers, which separate the range from the northwestern end of the Himalayas.

The Patkai, or Purvanchal, are situated near India's eastern border with Burma. They were created by the same tectonic processes which led to the formation of the Himalayas. The physical features of the Patkai mountains are conical peaks, steep slopes and deep valleys. The Patkai ranges are not as rugged or tall as the Himalayas. There are three hill ranges that come under the Patkai: the Patkai-Bum, the Garo-Khasi-Jaintia and the Lushai hills. The Garo-Khasi range lies in Meghalaya. Mawsynram, a village near Cherrapunji lying on the windward side of these hills, has the distinction of being the wettest place in the world, receiving the highest annual rainfall.

i) The Vindhyas in Central India

The Vindhya range runs across most of central India, extending 1,050 km (652 mi). The average elevation of these hills is from 300 m to 600 m and rarely goes above 700 meters. They are believed to have been formed by the wastes created by the weathering of the ancient Aravali mountains. Geographically, it separates northern India from southern India. The western end of the range lies in eastern Gujarat, near its border with Madhya Pradesh, and runs east and north, almost meeting the Ganges at Mirzapur.

The Satpura Range begins in eastern Gujarat near the Arabian Sea coast and runs east across Maharashtra, Madhya Pradesh and Chhattisgarh. It extends 900 km (559 mi) with many peaks rising above 1,000 m (3,281 ft). It is triangular in shape, with its apex at Ratnapuri and the two sides being parallel to the Tapti and Narmada rivers. It runs parallel to the Vindhya Range, which lies to the north, and these two east-west ranges divide the Indo-Gangetic plain from the Deccan Plateau located north of River Narmada.

ii) Western Ghats Near Matheran

The Aravali Range is the oldest mountain range in India, running across Rajasthan from northeast to southwest direction, extending approximately 800 km (497 mi). The northern end of the range continues as isolated hills and rocky ridges into Haryana, ending near Delhi. The highest peak in this range is Guru Shikhar at Mount Abu, rising to 1,722 m (5,650 ft), lying near the border with Gujarat. The Aravali Range is the eroded stub of an ancient fold mountain system. The range rose in a Precambrian event called the Aravali-Delhi orogen. The range joins two of the ancient segments that make up the Indian craton, the Marwar segment to the northwest of the range, and the Bundelkhand segment to the southeast.

The Western Ghats or Sahyadri mountains run along the western edge of India's Deccan Plateau and separate it from a narrow coastal plain along the Arabian Sea. The range runs approximately 1,600 km (994 mi) from south of the Tapti River near the Gujarat-Maharashtra border and across Maharashtra, Goa, Karnataka, Kerala and Tamil Nadu to the southern tip of the Deccan peninsula. The average elevation is around 1,000 m (3,281 ft). Anai Mudi in the Anaimalai Hills 2,695 m (8,842 ft) in Kerala is the highest peak in the Western Ghats.

The Eastern Ghats are a discontinuous range of mountains, which have been eroded and vivisected by the four major rivers of southern India, the Godavari, Mahanadi, Krishna, and Kaveri. These mountains extend from West Bengal to Orissa, Andhra

Pradesh and Tamil Nadu, along the coast and parallel to the Bay of Bengal. Though not as tall as the Western Ghats, some of its peaks are over 1,000 m (3,281 ft) in height. The Nilgiri hills in Tamil Nadu lies at the junction of the Eastern and Western Ghats. Jindagada Peak (1690 m), near Araku Valley of Andhra Pradesh, is the tallest peak in Eastern Ghats.

2) Indo-Gangetic Plain

The Indo-Gangetic plains, also known as the Great Plains are large alluvial plains dominated by three main rivers, the Indus, Ganges, and Brahmaputra. They run parallel to the Himalayas, from Jammu and Kashmir in the west to Assam in the east, and drain most of northern and eastern India. The plains encompass an area of 700,000 km² (270,000 sq mi). The major rivers in this region are the Ganges, Indus, and Brahmaputra along with their main tributaries—Yamuna, Chambal, Gomti, Ghaghara, Kosi, Sutlej, Ravi, Beas, Chenab, and Tista as well as the rivers of the Ganges Delta, such as the Meghna.

The great plains are sometimes classified into four divisions:

The Bhabar belt is adjacent to the foothills of the Himalayas and consists of boulders and pebbles which have been carried down by streams. As the porosity of this belt is very high, the streams flow underground. The Bhabar is generally narrow with its width varying between 7 to 15 km.

The Terai belt lies south of the adjacent Bhabar region and is composed of newer alluvium. The underground streams reappear in this region. The region is excessively moist and thickly forested. It also receives heavy rainfall throughout the year and is populated with a variety of wildlife.

The Bangar belt consists of older alluvium and forms the alluvial terrace of the flood plains. In the Gangetic plains, it has a low upland covered by laterite deposits.

The Khadar belt lies in lowland areas after the Bangar belt. It is made up of fresh newer alluvium which is deposited by the rivers flowing down the plain.

The Indo-Gangetic belt is the world's most extensive expanse of uninterrupted alluvium formed by the deposition of silt by the numerous rivers. The plains are flat making it conducive for irrigation through canals. The area is also rich in ground water sources.

The plains are one of the world's most intensely farmed areas. The main crops grown are rice and wheat, which are grown in rotation. Other important crops grown in the region include maize, sugarcane and cotton. The Indo-Gangetic plains rank among the world's most densely populated areas.

3) Thar Desert

The Thar Desert (also known as the deserts) is the world's seventh largest desert, by others the tenth. It forms a significant portion of western India and covers an area of about 200,000 km² (77,000 sq mi) to about 238,700 km² (92,200 sq mi). The desert continues into Pakistan as the Cholistan Desert. Most of the Thar Desert is situated in Rajasthan, covering 61% of its geographic area.

About 10 percent of this region comprises sand dunes, and the remaining 90 percent consist of craggy rock forms, compacted salt-lake bottoms, and interdunal and fixed dune areas. Annual temperatures can range from 0°C in the winter to over 50°C during the summer. Most of the rainfall received in this region is associated with the short July–September southwest monsoon that brings around 100–500 mm of precipitation. Water is scarce and occurs at great depths, ranging from 30 to 120 m below the ground level. Rainfall is precarious and erratic, ranging from below 120 mm (4.72 inches) in the extreme west to 375 mm (14.75 inches) eastward. The soils of the arid region are

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generally sandy to sandy-loam in texture. The consistency and depth vary as per the topographical features. The low-lying loams are heavier and may have a hard pan of clay, calcium carbonate or gypsum.

Highlands

The Central Highlands consists of three main plateaus the Malwa Plateau in the west, the Deccan Plateau in the south (covering most of the Indian peninsula) and the Chota Nagpur Plateau in the east.

The Malwa Plateau is spread across Rajasthan, Madhya Pradesh and Gujarat. The average elevation of the Malwa plateau is 500 metres, and the landscape generally slopes towards the north. Most of the region is drained by the Chambal River and its tributaries; the western part is drained by the upper reaches of the Mahi River.

The Deccan Plateau is a large triangular plateau, bounded by the Vindhyas to the north and flanked by the Eastern and Western Ghats. The Deccan covers a total area of 1.9 million km² (735,000 mile²). It is mostly flat, with elevations ranging from 300 to 600 m (1,000 to 2,000 ft). The average elevation of the plateau is 2,000 feet (600 m) above sea level. The surface slopes from 3,000 feet (900 m) in the west to 1,500 feet (450 m) in the east. It slopes gently from west to east and gives rise to several peninsular rivers such as the Godavari, the Krishna, the Kaveri and the Mahanadi which drain into the Bay of Bengal. This region is mostly semi-arid as it lies on the leeward side of both Ghats. Much of the Deccan is covered by thorn scrub forest scattered with small regions of deciduous broadleaf forest. Climate in the Deccan ranges from hot summers to mild winters.

The Chota Nagpur Plateau is situated in eastern India, covering much of Jharkhand and adjacent parts of Orissa, Bihar and Chhattisgarh. Its total area is approximately 65,000 km² (25,000 mile²) and is made up of three smaller plateaus the Ranchi, Hazaribagh, and Kodarma plateaus. The Ranchi plateau is the largest, with an average elevation of 700 m (2,300 ft). Much of the plateau is forested, covered by the Chota Nagpur dry deciduous forests. Vast reserves of metal ores and coal have been found in the Chota Nagpur plateau. The Kathiawar peninsula in western Gujarat is bounded by the Gulf of Kutch and the Gulf of Khambat. The natural vegetation in most of the peninsula is xeric scrub, part of the Northwestern thorn scrub forests eco-region.

In western India, the Kutch region in Gujarat and Koyna in Maharashtra are classified as a Zone IV region (high risk) for earthquakes. The Kutch city of Bhuj was the epicentre of the 2001 Gujarat earthquake, which claimed the lives of more than 1,337 people and injured 166,836 while destroying or damaging near a million homes. The 1993 Latur earthquake in Maharashtra killed 7,928 people and injured 30,000. Other areas have a moderate to low risk of an earthquake occurring.

(4) Coasts

The Eastern Coastal Plain is a wide stretch of land lying between the Eastern Ghats and the Bay of Bengal. It stretches from Tamil Nadu in the south to West Bengal in the east. The Mahanadi, Godavari, Kaveri, and Krishna rivers drain these plains. The temperature in the coastal regions often exceeds 30 °C (86 °F), and is coupled with high levels of humidity. The region receives both the northeast monsoon and southwest monsoon rains.

The southwest monsoon splits into two branches, the Bay of Bengal branch and the Arabian Sea branch. The Bay of Bengal branch moves northwards crossing northeast India in early June. The Arabian Sea branch moves northwards and discharges much of its rain on the windward side of Western Ghats. Annual rainfall in this region averages between 1,000 and 3,000 mm (39 and 120 in). The width of the plains varies between 100 and 130 km (62 and 81 mi). The plains are divided into six regions the Mahanadi

delta, the southern Andhra Pradesh plain, the Krishna-Godavari deltas, the Kanyakumari coast, the Coromandel Coast, and sandy coastal.

The Western Coastal Plain is a narrow strip of land sandwiched between the Western Ghats and the Arabian Sea, ranging from 50 to 100 km (31 to 62 mi) in width. It extends from Gujarat in the north and extends through Maharashtra, Goa, Karnataka, and Kerala. Numerous rivers and backwaters inundate the region. Mostly originating in the Western Ghats, the rivers are fast-flowing, usually perennial, and empty into estuaries. Major rivers flowing into the sea are the Tapi, Narmada, Mandovi and Zuari. Vegetation is mostly deciduous, but the Malabar Coast moist forests constitute a unique ecoregion. The Western Coastal Plain can be divided into two parts, the Konkan and the Malabar Coast.

5) Islands

The Lakshadweep and the Andaman and Nicobar Islands are India's two major island formations and are classified as union territories. The Lakshadweep Islands lie 200 to 300 km (120 to 190 mi) off the coast of Kerala in the Arabian sea with an area of 32 km² (12 sq mi). They consist of twelve atolls, three reefs, and five submerged banks, with a total of about 36 islands and islets.

The Andaman and Nicobar Islands are located between 6° and 14° north latitude and 92° and 94° east longitude. They consist of 572 isles, lying in the Bay of Bengal near the Burmese coast. They are located 1,255 km (780 mi) from Kolkata (Calcutta) and 193 km (120 mi) from Cape Negrais in Burma. The territory consists of two island groups, the Andaman Islands and the Nicobar Islands. The Andaman Islands consists of 204 small islands across a total length of 352 km (219 mi). India's only active volcano, Barren Island is situated here. It last erupted in May 2005. The Narcondum is a dormant volcano and there is a mud volcano at Baratang. Indira Point, India's southernmost land point, is situated in the Nicobar islands at 6°45'10"N and 93°49'36"E, and lies just 189 km (117 mi) from the Indonesian island of Sumatra, to the southeast. The highest point is Mount Thullier at 642 m (2,106 ft).

Other significant islands in India include Diu daman, a former Portuguese enclave; Majuli, a river island of the Brahmaputra; Elephanta in Bombay Harbour; and Sriharikota, a barrier island in Andhra Pradesh. Salsette Island is India's most populous island on which the city of Mumbai (Bombay) is located. Forty-two islands in the Gulf of Kutch constitute the Marine National Park.

6) Rivers in India

India has around 14,500 km of inland navigable waterways. There are twelve rivers which are classified as major rivers, with the total catchment area exceeding 2,528,000 km² (976,000 sq mi). All major rivers of India originate from one of the three main watersheds:

- The Himalaya and the Karakoram ranges
- Vindhya and Satpura range in central India
- Sahyadri or Western Ghats in western India

The Himalayan river networks are snow-fed and have a perennial supply throughout the year. The other two river systems are dependent on the monsoons and shrink into rivulets during the dry season. The Himalayan rivers that flow westward into Pakistan are the Indus, Jhelum, Chenab, Ravi, Beas, and Sutlej.

The Ganges-Brahmaputra-Meghana system has the largest catchment area of about 1,600,000 km² (620,000 sq mi). The Ganges Basin alone has a catchment of about 1,100,000 km² (420,000 sq mi). The Ganges originates from the Gangotri Glacier in

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Uttarakhand. It flows southeast, draining into the Bay of Bengal. The Yamuna and Gomti rivers also arise in the western Himalayas and join the Ganges in the plains. The Brahmaputra originates in Tibet, China, where it is known as the Yarlung Tsangpo River (or "Tsangpo"). It enters India in the far-eastern state of Arunachal Pradesh, then flows west through Assam. The Brahmaputra merges with the Ganges in Bangladesh, where it is known as the Jamuna River.

The Chambal, another tributary of the Ganges, via the Yamuna, originates from the Vindhya-Satpura watershed. The river flows eastward. Westward-flowing rivers from this watershed are the Narmada and Tapti, which drain into the Arabian Sea in Gujarat. The river network that flows from east to west constitutes 10% of the total outflow.

7) The Godavari River at Papi Hills

The Western Ghats are the source of all Deccan rivers, which include the Mahanadi River through the Mahanadi River Delta, Godavari River, Krishna River and Kaveri River, all draining into the Bay of Bengal. These rivers constitute 20% of India's total outflow.

The heavy southwest monsoon rains cause the Brahmaputra and other rivers to distend their banks, often flooding surrounding areas. Though they provide rice paddy farmers with a largely dependable source of natural irrigation and fertilization, such floods have killed thousands of people and tend to cause displacements of people in such areas.

Major gulfs include the Gulf of Cambay, Gulf of Kutch, and the Gulf of Mannar. Straits include the Palk Strait, which separates India from Sri Lanka; the Ten Degree Channel, which separates the Andamans from the Nicobar Islands; and the Eight Degree Channel, which separates the Laccadive and Amindivi Islands from the Minicoy Island to the south. Important capes include the Kanyakumari (formerly called Cape Comorin), the southern tip of mainland India; Indira Point, the southernmost point in India (on Great Nicobar Island); Rama's Bridge, and Point Calimere. The Arabian Sea lies to the west of India, the Bay of Bengal and the Indian Ocean lie to the east and south, respectively. Smaller seas include the Laccadive Sea and the Andaman Sea. There are four coral reefs in India, located in the Andaman and Nicobar Islands, the Gulf of Mannar, Lakshadweep, and the Gulf of Kutch. Important lakes include Sambhar Lake, the country's largest saltwater lake in Rajasthan, Vembanad Lake in Kerala, Kolleru Lake in Andhra Pradesh, Loktak Lake in Manipur, Dal Lake in Kashmir, Chilka Lake(lagoon lake)in Orrisa, and Sasthamkotta Lake in Kerala.

(8) Wetlands

India's wetland ecosystem is widely distributed from the cold and arid located in the Ladakh region of Jammu and Kashmir, and those with the wet and humid climate of peninsular India. Most of the wetlands are directly or indirectly linked to river networks. The Indian government has identified a total of 71 wetlands for conservation and are part of sanctuaries and national parks. Mangrove forests are present all along the Indian coastline in sheltered estuaries, creeks, backwaters, salt marshes and mudflats. The mangrove area covers a total of 4,461 km² (1,722 sq mi), which comprises 7% of the world's total mangrove cover. Prominent mangrove covers are located in the Andaman and Nicobar Islands, the Sundarbans delta, the Gulf of Kutch and the deltas of the Mahanadi, Godavari and Krishna rivers. Parts of Maharashtra, Karnataka and Kerala also have large mangrove covers.

The Sundarbans delta is home to the largest mangrove forest in the world. It lies at the mouth of the Ganges and spreads across areas of Bangladesh and West Bengal.

The Sundarbans is a UNESCO World Heritage Site, but is identified separately as the Sundarbans (Bangladesh) and the Sundarbans National Park (India). The Sundarbans are intersected by a complex network of tidal waterways, mudflats and small islands of salt-tolerant mangrove forests. The area is known for its diverse fauna, being home to a large variety of species of birds, spotted deer, crocodiles and snakes. Its most famous inhabitant is the Bengal tiger. It is estimated that there are now 400 Bengal tigers and about 30,000 spotted deer in the area.

The Rann of Kutch is a marshy region located in northwestern Gujarat and the bordering Sindh province of Pakistan. It occupies a total area of 27 900 km² (10,800 mile²). The region was originally a part of the Arabian Sea. Geologic forces such as earthquakes resulted in the damming up of the region, turning it into a large saltwater lagoon. This area gradually filled with silt thus turning it into a seasonal salt marsh. During the monsoons, the area turns into a shallow marsh, often flooding to knee-depth. After the monsoons, the region turns dry and becomes parched.

Geological Regions of India

Tertiary imprints are seen in parts of Manipur, Nagaland, Arunachal Pradesh and along the Himalayan belt. The Cretaceous system is seen in central India in the Vindhya and part of the Indo-Gangetic plains. The Gondwana system is seen in the Narmada River area in the Vindhya and Satpuras. The Eocene system is seen in the western Himalayas and Assam. Oligocene formations are seen in Kutch and Assam. The Pleistocene system is found over central India. The Andaman and Nicobar Island are thought to have been formed in this era by volcanoes. The Himalayas were formed by the convergence and deformation of the Indo-Australian and Eurasian Plates. Their continued convergence raises the height of the Himalayas by 1 cm each year.

Soils in India can be classified into 8 categories: alluvial, black, red, laterite, forest, arid & desert, saline & alkaline and peaty & organic soils. Alluvial soil constitute the largest soil group in India, constituting 80% of the total land surface. It is derived from the deposition of silt carried by rivers and is found in the Great Northern plains from Punjab to the Assam valley. Alluvial soil are generally fertile but they lack nitrogen and tend to be phosphoric.

Black soils are well developed in the Deccan lava region of Maharashtra, Gujarat, and Madhya Pradesh. These contain high percentage of clay and are moisture retentive. Red soils are found in Tamil Nadu, Karnataka plateau, Andhra plateau, Chota Nagpur plateau and the Aravallis. These are deficient in nitrogen, phosphorus and humus. Laterite soils are formed in tropical regions with heavy rainfall. Heavy rainfall results in leaching out all soluble material of top layer of soil. These are generally found in Western ghats, Eastern ghats and hilly areas of northeastern states that receive heavy rainfall. Forest soils occur on the slopes of mountains and hills in Himalayas, Western Ghats and Eastern Ghats. These generally consist of large amounts of dead leaves and other organic matter called humus.

Natural Resources

India's total renewable water resources are estimated at 1,907.8 km³/year. Its annual supply of usable and replenishable groundwater amounts to 350 billion cubic metres. Only 35% of groundwater resources are being utilized. About 44 million tonnes of cargo is moved annually through the country's major rivers and waterways. Groundwater supplies 40% of water in India's irrigation canals. 56% of the land is arable and used for agriculture. Black soils are moisture-retentive and are preferred for dry farming and growing cotton, linseed, etc. Forest soils are used for tea and coffee plantations. Red soil has a wide diffusion of iron content.

Most of India's estimated 5.4 billion barrels (860,000,000 m³) in oil reserves are

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located in the Mumbai High, upper Assam, Cambay, the Krishna-Godavari and Cauvery basins. India possesses about seventeen trillion cubic feet of natural gas in Andhra Pradesh, Gujarat and Orissa. Uranium is mined in Andhra Pradesh. India has 400 medium-to-high enthalpy thermal springs for producing geothermal energy in seven “provinces” the Himalayas, Sohana, Cambay, the Narmada-Tapti delta, the Godavari delta and the Andaman and Nicobar Islands (specifically the volcanic Barren Island.)

India is the world’s biggest producer of mica blocks and mica splittings. India ranks second amongst the world’s largest producers of barites and chromites. The Pleistocene system is rich in minerals. India is the third-largest coal producer in the world and ranks fourth in the production of iron ore. It is the fifth-largest producer of bauxite and crude steel, the seventh-largest of manganese ore and the eighth-largest of aluminium. India has significant sources of titanium ore, diamonds and limestone. India possesses 24% of the world’s known and economically viable thorium, which is mined along shores of Kerala. Gold had been mined in the now-defunct Kolar Gold Fields in Karnataka.

1.3 SURVEY OF SOURCES

Sources of ancient Indian History can be described under the following five headings:

1. Literary Sources: The ancient Indian literature was mostly religious in nature and contains no definite date for events and kings e.g., the Puranas and the epics. Vedic literature has no trace of political history but has a reliable glimpse of culture and civilization of the age. The epics like Ramayana, Mahabharata and the Jains and Buddhist religious texts supply us with some important historical material with doses of religious messages.

Upanishadas are main source of Indian philosophy also called “Vedantas”. Jaina Parisistaprawana, Buddhist Dwipavamsa and Mahavamsa contain traditions which supply us some historical materials. Gargi Samhita , a book on astronomy, the grammar of Panini and Patanjali also contain materials that help us in the reconstruction of the history of the ancient period of India.

From the second half of the ancient period of Indian history, there are not only panegyrics of kings and emperors but also political treatises dealing with the principles of administration. Kautilya’s Arthashastra and Manusmriti may be mentioned in this connection. It was a work of the Maurya period. Vishakhadatta’s Mudrarakshasa gives a glimpse of Maurya society and culture. Similarly, events of the Pushyamitra Sunga’s reign are mentioned by Kalidasa in Malvikagnimitram. Among the personal accounts of ancient period, Banabhatta’s Harshacharita , dealing with the character and achievements of Harshvardhana as also history of his times, Bakpatiraja’s Gaudabaho describing how Yasovarman conquered Gauda deserves special mention. Poet Bilhana described the history of the reign of Chalukya king Vikramaditya VI in his Vikramanka Charita . Sandhyaakar Nandi’s Ramacharita is a description of the reign of Rampal, a king of the Pala dynasty of Bengal. Kalhana’s Rajatarangini is a valuable book on the history of the kings of Kashmir. Likewise, Padmagupta’s Nabasahasanka Charita, Hem Chandra’s Dwasraya Kavya, Nyaya Chandra’s Hammir Kavya, Ballal’s Bhoja Prabandha contains important historical materials.

2. Archaeological Evidence: The archaeological evidence is obtained by the systematic and skilled examination of building monuments, and work of art. The credit for excavating the pre-Aryan past goes to Sir William Jones of Asiatic Society of Bengal (established on 1st January 1784). General Sir Alexander Cunningham, one of its Royal Engineers, dugged out the ruins of ancient site of pre-Aryan culture. From his arrival in India in

1831, Cunningham, the Father of Indian Archaeology devoted every minute he could spare from his military duties to the study of material remains of ancient India, until in 1862, the Indian government established the post of Archaeological Surveyor, to which he was appointed. Until his retirement in 1885, he devoted himself to the unraveling of India's past with complete single-heartedness.

In 1901, Lord Curzon revived and enlarged the Archaeological Survey and appoint John Marshall its Director General. The discovery of India's oldest cities dating back to the second Inter-Glacial period between 400,000 and 200,000 BC in 1921 by Daya Ram Shahni was the biggest achievement of Archaeological Survey of India under Marshall, the first relics of which were noticed by Cunningham. The cities discovered were named Harappa and Mohenjodaro and the civilisation as the Indus Valley Civilisation.

In 1922, an Indian officer of the Archaeological Survey, R.D.Banerjee, founded further seals at Mohenjodaro in Sindh, and recognized that they were remains of a pre-Aryan civilization of great antiquity. Under Sir John Marshall's direction, the sites were systematically excavated from 1924 until his retirement in 1931.

3. Inscriptions: Inscriptions are the most reliable evidence and their study is called epigraphy. These are mostly carved on gold, silver, iron, copper, bronze plates or stone pillars, rocks temple walls and bricks and are free from interpolations. Inscriptions again are mainly of three types: royal eulogy, official documents like royal rescripts, boundary marks, deeds, gift, etc. and private records of votive, donative or dedicative type.

Inscriptions in Prakrit, Pali, Sanskrit, Telgu, Tamil and other languages have been discovered. But most of the inscriptions are in Brahmi and Kharosti scripts. James Prinsep, the Secretary of the Asiatic Society of Bengal succeeded for the first time in deciphering the Brahmi script. Among the inscriptions of ancient past, those of emperor Ashoka are by far the best historical evidence about his reign. Inscriptions of Kharvela, king of Kalinga, Saka ruler Rudradamana, Allahabad Prasasti by Harisena, the court poet of Samudragupta, are important evidences for the reconstruction of the history of India.

4. Coins: The study of coins is known as numismatics. Thousands of ancient Indian coins have been discovered from which idea about the contemporary economic condition, currency system, development of the metallurgical art has been obtained. The image of Samudragupta playing on a lyre gives us an idea of his love of music. From the dates on the coins, it has been possible to understand the contemporary political history. Samudragupta's Aswamedha coins and Lion-slayer coins gives us an idea of his ambition and love of hunting.

5. Accounts of the Foreigners: A great deal of our knowledge of ancient Indian History are supplemented by the writing of foreigners.

1.4 PREHISOTRIC PERIOD

History is a record of the achievements of man. The history of India, like the annals of every other country, should therefore begin with an account of the times when, men first settled in this land. But history proper only deals with facts, and facts can only be known from records of some kind or other. We cannot know the history of any people who have left no record of their existence. There may have been people or peoples who lived in India in primitive times, but the evidence of whose existence has not yet been discovered. For the present, at any rate, they must be left out of account altogether. We shall only deal with those inhabitants of India whose existence is known to us from some records they have left behind.

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To begin with, these records consist almost solely of the rude implements which the people used in their daily lives. According to the nature and material of these implements, the earliest settlers in India have been divided into two classes, viz., Palaeolithic and Neolithic.

1.4.1 Paleolithic

The **Paleolithic Age, Era or Period** is a prehistoric period of human history distinguished by the development of the most primitive stone tools discovered (Grahame Clark's Modes I and II), and covers roughly 99% of human technological prehistory. The term Palaeolithic is derived from two Greek words meaning Old Stone. This name is applied to the earliest people, as the only evidence of their existence is furnished by a number of rude stone implements. These are small pieces of rough undressed stones, chipped into various forms, which were originally fitted with handles made of sticks or bones. They served as weapons for hunting wild animals, and could also be used as hammers or for purposes of cutting and boring.

These chipped stones have been found in large numbers in different parts of India. They are usually, though not exclusively, made of a species of hard rock called 'quartzite'. From this fact the Palaeolithic men in India are also known as "Quartzite men". From the rough and rude stone implements which are the only records left behind by the earliest-known Paleolithic tools inhabitants of India, we can form only a very vague idea of their lives and habits. It is obvious that they were ignorant of any metals, and most of them had no fixed homes, though a few might have made huts of some sort with trees and leaves. They lived in constant dread of wild animals like tigers, lions, elephants and the rhinoceros. They had no idea of agriculture, but lived on the flesh of animals and such fruits and vegetables as grew wild in jungles. They could not make pottery, and probably did not even know how to make a fire. In short, from our standpoint we can only regard them as savages, little removed from an animal life. It is well to remember this if we are to judge aright the long strides that men have made in developing that culture and civilization of which we are so justly proud today.

It has been suggested that the Palaeolithic men belonged to the Negrito race, like the modern people of the Andaman Islands, and were characterised by short stature, dark skin, wooly hair and flat noses. The term "Paleolithic" was coined by archaeologist John Lubbock in 1865. It derives from Greek: palaios, "old"; and lithos, "stone", literally meaning "old age of the stone" or "Old Stone Age." It was basically hunting and food gathering culture 'Palaeo' means 'old' and 'lithic' means 'stone'. Palaeolithic age in India is divided into three phases:

Early or Lower Palaeolithic (50,000 - 100,000 BC): It covers the greater part of the Ice Age and its characteristic feature is the use of hand-axe, cleaners and choppers.

Middle Palaeolithic (100,000 - 40,000 BC): The Middle Palaeolithic culture is characterised by flakes. The principal tools are variety of blades, points and scrapers made of flakes.

Upper Palaeolithic (40,000 - 10,000 BC) : It marks the appearance of Homo Sapiens and new flint industries; widespread appearance of a figurines and other artifacts reflecting art and rituals; the appearance of wide range of bone tools, including needles, fishing tools, harpoons, blades and burin tools.

Human Way of Life

An artist's rendering of a temporary wood house, based on evidence found at Terra Amata (in Nice, France) and dated to the Lower Paleolithic (c. 400,000 BP). Due to a lack of written records from this time period, nearly all of our knowledge of Paleolithic

human culture and way of life comes from archaeology and ethnographic comparisons to modern hunter-gatherer cultures such as the Kung San who live similarly to their Paleolithic predecessors. The economy of a typical Paleolithic society was a hunter-gatherer economy. Humans hunted wild animals for meat and gathered food, firewood, and materials for their tools, clothes, or shelters. Human population density was very low, around only one person per square mile. This was most likely due to low body fat, infanticide, women regularly engaging in intense endurance exercise, late weaning of infants and a nomadic lifestyle. Like contemporary hunter-gatherers, Paleolithic humans enjoyed an abundance of leisure time unparalleled in both Neolithic farming societies and modern industrial societies. At the end of the Paleolithic, specifically the Middle and or Upper Paleolithic, humans began to produce works of art such as cave paintings, rock art and jewellery and began to engage in religious behavior such as burial and ritual.

Social Organization: The social organization of the earliest Paleolithic (Lower Paleolithic) societies remains largely unknown to scientists, though Lower Paleolithic hominids such as *Homo habilis* and *Homo erectus* are likely to have had more complex social structures than chimpanzee societies. Early Acheulean humans such as *Homo erectus* may have been the first people to invent central campsites or home bases and incorporate them into their foraging and hunting strategies like contemporary hunter-gatherers, possibly as early as 1.7 million years ago; however, the earliest solid evidence for the existence of home bases or central campsites (hearths and shelters) among humans only dates back to 500,000 years ago.

Similarly, scientists disagree whether Lower Paleolithic humans were largely monogamous or polygynous. In particular, the Provisional model suggests that bipedalism arose in Pre Paleolithic australopithecine societies as an adaptation to monogamous lifestyles; however, other researchers note that sexual dimorphism is more pronounced in Lower Paleolithic humans such as *Homo erectus* than in Modern humans, who are less polygynous than other primates, which suggests that Lower Paleolithic humans had a largely polygynous lifestyle, because species that have the most pronounced sexual dimorphism tend more likely to be polygynous.

Human societies from the Paleolithic to the early Neolithic farming tribes lived without states and organized governments. For most of the Lower Paleolithic, human societies were possibly more hierarchical than their Middle and Upper Paleolithic descendants, and probably were not grouped into bands, though during the end of the Lower Paleolithic, the latest populations of the hominid *Homo erectus* may have begun living in small-scale (possibly egalitarian) bands similar to both Middle and Upper Paleolithic societies and modern hunter-gatherers.

Middle Paleolithic societies, unlike Lower Paleolithic and early Neolithic ones, consisted of bands that ranged from 20 to 30 or 25 to 100 members and were usually nomadic. These bands were formed by several families. Bands sometimes joined together into larger “macrobands” for activities such as acquiring mates and celebrations or where resources were abundant. By the end of the Paleolithic era, about 10,000 BP people began to settle down into permanent locations, and began to rely on agriculture for sustenance in many locations. Much evidence exists that humans took part in long-distance trade between bands for rare commodities (such as ochre, which was often used for religious purposes such as ritual) and raw materials, as early as 120,000 years ago in Middle Paleolithic. Inter-band trade may have appeared during the Middle Paleolithic because trade between bands would have helped ensure their survival by allowing them to exchange resources and commodities such as raw materials during times of relative scarcity (i.e. famine, drought). Like in modern hunter-gatherer societies, individuals in Paleolithic societies may have been subordinate to the band as a whole.

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Both Neanderthals and modern humans took care of the elderly members of their societies during the Middle and Upper Paleolithic.

Some sources claim that most Middle and Upper Paleolithic societies were possibly fundamentally egalitarian and may have rarely or never engaged in organized violence between groups (i.e. war). Some Upper Paleolithic societies in resource-rich environments (such as societies in Sungir, in what is now Russia) may have had more complex and hierarchical organization (such as tribes with a pronounced hierarchy and a somewhat formal division of labor) and may have engaged in endemic warfare. Some argue that there was no formal leadership during the Middle and Upper Paleolithic. Like contemporary egalitarian hunter-gatherers such as the Mbuti pygmies, societies may have made decisions by communal consensus decision making rather than by appointing permanent rulers such as chiefs and monarchs. Nor was there a formal division of labor during the Paleolithic. Each member of the group was skilled at all tasks essential to survival, regardless of individual abilities. Theories to explain the apparent egalitarianism have arisen, notably the Marxist concept of primitive communism. Christopher Boehm (1999) has hypothesized that egalitarianism may have evolved in Paleolithic societies because of a need to distribute resources such as food and meat equally to avoid famine and ensure a stable food supply. Raymond C. Kelly speculates that the relative peacefulness of Middle and Upper Paleolithic societies resulted from a low population density, cooperative relationships between groups such as reciprocal exchange of commodities and collaboration on hunting expeditions, and because the invention of projectile weapons such as throwing spears provided less incentive for war, because they increased the damage done to the attacker and decreased the relative amount of territory attackers could gain. However, other sources claim that most Paleolithic groups may have been larger, more complex, sedentary and warlike than most contemporary hunter-gatherer societies, due to occupying more resource-abundant areas than most modern hunter-gatherers who have been pushed into more marginal habitats by agricultural societies.

Anthropologists have typically assumed that in Paleolithic societies, women were responsible for gathering wild plants and firewood, and men were responsible for hunting and scavenging dead animals. However, analogies to existent hunter-gatherer societies such as the Hadza people and the Australian aborigines suggest that the sexual division of labor in the Paleolithic was relatively flexible. Men may have participated in gathering plants, firewood and insects, and women may have procured small game animals for consumption and assisted men in driving herds of large game animals (such as woolly mammoths and deer) off cliffs. Additionally, recent research by anthropologist and archaeologist Steven Kuhn from the University of Arizona is argued to support that this division of labor did not exist prior to the Upper Paleolithic and was invented relatively recently in human pre-history. Sexual division of labor may have been developed to allow humans to acquire food and other resources more efficiently. Possibly there was approximate parity between men and women during the Middle and Upper Paleolithic, and that period may have been the most gender-equal time in human history. Archeological evidence from art and funerary rituals indicates that a number of individual women enjoyed seemingly high status in their communities, and it is likely that both sexes participated in decision making. The earliest known Paleolithic shaman (c. 30,000 BP) was female. Jared Diamond suggests that the status of women declined with the adoption of agriculture because women in farming societies typically have more pregnancies and are expected to do more demanding work than women in hunter-gatherer societies. Like most contemporary hunter-gatherer societies, Paleolithic and the Mesolithic groups probably followed mostly matrilineal and ambilineal descent patterns; patrilineal descent patterns were probably rarer than in the following Neolithic period.

1.4.2 Mesolithic

Influence of Geography on History

It was the transitional between Palaeolithic and Neolithic ages. Its characteristic tools are microliths all made of stone. The microliths were first discovered by Carlyle in 1867 from Vindhyan Rock Shelters. This age is also known by various names like Late Stone Age or Microlithic Age. The Mesolithic people lived on hunting, fishing and food-gathering. Earliest domestication of animals has also been witnessed from Madhya Pradesh and Rajasthan.

Mesolithic Tools: Tools are characterized by parallel-sided blades taken out from prepared cores of fine-materials as chert, crystal, chalcedony, jasper, carnelian, agate etc. and were generally one to five centimeters long.

Paintings: At various sites in Bhimbetka, Adamgarh, etc. rock and cave paintings have been discovered. In these paintings, various subjects including animals and human scenes have been found. Animals are the most frequently depicted subjects either alone or in large and small groups and shown in various poses.

Depiction of human figures in rock paintings is quite common. Dancing, running, hunting, playing games and quarrelling were commonly depicted scenes. Colours like deep red, green, white and yellow were used in making these paintings.

Characteristics: The start and end dates of the Mesolithic vary by geographical region. Child's view prevails that the term generally covers the period between the end of the Pleistocene and the start of the Neolithic. The times of these events vary greatly; moreover, the various Mesolithics within the span might be as short as roughly a thousand years or as long as roughly 15,000 years depending on the circumstances. If the Mesolithic is more similar to the Paleolithic it is called the Epipaleolithic.

The Paleolithic was an age of purely hunting and gathering while in the Neolithic domestication of plants and animals had occurred. Some Mesolithic peoples continued with intensive hunting. Others were practicing the initial stages of domestication. Some Mesolithic settlements were villages of huts. Others were walled cities.

The type of tool remains the diagnostic factor: The Mesolithic featured composite devices manufactured with Mode V chipped stone tools (microliths). The Paleolithic had utilized Modes I-IV and the Neolithic mainly abandoned the chipped microliths in favor of polished, not chipped, stone tools.

The Levant

Mesolithic 1

It has been suggested that Epipaleolithic be merged into this article. (Discuss) Proposed since April 2013.

Mesolithic 1 (Kebara culture; 20–18,000 BCE to 12,150 BCE) followed the Aurignacian or Levantine Upper Paleolithic throughout the Levant. By the end of the Aurignacian, gradual changes took place in stone industries. Small stone tools called microliths and retouched bladelets can be found for the first time. The microliths of this culture period differ greatly from the Aurignacian artifacts. This period is more properly called Epipaleolithic.

By 20,000 to 18,000 BCE the climate and environment had changed, starting a period of transition. The Levant became more arid and the forest vegetation retreated, to be replaced by steppe. The cool and dry period ended at the beginning of Mesolithic

1. The hunter-gatherers of the Aurignacian would have had to modify their way of living and their pattern of settlement to adapt to the changing conditions. The crystallization of these new patterns resulted in Mesolithic 1. New types of settlements and new stone industries developed.

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The inhabitants of a small Mesolithic 1 site in the Levant left little more than their chipped stone tools behind. The industry was of small tools made of bladelets struck off single-platform cores. Besides bladelets, burins and end-scrapers were found. A few bone tools and some ground stone have also been found. These so-called Mesolithic sites of Asia are far less numerous than those of the Neolithic and the archeological remains are very poor.

Mesolithic 2

Natufian Culture

The second period, Mesolithic 2, is also called the Natufian culture. The change from Mesolithic 1 to Natufian culture can be dated more closely. The latest date from a Mesolithic 1 site in the Levant is 12,150 BCE. The earliest date from a Natufian site is 11,140 BCE. This period is characterized by the early rise of agriculture that would later emerge into the Neolithic period. Radiocarbon dating places the Natufian culture between 12,500 and 9500 BCE, just before the end of the Pleistocene. This period is characterised by the beginning of agriculture. The earliest known battle occurred during the Mesolithic period at a site in Egypt known as Cemetery 117.

Natufian culture is commonly split into two subperiods: Early Natufian (12,500–10,800 BCE) (Christopher Delage gives a. 13000 - 11500 BP uncalibrated, equivalent to ca. 13,700 to 11,500 BCE)[6] and Late Natufian (10,800–9500 BCE). The Late Natufian most likely occurred in tandem with the Younger Dryas.

Europe

Two skeletons of women aged between 25 and 35 years, dated between 6740 and 5680 BP, both of whom died a violent death. Found at Téviec, France in 1938.

The Mesolithic began with the Holocene warm period around 11,660 BP and ended with the introduction of farming, the date of which varied in each geographical region. Regions that experienced greater environmental effects as the last glacial period ended have a much more apparent Mesolithic era, lasting millennia. In northern Europe, for example, societies were able to live well on rich food supplies from the marshlands created by the warmer climate. Such conditions produced distinctive human behaviors that are preserved in the material record, such as the Maglemosian and Azilian cultures. Such conditions also delayed the coming of the Neolithic until as late as 5000-4000 BC in northern Europe.

As the “Neolithic package” (including farming, herding, polished stone axes, timber longhouses and pottery) spread into Europe, the Mesolithic way of life was marginalized and eventually disappeared. Mesolithic adaptations such as sedentism, population size and use of plant foods are cited as evidence of the transition to agriculture. In one sample from the Blätterhöhle in Hagen, it seems that the descendants of Mesolithic people maintained a foraging lifestyle for more than 2000 years after the arrival of farming societies in the area. In north-Eastern Europe, the hunting and fishing lifestyle continued into the Medieval period in regions less suited to agriculture.

Ceramic Mesolithic

In North-Eastern Europe, Siberia, and certain southern European and North African sites, a “ceramic Mesolithic” can be distinguished between 7000-3850 BCE. Russian archaeologists prefer to describe such pottery-making cultures as Neolithic, even though farming is absent. This pottery-making Mesolithic culture can be found peripheral to the sedentary Neolithic cultures. It created a distinctive type of pottery, with point or knob base and flared rims, manufactured by methods not used by the Neolithic farmers.

Though each area of Mesolithic ceramic developed an individual style, common features suggest a single point of origin. The earliest manifestation of this type of pottery may be in the region around Lake Baikal in Siberia. It appears in the Elshan or Yelshanka or Samara culture on the Volga in Russia c. 7000 BCE, and from there spread via the Dnieper-Donets culture to the Narva culture of the Eastern Baltic. Spreading westward along the coastline it is found in the Ertebølle culture of Denmark and Ellerbek of Northern Germany, and the related Swifterbant culture of the Low Countries.

1.4.3 Neolithic Culture

The Neolithic is generally defined as a way of life involving crop cultivation, animal husbandry and settled life. The coming of this stage does not mean that other earlier ways of life disappeared.

They continued to exist alongside the new ways of life. And this co-existence resulted in contacts with each other. In the world context, the Neolithic began around 9000 BC but in the Indian context it began in 7000 BC.

The word 'neolithic' was first coined by Sir John Lubbock in 1865. Miles Burkitt enumerated four characteristics of neolithic culture

- Animal domestication
- Agricultural practice
- Grinded and Polished stone tools and
- Pottery manufacture

The discovery of the tools and implements of the neolithic age was made by Le Mesurier in Uttar Pradesh in 1860. Later on, Frasher discovered such objects in Bellary in South India. The people of this age used tools and implements of polished stone.

Neolithic People: The civilization and culture of the Neolithic age shows distinct traces of progress. The Neolithic men had a settled life. They practiced agriculture and grew fruits and corn. Animals, such as the cow, dog, ox, goat etc. were domesticated. The art of producing fire by the friction of bamboos or pieces of stones was known to them. Instead of eating the uncooked flesh of various animals, they now started roasting it. Besides this, bows and arrows were invented and were used for the purpose of hunting.

They also learnt pottery, at first by hand and then with the potter's wheel. They painted and decorated their pots. They lived in caves, the walls of which were polished and painted with the scenes of hunting and dancing. They also learnt the art of spinning and weaving clothes. They used to bury their dead and construct tombs over them which were known as Dolmens, Menhirs etc.

Neolithic Tools: The stone tools of the Neolithic age bear unmistakeable signs of polish either all over the tools or at the buttend and working-end, or only at the working end. They fashioned their tools out of fine-grained dark-green trap, though there are examples of the use of diorite, basalt, slate, chlorite, schist, indurated shale, gneiss, sand stone and quartzite.

Occupation: Neolithic settlers were cattle-herders and agriculturists. They produced ragi, wheat, barley, rice, masoor, moong, kulthi etc. Hand-made pottery is also found in the early stage. Elephant, rhino, buffalo, ox, stag remains are also found in plenty. But there is no specification of these domesticated. The pottery were well made but were coarse in nature, not that much polished.

Red, Grey, Black and Red Ware, Black Burnished Ware and Mat-impressed Wars are associated with this culture.

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Tools making was another important occupation which included a variety of picks, scrapers, eyed needles, bodkins and pierced batons.

Neolithic 1 – Pre-Pottery Neolithic A (PPNA)

The Neolithic 1 (PPNA) period began roughly 10,000 years ago in the Levant.[1] A temple area in southeastern Turkey at Göbekli Tepe dated to 10,000 BC may be regarded as the beginning of the period. This site was developed by nomadic hunter-gatherer tribes, evidenced by the lack of permanent housing in the vicinity and may be the oldest known human-made place of worship. At least seven stone circles, covering 25 acres (100,000 m²), contain limestone pillars carved with animals, insects and birds. Stone tools were used by perhaps as many as hundreds of people to create the pillars, which may have supported roofs. Other early PPNA sites dating to around 9,500 to 9,000 BC have been found in Jericho, Palestine and Jbeil (Byblos), Lebanon. The start of Neolithic 1 overlaps the Tahurian and Heavy Neolithic periods to some degree.

The major advance of Neolithic 1 was true farming. In the proto-Neolithic Natufian cultures, wild cereals were harvested and perhaps early seed selection and re-seeding occurred. The grain was ground into flour. Emmer wheat was domesticated, and animals were herded and domesticated (animal husbandry and selective breeding).

In the 21st century, remains of figs were discovered in a house in Jericho dated to 9,400 BC. The figs are of a mutant variety that cannot be pollinated by insects, and therefore the trees can only reproduce from cuttings. This evidence suggests that figs were the first cultivated crop and mark the invention of the technology of farming. This occurred centuries before the first cultivation of grains.

Settlements became more permanent with circular houses, much like those of the Natufians, with single rooms. However, these houses were for the first time made of mudbrick. The settlement had a surrounding stone wall and perhaps a stone tower (as in Jericho). The wall served as protection from nearby groups, as protection from floods, or to keep animals penned. There are also some enclosures that suggest grain and meat storage.

Neolithic 2 – Pre-Pottery Neolithic B (PPNB)

The Neolithic 2 (PPNB) began around 8,800 BC according to the ASPRO chronology in the Levant (Jericho, Palestine). As with the PPNA dates there are two versions from the same laboratories noted above. But this terminological structure is not convenient for southeast Anatolia and settlements of the middle Anatolia basin. This era was before the Mesolithic era.

Settlements have rectangular mudbrick houses where the family lived together in single or multiple rooms. Burial findings suggest an ancestor cult where people preserved skulls of the dead, which were plastered with mud to make facial features. The rest of the corpse may have been left outside the settlement to decay until only the bones were left, then the bones were buried inside the settlement underneath the floor or between houses.

Neolithic 3 – Pottery Neolithic (PN)

The Neolithic 3 (PN) began around 6,400 BC in the Fertile Crescent. By then distinctive cultures emerged, with pottery like the Halafian (Turkey, Syria, Northern Mesopotamia) and Ubaid (Southern Mesopotamia). This period has been further divided into PNA (Pottery Neolithic A) and PNB (Pottery Neolithic B) at some sites.

The Chalcolithic period began about 4500 BC, then the Bronze Age began about 3500 BC, replacing the Neolithic cultures.

1.5 ROLE OF THE PAY

Influence of Geography on History

i. Stone Age

During the Paleolithic Age, all humans had a lifestyle which involved limited use of tools and few permanent settlements. The first major technologies, then, were tied to survival, hunting, and food preparation in this environment. Fire, stone tools and weapons, and clothing were technological developments of major importance during this period. Stone Age cultures developed music, and engaged in organized warfare. A subset of Stone Age humans, including Negaro Aborigines, developed ocean-worthy outrigger canoe technology, leading to an eastward migration across the Malay archipelago, across the Indian ocean to Madagascar and also across the Pacific Ocean, which required knowledge of the ocean currents, weather patterns, sailing, celestial navigation, and star maps. The early Stone Age is described as Epipaleolithic or Mesolithic. The former is generally used to describe the early Stone Age in areas with limited glacial impact. The later Stone Age, during which the rudiments of agricultural technology were developed, is called the Neolithic period. During this period, polished stone tools were made from a variety of hard rock's such as flint, jade, jadeite and greenstone, largely by working exposures as quarries, but later the valuable rocks were pursued by tunneling underground, the first steps in mining technology. The polished axes were used for forest clearance and the establishment of crop farming, and were so effective as to remain in use when bronze and iron appeared.

Although Paleolithic cultures left no written records, the shift from nomadic life to settlement and agriculture can be inferred from a range of archaeological evidence. Such evidence includes ancient tools, cave paintings, and other prehistoric art, such as the Venus of Willendorf. Human remains also provide direct evidence, both through the examination of bones, and the study of mummies. Though concrete evidence is limited, scientists and historians have been able to form significant inferences about the lifestyle and culture of various prehistoric peoples, and the role technology played in their lives.

ii. Copper and Bronze Ages

A late Bronze Age sword or dagger blade. The Stone Age developed into the Bronze Age after the Neolithic Revolution. The Neolithic Revolution involved radical changes in agricultural technology which included development of agriculture, animal domestication, and the adoption of permanent settlements. These combined factors made possible the development of metal smelting, with copper and later bronze, an alloy of tin and copper, being the materials of choice, although polished stone tools continued to be used for a considerable time owing to their abundance compared with the less common metals (especially tin).

This technological trend apparently began in the Fertile Crescent, and spread outward over time. These developments were not, and still are not, universal. The Three-age system does not accurately describe the technology history of groups outside of Eurasia, and does not apply at all in the case of some isolated populations, such as the Spinifex People, the Sentinelese, and various Amazonian tribes, which still make use of Stone Age technology, and have not developed agricultural or metal technology.

iii. Iron Age

An axe head made of iron, dating from Swedish Iron Age. The Iron Age involved the adoption of iron smelting technology. It generally replaced bronze, and made it possible to produce tools which were stronger, lighter and cheaper to make than bronze equivalents. In many Eurasian cultures, the Iron Age was the last major step before the development of written language, though again this was not universally the case. It was

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not possible to mass manufacture steel because high furnace temperatures were needed, but steel could be produced by forging bloomery iron to reduce the carbon content in a controllable way. Iron ores were much more widespread than either copper or tin. In Europe, large hill forts were built either as a refuge in time of war, or sometimes as permanent settlements. In some cases, existing forts from the Bronze Age were expanded and enlarged. The pace of land clearance using the more effective iron axes increased, providing more farmland to support the growing population.

1.6 INDUS VALLEY CIVILIZATION

The earliest traces of civilization in the Indian subcontinent are to be found in places along, or close, to the Indus river. Excavations first conducted in 1921-22, in the ancient cities of Harappa and Mohenjodaro, both now in Pakistan, pointed to a highly complex civilization that first developed some 4,500-5,000 years ago, and subsequent archaeological and historical research has now furnished us with a more detailed picture of the Indus Valley Civilization and its inhabitants. The Indus Valley people were most likely Dravidians, who may have been pushed down into south India when the Aryans, with their more advanced military technology, commenced their migrations to India around 2,000 BCE. Though the Indus Valley script remains undeciphered down to the present day, the numerous seals discovered during the excavations, as well as statuary and pottery, not to mention the ruins of numerous Indus Valley cities, have enabled scholars to construct a reasonably plausible account of the Indus Valley Civilization.

Some kind of centralized state, and certainly fairly extensive town planning, is suggested by the layout of the great cities of Harappa and Mohenjodaro. The same kind of burnt brick appears to have been used in the construction of buildings in cities that were as much as several hundred miles apart. The weights and measures show a very considerable regularity. The Indus Valley people domesticated animals, and harvested various crops, such as cotton, sesame, peas, barley, and cotton. They may also have been a sea-faring people, and it is rather interesting that Indus Valley seals have been dug up in such places as Sumer. In most respects, the Indus Valley Civilization appears to have been urban, defying both the predominant idea of India as an eternally and essentially agricultural civilization, as well as the notion that the change from 'rural' to 'urban' represents something of a logical progression. The Indus Valley people had a merchant class that, evidence suggests, engaged in extensive trading.

Neither Harappa nor Mohenjodaro show any evidence of fire altars, and consequently one can reasonably conjecture that the various rituals around the fire which are so critical in Hinduism were introduced later by the Aryans. The Indus Valley people do not appear to have been in possession of the horse: there is no osteological evidence of horse remains in the Indian sub-continent before 2,000 BCE, when the Aryans first came to India, and on Harappan seals and terracotta figures, horses do not appear. Other than the archaeological ruins of Harappa and Mohenjodaro, these seals provide the most detailed clues about the character of the Indus Valley people. Bulls and elephants do appear on these seals, but the horned bull, most scholars are agreed, should not be taken to be congruent with Nandi, or Shiva's bull. The horned bull appears in numerous Central Asian figures as well; it is also important to note that Shiva is not one of the gods invoked in the Rig Veda. The revered cow of the Hindus also does not appear on the seals. The women portrayed on the seals are shown with elaborate coiffures, sporting heavy jewelry, suggesting that the Indus Valley people were an urbane people with cultivated tastes and a refined aesthetic sensibility. A few thousand seals have been discovered in Indus Valley cities, showing some 400 pictographs: too few in number for

the language to have been ideographic, and too many for the language to have been phonetic.

Influence of Geography on History

The Indus Valley civilization raises a great many, largely unresolved, questions. Why did this civilization, considering its sophistication, not spread beyond the Indus Valley? In general, the area where the Indus valley cities developed is arid, and one can surmise that urban development took place along a river that flew through a virtual desert. The Indus Valley people did not develop agriculture on any large scale, and consequently did not have to clear away a heavy growth of forest. Nor did they have the technology for that, since they were confined to using bronze or stone implements. They did not practice canal irrigation and did not have the heavy plough. Most significantly, under what circumstances did the Indus Valley cities undergo a decline? The first attacks on outlying villages by Aryans appear to have taken place around 2,000 BCE near Baluchistan, and of the major cities, at least Harappa was quite likely over-run by the Aryans. In the Rig Veda there is mention of a Vedic war god, Indra, destroying some forts and citadels, which could have included Harappa and some other Indus Valley cities. The conventional historical narrative speaks of a cataclysmic blow that struck the Indus Valley Civilization around 1,600 BCE, but that would not explain why settlements at a distance of several hundred miles from each other were all eradicated. The most compelling historical narrative still suggests that the demise and eventual disappearance of the Indus Valley Civilization, which owed something to internal decline, nonetheless was facilitated by the arrival in India of the Aryans.

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1.6.1 Characteristic Features

Town Planning

The Cities were built on grid planning. The e ran in straight lines and crossed one another at right angles.

Most of the buildings were built of burnt bricks. The cities were divided into two parts the citadel and the lower town.

Drainage System

The kitchen and the bathroom had drains leading out. These were connected to the main drain running alongside the main roads.

Food

Wheat and barley were the staple food of the people.

Dresses and Ornaments

Cotton fabrics were in common use. Wool was used as warm cloth. Ornaments were worn by both man and women. They were made of gold, silver, ivory, and both precious and semi-precious stones. Women wore necklaces, bangles, bracelets, earrings etc. Men adorned themselves with ornaments like armlets.

Animals

Humped bulls, oxen, buffaloes, goats, sheep, cats and dogs were domesticated. Evidence of horses are also found.

Weapons

Axes, spears, daggers, bows and arrows were used,

Seals

The greatest artistic creations of the Harrappan culture were the seals. They were mostly flat and square tablets. These seals might have been used for trade.

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Art and Craft

The Indus Valley people were very well acquainted with the manufacture and use of bronze. Blacksmith, goldsmith, jewelers the ivory workers, stone cutters and potters were the important part of the society.

Trade and Commerce

The Indus people were engaged in flourishing internal and external (foreign) trade. They carried trade with Mesopotamia through Lothal dockyard.

Indus Script

The Indus people had developed the art of writing. The writing was in picture like signs called pictographs. This script has not yet been deciphered.

Religion

The Indus people worshipped Shiva or Pashupati. The (people also worshipped the Mother Goddess. They buried their dead along with food, ornaments and the articles used by them in their daily) life.

Society

An important characteristic of the Indus civilization was its urban life, i.e. this civilization was urbanized.

Political Organisation

The city was administered by a group of people who were merchants and priests.

Racial Groups

The Indus people can be classified into four racial groups-

(i) Proto-Australoid, (ii) Mediterranean, (iii) Mongolian and (iv) Alpine.

Decline of the Indus Civilization

The Indus civilization flourished for about a thousand years. The exact cause of the decline of this great civilization was not known. It is suggested that the cities might have been destroyed by natural disasters like earthquakes, the floods and successive invasions by the Aryans.

1.7 VEDIC CULTURE

The Vedic period (or Vedic age) was a period in history during which the Vedas, the oldest scriptures of Hinduism, were composed. The time span of the period is uncertain. Philological and linguistic evidence indicates that the Rigveda, the oldest of the Vedas, was composed roughly between 1700 and 1100 BCE, also referred to as the early Vedic period. The end of the period is commonly estimated to have occurred about 500 BCE, and 150 BCE has been suggested as a terminus ante quem for all Vedic Sanskrit literature.

Transmission of texts in the Vedic period was by oral tradition alone, and a literary tradition set in only in post-Vedic times. Despite the difficulties in dating the period, the Vedas can safely be assumed to be several thousands of years old. The associated culture, sometimes referred to as Vedic civilisation, was probably centered early on in the northern and northwestern parts of the Indian subcontinent, but has now spread and constitutes the basis of contemporary Indian culture.

After the end of the Vedic period, the Mahajanapadas period in turn gave way to the Maurya Empire (from ca. 320 BCE), the golden age of classical Sanskrit literature.

1.7.1 Early Vedic Period

Influence of Geography on History

INDIA, as is well known, derives its name from the Sindhu (Indus), and the earliest civilisation of this country of which we have any definite trace had its cradle in the valley of the same river. We have seen in the last chapter that excavations at several places in the lower part of the valley have laid bare the ruins of well built cities, and seals surprisingly similar to those discovered at Eshnunna, Kish and Ur in Mesopotamia, and assigned by archaeologists to the third millennium BC have been found. The identity of the originators of this early Indus culture is uncertain. They appear to have professed a religion that was iconic and laid emphasis on the worship of the Mother-Goddess and a male deity who seems to have been the prototype of Siva. The phallic cult was prevalent, but fire-pits were conspicuous by their absence.

Far different is the picture of another civilisation which had its principal home higher up the Indus valley. The people who evolved this culture called themselves Aryas or Aryans. Their earliest literature makes no reference to life in stately cities comparable to those whose remains have been unearthed at Harappa and Mohenjo-Daro. Their religion was normally an iconic, and in their pantheon the female element was subordinated to the male, and the place of honour was given to deities like Indra, Varuna, Mitra, the Nasatyas, Surya, Agni (Fire) and other supernal beings who seem to have been quite unknown to the originators of the "Indus" culture as described in the last chapter. Unfortunately, the early literature of the Aryas-called the Veda-cannot be dated even approximately, and it is impossible to say with absolute precision in what chronological relation the civilisation portrayed in the Veda stood to the "Indus" culture of the third millennium BC. Max Muller hesitatingly placed the beginning of the Vedic literature in the latter half of the second millennium BC. Tilak and Jacobi, on the other hand, tried to push the date much farther back on astronomical grounds. But, as pointed out by several Indologists, astronomical calculations prove nothing unless the texts in question admit of unambiguous interpretation. Tilak himself points out how unsafe it is to act upon calculations based on loose statements in literature regarding the position of the heavenly bodies.

1. Political Organisation of the Rig-Vedic Aryans

The basis of the political and social organisation of the Rig-Vedic people was the patriarchal family. The successive higher units were styled grama, vis and jana, and in some rare passages we even hear of aggregates of janas. The precise relationship between the grama, the vis and the jana is nowhere distinctly stated. That the grama was normally a smaller unit than either the vis or the jana appears probable from the fact that the gramani, the leader of the grama (horde or village), who is usually a Vaisya, is clearly inferior to the lord of the vis (vispati) or the protector (gopa) of the jana, who is often the king himself.

It is more difficult to say in what relationship the vis stood to the jana. In some Vedic passages there is a clear contrast between the two, and Iranian analogies seem to suggest that the vis is a sub-division of a jana, if the latter may be taken as a parallel to the Iranian Zantu.

The prevailing form of government among the Rig-Vedic tribes was monarchical. But names applied in later ages to non-monarchical communities were also known. We have references to the gana with the ganapati or jyeshtha (elder) at its head. The mention of the term jyeshtha, which corresponds to jethaka of the Pali texts, possibly points to some sort of organization parallel to that of the well-known tribal republics of early Buddhist times. The Rig-Vedic state (rashtra) seems, however, to have been normally ruled by a potentate styled rajan (king) who was "without a rival and a destroyer of rivals." Kingship was usually hereditary. Thus the Purus and the Tritsus, two among the most famous of the Rig-Vedic clans, had as their rulers dynasties of princes, some of

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whose names are recorded in the Rik-Samhita. Elective monarchies were perhaps not altogether unknown, though the Rig- Veda has no clear reference to them. In the Atharva Veda and the Great Epic, however, we have several explicit references to the election of the rajan to the kingship by the people, and in the Rig-Veda itself the need of the people's approval, if sovereignty is to be steady and unvacillating, is emphasized in the consecration hymns. In addition to the title rajan we come across the designation samrat, which in later times undoubtedly meant a paramount ruler. In the Rig-Veda, however, there is no trace of any terrestrial kingship of the Mauryan or Gupta type though the idea of a universal monarch (*visvasya bhuvanasya raja*) is met with.

The rajan occupied a position of pre-eminence in the tribe. He was formally consecrated to kingship and was marked out from the commonalty by his shining robes and the splendid palace where he lived, surrounded by his officers and retainers and lauded by priests and singers.

2. Social Life

It has already been stated that the foundation of the political and social structure in the Rig- Vedic age was the family. The members of a family lived in the same house. Houses in this age were presumably built of wood or reed. In every house there was a fireplace (*agnisala*), besides a sitting-room and apartments for the ladies. The master of the house was called *grihapati* or *dampati*. He was usually kind and affectionate, but occasional acts of cruelty are recorded. Thus we have the story of a father who blinded his son for his extravagance.

Families being patrilineal, people prayed for abundance of sons. The birth of daughters was not desired, but once born they were treated with kindness and consideration. Their education was not neglected, and some of them lived to compose hymns and rise to the rank of seers like *Visvavara*, *Ghosha* and *Apala*. Girls were given in marriage when they attained full development. Marriage for love as well as for money was known. Weddings were celebrated in the house of the bride's parents. Ordinarily a man married but one wife. Polygamy was, however, practised, but not polyandry. Remarriage of widows was permitted. Women were not independent persons in the eye of the law, and had to look to their male relations for aid and support. Their position in the household was one of honour. The term *dampati* is sometimes used to designate the mistress as well as the master of the house. The wife participated in the religious offerings of the husband and was the queen of his home. There is no evidence in the Rig- Veda of the seclusion of women, and ladies trooped to festal gatherings "decked, shining forth with sunbeams."

3. Economic Life

The Rig-Vedic Aryans were mostly scattered in villages. The word *nagara* (city) does not occur in the hymns. We find indeed mention of *purs* which were occasionally of considerable size and were sometimes made of stone (*asmamayi*) or of iron (*ayasi*). Some were furnished with a hundred walls (*satabhuji*). But the *purs* were in all probability rather ramparts or forts than cities, and served as places of refuge, particularly in autumn, as is suggested by the epithet *Saradi* applied to them in some passages. It is significant that, unlike the later texts, the Rig-Veda makes no clear mention of individual cities like *Asandivat* or *Kampila*.

Regarding the organisation of the village we have a few details. There was an official styled the *Gramani* who looked after the affairs of the village, both civil and military. We have also reference to a functionary called *Vrajapati* who may have been identical with the *Gramani*, and who led to battle the various *Kulapas* or heads of families.

Agriculture was the principal occupation of the village folk. The importance of the

art of the art of tilling is clearly brought out by the name Krishti or Charshani (agriculturist) which is applied to people in general, and in particular to the five principal tribes into which the early Vedic community was divided. Cultivated fields were known as Urvara or Kshetra. They were often watered by irrigation canals. The use of manure was also known. The grain grown on the soil was styled dhana or yava, but the exact significance of these terms in the earliest literature is not known. In later times they meant rice and barley. When ripe, they were cut with a sickle, tied in bundles and threshed on the floor of the granary. They were next winnowed, ground in the mill and made into cakes (apupa).

4. Arts and Sciences

The art of poetry was in full bloom as is evidenced by the splendid collection of lyrics known as the Rik-Samhita which consists of hymns in praise of different gods. The number of hymns is 1,017. These are grouped into books termed ashtakas or mandalas containing eight and ten hymns respectively, which were recited by priests styled hotris or reciters. The old hymns are chiefly to be found in the so-called Family Books (II-VII), each of which is ascribed by tradition to a particular family of seers (rishis). Their names are Gritsamada, Visvamitra, Vamadeva, Atri, Bharadvaja and Vasishtha. Book VIII is ascribed to the Kanvas and Angirases. Book IX is dedicated to Soma. The latest parts of the collection are to be found in Books I and X, which, however, contain some old hymns as well.

Fine specimens of lyric poetry are to be found among the Rig-Vedic hymns, notably in those addressed to the Goddess of the Dawn.

5. Religion

The early Vedic religion has been designated by the name of henotheism or kathenotheism—a belief in krishnasingle gods, each in turn standing out as the highest. It has also been described as the worship of Nature leading up to Nature's God. The chief deities of the earlier books owe their origin to the personification of natural phenomena. Abstract deities like Dhatri, the Establisher; Vidhatri, the Ordainer; Visvakarman, the All-Creating, and Prajapati, the Lord of Creatures, Sraddha, Faith; Manyu, Wrath, make their appearance at a later stage. Besides the higher Gods, lauded by priests, we have reference to others whose worship was not countenanced in orthodox circles. Some scholars find in the hymns traces of the cult of the linga and even of Krishna. Siva occurs as an epithet of the god Rudra worshipped by the Vedic priests. The Krishna mentioned in Rig-Vedic hymns can hardly be identified with his epic and Puranic namesake, as the river with which he is associated in the Rig-Veda is not the Jumna but some stream in the Kuru country, as we learn from the Brihaddevata.

Father Dyaus (Zeus, Diespiter), the Shining God of Heaven, and Mother Prithivi, the Earth Goddess, are among the oldest of the Vedic deities, but the hymns scarcely reflect their former greatness. They have been cast into the shade by Varuna, the Encompassing Sky, and Indra, the God of Thunder and Rain. Varuna is the most sublime deity of the early Vedic pantheon. He bears the epithet Asura (Avestan Ahura) and he is the great upholder of physical and moral order, Rita, the idea of which is at least as old as the fourteenth century BC., as we learn from inscriptions mentioning the names of the Mitanni kings. To Varuna people turned for forgiveness of sin just as they did to Vishnu in a later age.

“If we have sinned against the man who loves us, have ever wronged a brother, friend, comrade. The neighbour ever with us, or a stranger, O Varuna, remove from us the trespass.” O Varuna, whatever the offence may be which we as men commit against the heavenly host, When through our want of strength we violate thy laws, punish us not, O God, for that iniquity.”

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1.7.2 Later Vedic Period

Growth of Royal Power and Elaboration of the Administrative Machinery

The amalgamation of tribes and the increase in the size of kingdoms in the later Vedic age, coupled with the successful leadership of the kings in war, inevitably led to a growth in the royal power. Kings now claimed to be absolute masters of all their subjects, excepting perhaps the Brahmanas who proclaimed Soma to be their king. But even the Brahmanas were "liable to removal at will." The common free men had to pay tribute (bali, sulka and bhaga) and could be "oppressed at will", while the members of the servile classes were liable to be "expelled and slain at will."

The chief functions of the king were of a military and judicial character. He was the protector of his people and the laws, and the destroyer of their enemies. Himself immune from punishment, he wielded the rod of chastisement (danda).

Successful monarchs set up claims to the rank of universal king (raja visvajanina), lord of all the earth (sarvabhumi) or sole ruler (ekarat) of the land down to the seas, and celebrated sacrifices befitting their status like the Rajasuya (royal consecration), the Vajapeya (drink of strength) and Asvamedha (horse-sacrifice). The Rajasuya included offerings to divinities in the houses of officials, styled ratnins and a formal abhisheka or besprinkling by the priest, besides certain popular rites such as a cow raid, a sham fight and a game of dice in which the king is made to be the victor. The most interesting feature of the Vajapeya rites was a chariot-race in which the sacrificer was allowed to carry off the palm. This was followed by homage to Mother Earth and a formal enthronement. In the Asvamedha ceremonial, a horse was set free to roam abroad under the guardianship of youths of rank who were fully armed. If the period of wandering were successfully passed, the steed was sacrificed. The features of the rite included a circle of tales narrated by a priest, and laudatory verses sung by a lute-player.

While the kings of the middle country were generally content with the title of raja, rulers in the outlying parts of India preferred other designations. The eastern kings were styled Samrat, the southerners Bhoja, those in the west Svarat, while the rulers of the northern realms (janapadas) were called Virat. The association of the Samrat, whose status was now regarded as higher than that of the rajan, with the east is important. It probably points to the growth of imperialism in the east—a tendency that became more marked in the early days of Buddhism.

The king was usually, though not invariably, a Kshatriya. The office of monarch now, as before, was normally hereditary, though cases of election by the people were probably not rare, as is apparent from the coronation songs of the Atharva Veda. But popular choice seems to have been generally limited to members of the royal family.

The royal claim to absolutism did not pass unchallenged. The ceremonial of consecration included certain rites which required the king to descend from the throne and make obeisance to the Brahmanas. He had also to take an oath not to play false to the priest, and was specially charged with the duty of protecting the Brahmanas and the laws of the realm. That the Brahmanas did not tamely acquiesce in all that the king did, appears from several stories about the conflict of kings and Brahmanas recorded in the later Vedic texts. As to the commonalty, they supplied important officials like the Suta and the Gramani, whose title raja kartri or "king-maker" indicated their importance in the body politic. The popular assemblies styled the Sabha and the Samiti were still regarded as important, and it is stated in the Atharva Veda that concord between the king and the assembly was essential for the former's prosperity. Popular wrath vented itself in the expulsion of tyrannical kings together with erring officials.

With the growth of royal power came an elaboration of the machinery of

administration. In the Rig-Vedic period we have, barring the Purohita (chaplain), scarcely any reference to a purely civil functionary among the higher officials of the king. But in the later Vedic texts we come across the Samgrahitri (treasurer), the Bhagadugha (collector of taxes), the Suta (royal herald, bard or charioteer), the Kshattri (Chamberlain), the Akshavapa (superintendent of gambling), the Go-vikartana (king's companion in the chase), the Patagala (courier), in addition to the older ecclesiastical and military officials like the Purohita (chaplain), the Senani (general) and the Gramani (leader of the host or of the village). Mention is also made of the generic title Sachiva applied to ministers in later ages. The references to the Samgrahitri and the Bhagadugha, coupled with the mention of regular contribution from the people in the shape of bali and sulka, point to important developments in the system of taxation and revenue administration.

The beginnings of a regular system of provincial government may be traced in references to the Sthapati and the Satapati. The former was apparently charged with the duty of administering outlying areas often inhabited by aboriginal tribes, while the latter probably looked after a group of a hundred villages and was the precursor of the long chain of rural officials mentioned in the law-books. On the lowest rung of the ladder stood the village officials (adhikrita) appointed by the king himself according to the Prasna Upanishad. Regarding police arrangements, we know very little. Some find a reference to police officials in the Jivagribh of the Rig-Veda and the Ugras of the Upanishads. But the matter is not free from doubt.

The king had a very large part in the administration of justice, but power was sometimes delegated to Adhyakshas or overseers. Certain cases were referred to the tribe for adjudication. The judicial work of the tribal assembly was usually entrusted to a small body of Sabhasads or assessors. Petty cases in the village were decided by the Gramyavadin or village judge and his court (Sabha). The use of Ordeal as a part of judicial procedure was not unknown. Civil cases were sometimes decided by arbitration, and private vengeance in criminal cases was still recognized.

1. Social Changes

Little change can be traced in the mode of house-building and the style of dress. In regard to dietary, the eating of meat was being looked upon with disfavor. New forms of social entertainment had come into existence. We have references to the Sailusha or actor, and gathas or verses were sung by the lute-players (vinagathin) at great public festivals to the accompaniment of musical instruments which were sometimes furnished with a hundred strings (sata-tantu). Such gathas foreshadow the "songs of victory" which developed into the Great Epic.

In regard to the position of women, there was hardly any improvement. Daughters were regarded as a source of misery. Women could not go to the tribal council or assembly (Sabha), neither could they take an inheritance. Married women of the upper classes had often to suffer the presence of rival wives. The lot of queens was specially unenviable in this respect. While some of them, e.g. the mahishi or chief queen, and the vavata or the favourite, were loved and honoured, others like the parivrikta were admittedly neglected. But they continued to have their share in religious rites. The education which some of them received was of a high order, as it enabled them to take a prominent part in philosophical disputations at royal courts. The rules of marriage underwent a change towards greater rigidity, and there were instances of child marriage.

As regards class distinction, changes of far-reaching importance were taking place. The two higher classes, namely the Brahmana and the Kshatriya, enjoyed privileges denied to the VaiSudra. The latter could be "oppressed at will." Different modes of address were laid down for the four castes. Change of caste was becoming difficult, if not impossible, but the higher classes were still free to intermarry with the lower orders,

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though marriage with Sudras was not much approved. The life of a member of the higher castes was now rigidly regulated. The Chandogya Upanishad makes pointed reference to three stages, that of the householder engaged in sacrifice, study and charity, that of the hermit who practised austerity, and that of the Brahmacharin who dwelt with his Acharya or teacher. The power and prestige of the Brahmanas had increased immensely. But though the priest claimed to be a god on earth and the protector of the realm, and the same individual might be the Purohita of several kingdoms, there was no pope to oppose the king. The Brahmana claim to supremacy was now and then contested by the Kshatriya, and we have declarations to the effect that the Kshatriya had no superior and that the priest was only a follower of the king. The great community of ordinary freemen was splitting up into small functional groups and we have references, in addition to those engaged in agricultural and pastoral pursuits, to the merchant, the chariot-maker, the smith, the carpenter, the tanner, the fisherman, etc., as names of distinct castes. Some of them were sinking in social estimation, and in a Brahmana passage a carpenter's touch is said to impart ceremonial impurity. The Sudra, too, was regarded as impure and was not allowed to touch the milk needed for oblations to the Fire-God. The gulf separating him from the humbler freeman was, however, becoming narrower. He was not infrequently grouped with the Vaisya, and the two together were set against the priest and the noble. The right of the Sadra to live and prosper was gradually recognised and prayers were even uttered for his glory. The ranks of Sudras were constantly swelled by the admission of new aboriginal tribes into the Aryan polity.

Outside the regular castes stood two important bodies of men, namely, the Vratyas and the Nishadas. The Vratyas were probably Aryans outside the pale of Brahmanism. They did not observe Brahmanic rules, spoke some Prakritic language and led a nomadic life. They appear to have had some special connection with the people of Magadha and the cult of Siva and of the "Arhats." they were permitted to become members of the Brahmanical community by the performance of some prescribed rites.

The Nishadas were clearly a non-Aryan people who lived in their own villages and had their own rulers (Sthapati). They were probably identical with the modern Bhils.

2. Economic Condition

The people, including even men of wealth, still lived mostly in villages, but the amenities of city life were no longer unknown. In certain villages peasant proprietors, working in their own fields, were being replaced by a class of landlords who obtained, possession of entire villages. Transfer of land, however, did not meet with popular approval during this epoch, and allotments could only be made with the consent of clansmen.

Agriculture continued to be one of the principal occupations of the people. Considerable improvement was effected in agricultural implements, and new kinds of grain and fruit trees were grown on the soil. But the cultivator was not free from trouble, and an Upanishad passage refers to a hailstorm or a swarm of locusts that sadly afflicted the land of the Kurus and forced many people to leave the country. Trade and industry flourished. A class of hereditary merchants (vanija) came into being. There was inland trade with the Kiratas inhabiting the mountains, who apparently exchanged the drugs which they dug up on the high ridges for clothes, mattresses, and skins. The sea was known intimately, and the mention of the legend of the flood in the Satapatha Brahmana is taken by some authorities to point to intercourse with Babylon. Commerce was facilitated by the use of convenient units of value like the nishka, the satamana, and the krishnala, but it is doubtful if these had acquired all the characteristics of a regular coinage. The nishka, formerly a necklet, was now probably a lump of gold possessing a definite weight equal to three hundred and twenty ratis (1 rati = 18 grams), which was also the weight of a satamana. A krishnala weighed one rati, that is, 1.8 grains. Merchants

were probably organised into guilds, as appears from references to ganas or corporations and the sreshthins or aldermen.

The variety of industrial occupations was remarkable specialisation had gone far. The chariot-maker was distinguished from the carpenter, the maker of the bows from the maker of the bow-strings and of arrows, the tanner from the hide-dresser or furrier. Women took part in industrial life a makers of embroidered garments, workers in thorns, dyers, etc.

3. Religious Development

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Great changes took place in the religious life of the people. The lustre of the older gods was gradually dimmed, though one would still find, here and there, especially in the Atharva Veda, magnificent hymns celebrating the omniscience of Varuna or the beneficence of the Earth-Goddess. The sacrificial side of religion was greatly developed by the priests, while the popular superstitious belief in spirits, imps, spells, incantations and witchcraft found a place in the sacred canon. The monotheistic and monistic tendencies, that showed themselves prominently towards the close of the Rig-Vedic period, became more marked with the efflux of time. Prajapati, the lord of created beings, cast all the older deities into the shade. The germ of the later doctrine of the Avataras, or divine “descents” or incarnations, can be traced in stories about Prajapati assuming the form of a boar to raise the earth from the primeval waters and becoming a tortoise when about to create offspring. While the priests and the theologians were absorbed in elaborate sacrificial rites and muttered litanies in honour of Prajapati, the First Sacrificer and the Embodiment of Sacrifice, philosophers threw doubts on the efficacy of ritual, speculated about the underlying unity of the universe, and strove for union with the supreme Brahman or Paramatman, the universal Soul or the Absolute “that dwelleth in everything, that guide all beings within, the Inward Guide, Immortal.”

The common people, however, did not understand abstruse theological or philosophical Shiva speculations and began to show predilection for certain deities already known to the Rig- Veda but not so prominent as Indra or Varuna. One of them was Rudra, who already bore in the early litanies the epithet of Siva (propitious) and soon came to be regarded as the Great God (Mahadeva) and the lord of animate beings (Pasupati). His popularity may have been due to his identification with the chief male deity of the pre-historic people of the Indus.

Side by side with Rudra arose another figure-Vishnu, a solar deity famed in the Rig-Veda for his three strides. As the source of cosmic and moral order, the deliverer of mankind in distress and saviour of the Gods, Vishnu soon came to occupy the place of Varuna as the most sublime among the celestials, and his highest step (paramapadam) became the goal of sages and seers. Before the final close of the Vedic canon, he came to be identified with Vasudeva hero or demi-god known to epic tradition as Krishna-Devakiputra. In one Upanishad we find Krishna associated with a school of thought that rejected the purely ritualistic interpretation of sacrifice and considered the practice of virtue to be as effective as gifts to priests. In the final hour one should, according to this school, take refuge in these three thoughts: “You are the imperishable, the never-falling and the very essence of life.” The goal of spiritual endeavour according to them, was the realm of light higher than heaven where dwelleth the God among the gods. Here we see the germ of some of the doctrines that received a more systematic treatment in later ages and lay at the root of the Bhagavata creed.

4. Literature and Science

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Before the close of the Vedic period, the Aryans possessed an extensive literature handed

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down in the Brahmanical schools by memory. Some idea of the wide range of subjects in which the people interested themselves may be obtained from several lists given in the Upanishads. One such list makes mention not only of the Vedas but of Itihasa-purana (legend and ancient lore), Pitrya (the science relating to the Manes), Rasi (mathematics), Daiva (knowledge of portents), Nidhi (chronology), Vakrovakya (dialectics), Ekayana (ethics), Deva-vidya (etymological interpretation of divine names), Brahmanavidya (knowledge of the Absolute), Bhutavidya (demonology, or science of elements), Kshatra vidya (the military science), Nakshatra vidya (astronomy), Sarpa vidya (the science of snakes), and Devajana vidya (dancing and music or mythology). Another list mentions the Vedas, phonetics (siksha), ritual (kalpa), grammar (vyakarana), etymology (nirukta), metrics (chhandas) and astronomy (jyotisha). If all the subjects mentioned in the former list were dealt with in special treatises, most of them have not come down to us. A brief account of the extant works of Vedic literature included in the second list is given below.

The word Veda comes from the root vid, to know. It means knowledge in general. It is specially applied to a branch of literature which has been handed down from time immemorial by verbal transmission and is declared to be sacred knowledge or divine revelation (Sruti).

The Veda, consists of four different classes of literary compositions :

- (1) The Mantra (saying, song, formula) constitutes the oldest division of Vedic literature, and is distributed in four Samhitas or collections known as the Rik, Sama, Yajus, and Atharva Samhitas. The first three are sometimes spoken of as the Trayi or threefold knowledge, being alone recognised at first as canonical scriptures.

The Rik-Samhita is a collection of lyrics in praise of different gods. These were recited by the priest styled the hotri. Most of the songs belong to an age anterior to what we have called the Later Vedic period, but the collection as a whole may not be so old. The Samhita of the Samaveda, or the Book of Chants, contains hardly any independent matter, all its verses except seventy-five being taken directly from the Rig-Veda. Its songs were meant to be sung at the Soma sacrifice by a special class of priests called Udgatri. The Samhita of the Yajurveda, or Book of Sacrificial Prayer, consists not only of stanzas taken from the Rig-Veda, but also of original prose formulas to be uttered by the Adhvaryu priest who performed the manual work involved in a sacrifice. The collection has two divergent texts, viz (a) the Samhita of the Black Yajurveda preserved in the Taittiriya, Maitrayani and Kathaka recensions, and (b) the Samhita of the White Yajurveda preserved in the Vajasaneyi recension.

At a time considerably later than the Samhitas mentioned above, a fourth attained to canonical recognition, the Atharva Veda, or the Book of Magic Formulas. Though its recognition came late, much of the matter contained in the collection is old. Some of the Atharvan hymns were of popular rather than priestly origin and may be as old as the earliest parts of the Rig- Veda. The Atharva-Samhita is, in the main, a collection of songs, spells and incantations for the healing of disease, the restoration of harmony, the exorcism of evil spirits, etc. But there are certain hymns of rare beauty that celebrate the power and omniscience of God and the beneficence of Mother Earth.

- (2) The second class of Vedic works are known by the name of Brahmanas, i.e. treatises relating to prayer and sacrificial ceremony. They are mainly prose text containing observations on sacrifice. They also contain cosmogonic myths, old legends and gathas or verses celebrating the exploits of kings famed in priestly tradition.
- (3) Next come the Aranyakas or forest texts, books of instruction to be given in the forest or writings meant for wood-dwelling hermits, which are found as appendices

to the Brahmanas. These treatises resemble the Brahmanas in language, style and even content, but they are concerned more with the allegorical signification of rites, and the mystic meaning of the texts of the Samhitas than with elaborate rules for the performance of the great sacrifices. The bulk of the Aranyaka literature is old, but certain portions may belong to a date posterior to the period under review.

- (4) Lastly we have the Upanishads, “secret or esoteric doctrines.” The name is derived by some from the root upa-ni-sad which means “to sit down near some one” and is applied to doctrines that may be imparted to a son or a trusted pupil seated near the teacher. The Upanishads are either imbedded in the Aranyakas or form their supplements. They are also found as independent works. They contain deep speculations of a philosophical character which “revolve around the two conceptions of Brahman and Atman”, i.e. the universal soul, the Absolute and the individual self. The oldest Upanishads are usually regarded as pre-Buddhistic, but some of the treatises bearing the name “Upanishad” certainly belong to a much later period.

The classes of literary works named above are alone classed as Sruti, or Revelation, and constitute the Vedic literature proper. But closely connected with them as auxiliary treatises, though not regarded as a part of the Revelation, there exist a class of compositions called Vedanga, “members or limbs of the Veda.” They are regarded as less authoritative than the Sruti, and are styled Smriti, memory or tradition, as handing down only the tradition derived from ancient sages to whom the Vedas were “revealed”. They originated mostly in Vedic schools (Charanas) and their contents are often expressed in an extremely condensed style of prose intended for memorization, to which the name Sutra (thread, clue, guide, rule, aphorism) is given. Some of the treatises were versified in later times.

The Vedangas are six in number, viz., Siksha (phonetics), Kalpa (ritual), Vyakarana (grammar), Nirukta (etymology), Chhandas (metrics), and Jyotisha (astronomy). These subjects are already mentioned in some of the Upanishads, though the extant manuals may belong to a much later period.

The manuals of Siksha deal with the correct pronunciation and accentuation of the Vedic hymns. The productions of the Siksha school include the “connected text” of the Rig-Veda as well as the “word-text” which gives the text of the verses in a complete grammatical analysis. But the most remarkable compositions of the Siksha class are the Pratisakhya Sutras which contain the rules by the aid of which the Samhita-patha (connected text) can be formed from the Pada-Patha (word-text).

The treatises on Kalpa or ritual include the Srauta Sutras which lay down rules for the performance of the great sacrifices, the Grihya Sutras which give directions for the simple ceremonies of daily life, and the Dharma Sutras which deal with sacred and secular law and administration. As integral parts of the Srauta Sutras are found compositions styled Sulva Sutras which lay down rules for the measurement and building of the place of sacrifice and the fire-altars, and are the oldest treatises on Indian geometry. There are manuals supplementary to the Kalpa Sutras styled Parisishtas or addenda. In Vyakarana, Nirukta and Chhandas we have the great work of Panni, Yaska, and Pingala. A metrical work on a Jyotish Vedanga is extant, but it seems to belong to a comparatively late date.

5. Post-Vedic Period

The post-Vedic period has a unique place in the history of ancient India, characterized as it was by intensification of social stratification, growth of a large number of urban centers and the emergence of many states. Each of these was the result of long drawn complex processes with bearings on each other.

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Further, all these changes did not take place in isolation, rather they were inextricately interrelated. The new emergent system needed some ideological support, which was provided by the new heterodox systems, two of which, namely Jainism and Buddhism, became quite prominent. The orthodox Brahmanism saw many changes creeping in so as to accommodate the emerging patterns.

In order to appreciate the problem of state formation and the growth of urbanism it seems necessary to look into the conditions prevailing during the later-Vedic phase. Having done this in the previous chapter (Vedic Age) we may now set ourselves to look for the factors contributing to the emergence of a state system i.e. transformation of raja as a chief to raja as the king in the janapadas.

Emergence of Varna and Caste System

The Varna system in India was not born in a day. No sacrifice was made. Nobody was born from any part of the Brahma or any primal man. This is just a glorified crap. It was developed and crystallized slowly over a long period of time. This system was not brought from outside because it is not traceable in the places where the Aryans were supposed to have gone from their home place of Russian steppes. Its non-existence outside India implies that it was developed within this subcontinent. The Varnas emerged after one another in the order of Brahman, Kshatriya, Vaisya and Shudra after the end of the Rig Vedic Period.

The appearance of Varnas coincides with the introduction of agriculture in Rig Vedic society. It also coincided with the formation of big tribes through merger of small tribes. With the introduction of agriculture, the Rig Vedic society met its demise. It was transformed. The cow and plunder based economy slowly disappeared into oblivion. Now, the agricultural surplus made it possible for the higher level groups to emerge in an egalitarian society. The structure of Rig Vedic society was broken and a slow power struggle developed between the Rishis and the warriors. There were the clear-cut two groups that emerged in this power struggle. Those who did not take in part this power struggle were later assigned the manual occupations and a low Varna by the emerging lawmaker. But first the dominant groups, these were the Rishis having divine power to curse and power to bring victory to a tribe by invoking gods and on the other side were the warriors. The warriors lost to Rishis ' underlying powers over common people. Thus first group of Rishis emerged on the top and in the due course called itself the Brahman Varna. The second group which was of warriors came to be known as the Kshatriya Varna. Then the Vaisya Varna and the Shudras Varnas emerged, one after another in considerable time. The strata emerged in the form of Varnas. Another stratum emerged in the post-Vedic period in the form of Untouchables or the Antyajas. The lawmakers assigned the Varnas for rest of the people, defined their functions and implemented them through the Kshatriyas.

To understand the emergence of Varnas it is necessary to understand the warring and plundering society of the Rig Vedic period, appeasement of gods, fear of divine retribution caused by human errors and its avoidance. It was a period low intensity warfare which continued till the end of the Rig Vedic Period. In warlike conditions, the warriors should have emerged at the top but that did not happen.

The existence of too many sovereign entities made the situation warlike especially when the Aryans were not prepared to take up agriculture and live in relative peace. In the absence of agriculture, the only recourse was to plunder other communities. The attacks on other communities and tribes became a necessity. The survival of a tribe depended on its capacity to repel successfully frequent attacks and capacity to successfully attack others. The uncertainty of survival made the warring ability a necessity. There were no standing armies as there was no money to be paid. The small size of tribes and

native communities made the results of wars very uncertain. For this purpose, the divine help was invoked. When it was a matter of life and death, it was natural to call for the divine help, especially when they knew the trick of appeasing the gods.

The Vedic people lived in a society where the appeasement of gods was supposed to determine the welfare of tribe and success in wars. It played a very important crucial role in the development of Varna system and in the spread of cultural hegemony of the later Brahmins. The appeasement of gods became a sacred, specialized and necessary function in society, well, at the top of society. It involved long intricate complex rituals and chanting of the mantras. These had become so complex that they had to be rigorously learned from the people who had already specialized in them - the Rishis. They were important because the welfare of the tribe, supposedly, depended on them because only they could invoke the divine help, with their paranormal powers, without which no war could be won. Perhaps, so much dependence on the gods in the wars means that opposing sides were more or less equally matched, and thus nobody was confident of the victory. The invocation of divine help was a must. The confident people do not need gods but for uncertainty! The lightning wars in the absence of assured food supply, surely, needed divine help. The godless people, meaning people without any faith in Vedic gods, were known to have lost wars due to their lack of belief in the Aryan gods.

This trick of appeasing gods was in the form of Yagyas. The trick was to offer the oblation to gods through fire, in Yagyas, which burned the oblation and carried them upwards to heavens. The mantras or hymns were used in the Yagyas for invocation of gods and asking favor from them in war. The appeasement of gods was a necessary cultural feature of Vedic society. Any improper invocation of gods or any erroneous Yagya was supposed to bring a certain deadly divine retribution which could have devastated the chieftain or the tribe. The Vedic people lived in perpetual insecurity, as outcome of any war was very uncertain, and sought divine help. The divine power was feared and revered. The divine power was required to be handled very carefully unless it exploded on the tribe itself. The war god Indra was most in demand and next was Agni (the fire), then follow other nature gods. The divine retribution was much feared beyond known limits; it found its ultimate expression in the much esteemed Gita.

The complex rituals and mantras came into existence; those who knew them attained a high indispensable position in the Vedic society because without them no war could be initiated. These were the people with paranormal powers of invoking the gods. The army could move only after the Yagya had been completed. The more important people, the people who actually fought, became secondary. The actual warriors could have fought the enemy but they could not have invoked the gods to help them without inviting the divine retribution as their invocation was bound to be faulty.

Increased the importance of the Rishis who could verbatim recite the mantras without a single pronunciation error and without a single small error. The importance of people possessing such skills became paramount. Their supposed paranormal powers helped them to attain the highest position in society. However, non-performance of Yagyas by a king meant defying Rishis and as a result God. Defying people with paranormal powers was not in the best interest of the chieftains. Any war devoid of the Yagyas was only half prepared and was sure to be lost. Such a chieftain was not supposed to be looking after the welfare of the tribe and he could have been held responsible for bringing the divine retribution on the tribe or his people. He was supposedly putting his tribe at risk. This could have weakened the king's hold over the tribe. The non-performance of Yagyas meant displeasing the gods resulting in an invitation to divine retribution. No tribe (Visha) member (Vaisya?) could possibly have a faith in a chieftain who was harming the welfare of the tribe by displeasing the powerful gods. Such a chieftain was putting

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his tribe in a peril. Any defeat in war could have been easily attributed to non-performance of war winning Yagyas or faulty invocation of the gods during Yagyas. This means politics at work. The importance of the Rishis and Brahman followed from the need of persons needed to perform the war winning Yagyas for the chieftain and tribe. Facing the irrevocable curse from people with paranormal powers was supposed to be beyond even the kings. Even the kings could not evade these curses. A cursed king or chieftain was doomed. There were some struggles between the divine lawmakers and the kings but ultimately the Brahmans emerged at the top thanks to their paranormal powers. In the later Vedic period and slightly afterward the emerging Kshatriyas asserted their supremacy as in most of the civilizations where rulers prevailed over the priestly class. Nevertheless, the proximity to gods increased the purity and thus God invoking power of the Rishis. It brought God fearing general population under the control of the Rishis. Most probably, the people were less willing to fight the wars not backed by Rishis; the king had to compromise with Rishis by giving them a higher status. One added factor was that the Rishis acquired the sole right to coronate the kings. It seems of little significance but a king who was not coronated seemed to be little out of place. So a king had to, invariably, undergo the coronation ceremony or ritual and for that Rishis or Brahmans were needed who had monopolized the rituals. As the influence of Brahmans increased, the coercive power of state became less and less effective against them, and then disappeared altogether.

Thus, invariably the king had to perform the rituals. Performing of war winning Yagyas became a cultural and political necessity. These rituals became religious elements as well as political weapons at the hands of Rishis who had monopolized the rituals. These Rishis became the most powerful people in the Vedic society. The mantras they chanted were supposed to possess the awesome paranormal power of invoking the gods. They were powerful as they could always refuse to perform Yagyas and make the chieftain look like anti-tribe because he could not get the Rishis to perform the Yagyas for the welfare of the tribe. The chieftains also could not force the Rishis because they were supposed to have paranormal power of putting an irrevocable curse on them also. The natural or divine calamities were certain to visit the kings and the kingdoms which did not appease the Rishis and the later day Brahmans. The faith in them was overwhelming. Such a faith should break anybody's heart. It gave them leverage over the kings. It is clear from the killing of Shambuk in the Ramayana. The curses were really effective in an indirect way. The cursed chieftain lost the confidence of his people resulting in weakening of his kingdom. The coincidental divine calamities were touted as the sure proof of paranormal powers of the enraged Rishis and Brahmans.

The fear of divine retribution always helped the Rishis and gave them the enormous power. The metaphysical forces were always with them. Only they could manage the gods correctly. The threat of divine retribution kept the chieftains in check, and they could not use force against the Rishis to force them to perform the rituals. Nobody could have touched them because nobody could have escaped their curses and their paranormal powers; nobody else knew the sacred mantras. The monopoly on mantras concentrated the ritual powers in few hands and it was duly taken advantage of. They were supposed to have the divine power to give curses and punish the opponent. Further, there was no way to escape the curse; it could not be taken back. The divine anger or retribution could have resulted in grave but assumed danger to people. However, these paranormal supermen never destroyed the opposing armies through their divine powers.

These priests possessed the awesome talent of cramming. Or rather they developed methods of memorizing the mantras. They kept them secret to maintain their monopoly on performing Yagyas. They also kept, the teaching of Sanskrit in which the mantras

having paranormal powers were composed, away from the local population. Over a period of time Sanskrit came to be known as dev-bhasha or gods' language and it died leaving only the Brahmins to interact with gods. The Brahmins became the ritual monopolists without whom, a ritual based society could not move. All this is hardly selfish! Is it?

The threat of divine retribution is also very clearly indicated in the Gita - the showpiece of Hindu religion to the outside world. The rituals performed at the Ashwamegha Yagya are clear indications of their power. The Rishis came to acquire the highest status in society because of their indispensability in performing the war winning Yagyas - the supposed lifeline of a tribe. They were the preservers of a tribe's welfare with their extraordinary paranormal abilities of invoking the gods. Thus they enjoyed the extraordinary status, in lieu of their paranormal powers, in society, and they passed it down to their coming progenies, the Brahmins.

The Rishis who occupied the highest status were the forerunners of the Brahmins who formed the first Varna to appear on the scene. It is also indicated by the fact that all the Brahmins trace their paternal lineage (gotra) to these Rishis only and to nobody else. Small tribes were combining to form the big tribes under the aegis of agriculture. People were combining also and forming influential groups. Some of these groups were probably the forerunners of the future Varnas. This first Varna was a group of people with paranormal powers; over a period of time they became an endogamous group. These progenies of Rishis maintained their superior position in the Aryan society. They retained the right to marry the woman from any stratum from Aryan society. In other words, they retained the rights to marry the best of women in society irrespective of her social status, and that subtly conveyed the lower Varna (rest of society) males of their subordination.

They memorized the Vedas fully by taking cue from the earlier or from the previous mantra for the current mantras and the process flowed on. It took years to master it under a competent teacher. The teachers chose their pupils carefully and finally they chose only progenies of people knowing mantras. Thus, they passed on the benefits of wealth transfers to their progenies. These people became the Brahmins.

Brahman itself means the knower of Bruhm (the Absolute) - the incomprehensible being. So, only the Brahmins could marry the Brahmin women, which was most probably the start of endogamous Jati system. They also limited the teaching of Vedas only to their kith and kin to the exclusion of others. The Vedas became their and their coming generations' exclusive property from which all the sacred power flowed. That also meant taking care of their future generations through their monopoly on the Vedas and scriptures.

The next Varna to appear on the horizon was the Kshatriya Varna. The word "Kshatriya" is derived from the word "kshatar" meaning rulership. Another meaning is the group of people holding land (kshetra, kheta - field, land) - the warrior landlords. We have already mentioned that in the then dynamic society another group formation of the chieftains and the warring heads of the tribes was taking place. They formed a kind of coalition as a reaction against the Rishis. They also entered into matrimonial alliances across the tribes to strengthen themselves. There were no standing armies as the money had not come into circulation. In these circumstances, they could depend only on their paternal relatives, maternal relatives and in-laws for their protection because being a chieftain or king was a risky job. This group was warlike in nature and controlled the society with their might. The kings who emerged generally depended on the army made up of largely their kith and kin because they were the most reliable. There was no standing army but the kith and kin of the king formed an ever-ready army. During later

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Vedic period, the tribes were merging and becoming amalgamation of different people. A king could more securely rely on the people who were near and dear to him. Thus, they formed a group, the members of which depended on each other to defend their political position.

These kings and their kith and kin were the forerunners of later day Kshatriyas. As usual as it happened, they prevented commoners from marrying their woman or their girls. Only a Kshatriya could marry a Kshatriya girl. It was a matter of honor in a paternal society. Thus, another birth based endogamous Varna occupying the second highest position in society came into existence. They ceded superior position to Brahmins due to widely held deep belief in the divinity, divine retribution, sacredness and superiority of the Vedas over everything else. The sacred Vedas became the monopoly of the Brahmins - the preservers of Dharma. If they were to appear to be interested in the welfare of the tribe, they had to perform as many Yagyas as possible. Thus, they needed the learned Brahmins. The Brahmins became the source which could legitimize the rule of a king; thus, they were high in demand. The Brahmins in turn provided them with the blessing of the Gods by invoking the gods with the sacred mantras and protected the kings from any divine retribution. The act of being interested in welfare of the tribe got the kings acceptance from the tribe. It was a kind of indirect acceptance. For indirect acceptance, they had to depend on the Brahmins who legitimize the rule of the king. For Brahmins, it was a kind of indirect control over the common people through the scriptures, whose authority and efficacy very few people denied. Being any Brahmin involved little risk to life. Everybody was below the Word of God which was exclusively in the hands of the Brahmins. Brahmins, the ritual monopolists, were the exclusive people who could save the tribe from the divine retribution by performing accurate rituals. And this has been the trend ever since. Kshatriyas accepted the Brahmins as superior and, provided them with land, the state administrative jobs and other gifts. Brahmins in turn provided the social acceptance and divine legitimacy to the kings and upheld their divine right to rule. There was a kind of reciprocal exchange of benefits. Rest of the population could go to hell.

We can clearly see that in trying to dominate society both the Brahmins and the Kshatriyas engaged in status seeking which is give in the appendix.

The third Varna to appear on the scene was the Vaisya Varna. The term "Vaisya" is derived from "Vish" which means the tribe. Therefore, the Vaisya meant the one who belonged to the tribe or a common man. Actually, it was a residuary Varna made up of people not having any other Varna. The Varnas were defined by the Brahmin and concretized by the kings; the lower most Varna of Vaisyas was not allowed any state power; they were kept reserved for performing the manual jobs. The Brahmins and Kshatriyas needed each other but they did not need the Vaisyas. The state coercive power could be used against the Vaisyas to bring them in line with the thinking of the Brahmins. They were not part of any dominating groups in society of combining tribes. They did not know the Vedas and did not take part in the warfare. The Kshatriyas trusted only their kith and kin for safety, not the common people of other merging tribes, the Vaisyas. Thus, the Vaisyas were kept out of the Kshatriya hood. However, the common people of other tribes which were either merged or were defeated were made to engage in cattle rearing and land tilling by force - the job of native people - all by default since upper two Varnas were not interested in labor; the natives had left the place. Brahmin Varna was interested in earning on the basis of its devastating (to others) intellect. Kshatriya Varna was interested in income from taxes in kind. Both upper Varnas were interested in owning/holding land tilled by the Vaisyas where the main proceeds went to the landholder. The Vaisyas were filling the vacuum left by the local cultivating communities who had left the conquered areas. In the emerging inter-

Aryan-tribal-native-chieftain matrimonial scenario, the Vaisyas were left unconnected to the emerging powerful groups across the tribes and communities. The Vaisya Varna arrived there by default. Somebody was needed to grow the food for the new powerful groups. So far, there were no Shudras; they made their appearance later on. The Varna system was in its crystallizing stage. While considering the agriculturists in India, it should be kept in mind that there were two types of agriculturists - the one who held the land and another who tilled, the latter were called tillers who had no stake in the land. Therefore, an agriculturist Brahman is not the one who tills the land but the one who holds the land. One should not develop a notion of the humble Brahmins in the name of agriculturists – they were the landholders not the humble tillers.

The Vaisyas also became endogamous by force because they could not marry into higher Varnas. They could marry only the Vaisya girl or non-Brahman or non-Kshatriya girls in the combining tribes where the chieftains were losing their identities and the new stronger kings were emerging. The upper groups did not want any encroachment on their conjugal areas; the vaisyas were powerless to stop any encroachment on their conjugal areas. The Vaisyas were common people without any special power in society. Their name suggests that they still belonged to tribes (Vis) and had no access across the tribes when the tribes were combining. Most probably, they started marrying outside the tribe when sagotra marriages were banned; the merged tribes then lost their independent identities losing their tribal character; the tribes disappeared and Varnas emerged; so far only three. Most probably, the access across the tribes was available only to the Rishis and the kings. Vaisyas were left out of higher-level activities like politics and the sacred Dharma. The sacred Dharma was, invariably, a political tool. The religion was a part of politics. Vaisyas were engaged, at that time, in the lower level activities of cattle rearing and land tilling. The trading activity had not come into existence by the end of later Vedic Period.

The currency had not come into circulation by and large. The activity of trading was a later addition to their occupation. The Vaisyas had the lowest position in three Varnas because they did not have any power; they were engaged in the powerless jobs of cattle rearing and land tilling, now inferior jobs involving the use of manual labor, heavy human and animal secretions; all abhorred and despised by the emerging pure people. The higher two Varnas were not interested in performing manual labor. Another reason for Vaisyas' lower ranking was that they were also doing the inferior job of agriculture which was earlier done by the defeated, and thus by implication the inferior natives of India. The inferiority hops onto to the defeated people and the superiority follows the winners, naturally. Or the victors were superior and the conquered were inferior. The conquerors were superior to the conquered. But, the paradigm of purity sneaked in, devastatingly, through the backdoors of rituals, spirituality and Sanskrit. The portion of Aryan society that was forced to take up the job of inferior people, came to be regarded as inferior – the Vaisyas. The occupations became graded - agriculture being the lowest and the communication with gods being the highest. Nevertheless, the Vaisyas were still allowed the thread ceremony meaning that they were Aryans but doing the degraded job. The jobs of Vaisyas were also going to be degraded to Shudra level in the due course of time when the commercial trading was to emerge as a sustainable activity. The Vaisyas might have been the Aryans of the tribes defeated by the main Rig Vedic Aryan tribes; thus, they were ordained with inferior jobs.

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The Shudra was the last Varna that came into existence. The word “Shudra” is derived from the word “kshudra” which means inferior. And, they were exactly like that because they had been defeated. The natives of India, brown or black, were inferior because they have been defeated politically or culturally. The defeated natives of India ran away to other places. It is indicated by the facts that the Aryans (Vaisyas) had to

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take up the agriculture implying the absence of native people from the conquered areas. The natives were dispossessed of their land, which in turn went into the hands of Kshatriyas who gave it to Vaisyas to till it and pay the taxes in kind. The Shudras ran away to the kingdoms or areas of other Shudra chieftains or kings.

Some of the Shudras stayed back. These Shudras had lost their land and became landless laborers in the land of Aryans. They were assimilated at the lowest level in Varna system and were denied the thread ceremony implying that they were not Aryans. It also indicates that the Shudras earlier did not agree to the Vedic rules. Over a period of time the Varna system degraded many twiceborn (the upper three Varnas entitled to thread ceremony) to Shudra level and also below it through the system of ostracization. Over a period of time, many Aryans lost their land and came down to the Shudra level. There were many Shudra occupations: blacksmith, carpenter, skinner, charioteer, goldsmith, potter etc. The important point was that the Shudras were disconnected from land or from any kind of assets through dharmic edicts. They were to be kept into penury courtesy the laws made by the pious people having eternal paranormal powers. They had to live by their labor alone. How touching! The star occupation of Rig Vedic people, cattle rearing, was degraded to third level of Vaisyas and in the due course of time to fourth level of Shudras. Another star occupation of Rig Vedic people, plundering, was made a crime. The status of these activities moved a great deal from higher to lower level. Their sad degradation was not noticed by anybody. The Varna system was crystallizing. The amorphous mass of tribes got amalgamated from which the Varnas emerged and crystallized. The stage of amalgamation is often obtusely forwarded as an immutable proof of flexibility of Varna system though the carnal desires of powerful Rishis were very apparent in this stage. The totally crystallized Varna system was never flexible. Insertion of Purush Sukta in the Rig Veda was also a part of this crystallization. Total crystallization was completed through the Dharma shastras.

Thus, the four Varna system emerged in the post-Vedic society. This system was called the Chaturvarna system. It need not be reminded that these Varnas in the descending social order were the Brahman, the Kshatriya, the Vaisya and the Shudra. The Brahmans were at the top, the Kshatriyas at the second place, the Vaisyas at the third place and the Shudras at the fourth place. The paranormal Brahmans were the lawmakers, social authority and priests. The Kshatriyas were the rulers or the kings. The Vaisyas were the traders and agriculturists. And the Shudras were the eternal servants or landless people. The artisans were also Shudras since in absence of currency they had to work for higher Varnas for paltry payment in kind. This most probably led to the emergence of Jajmani system. Or a system where the Shudra castes got a small piece of land in lieu of providing services to the village. They worked on this small piece of land to grow food for themselves. These Varnas were not created in one day through the Purusha Shukta of Rig Veda. Brahmans after defining themselves defined others and as a measure to prove their exclusivity formed a different endogamous group at the top. They occupied the risk free highest position in the Hindu society. This crystallization culminated in the development of Dharma shastras. A further culmination took in the form of development of sub-varnas or castes.

The spread of Sanatana Dharma owed a lot to magnetic nature of the Yagyas. The culture of performing mystique Yagyas became most in demand for which the Rishis or Brahmans were needed. The assumed abilities of Rishis and Brahmans, of invoking gods through the Yagyas, helped in a significant manner, in spreading their influence and the Sanatana Dharma. These paranormal powers behaved like magnets.

The new kings were drawn to them in no insignificant number. The belief in Brahmins' paranormal power got converted into their cultural hegemony.

Influence of Geography on History

1.8 RELIGIOUS MOVEMENTS IN 6TH CENTURY B.C

The Sixth century B.C. may be regarded as an important landmark in the history and culture of the world. During this period men's minds in widely separated parts of the world were stirred by problems of religion and salvation. Mahavira and Gautam Buddha in India, Zoroaster in Iran, Heraclitus and Permiades in Greece and Confucius and Lao Tse in China, all unknown to one another propagated new religions. All of them asked many pertinent and penetrating questions relating to the existing system. All of them led protestant movements against the existing system and in most cases succeeded.

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Religion played an important role in the lives of Indians. During the 6th century B.C. preachers and wandering monks prepared the ground for the rise of some protestant religions in India. About this time Vedic philosophy had failed to satisfy the masses. The dominant tendency was to escape from the formalism of Vedic religion and to question the utility of rituals and the claim of the Brahmins to spiritual superiority. A great religious discontent was clearly visible. The old sacrificial religion of the Vedas had lost its appeal, the Vedic Gods had ceased to satisfy the spiritual needs of the people. The philosophy of the Upanisads like the Brahman, the Atma and other conceptions remained highly scholastic and out of the reach of the common man. The Aryan Rishis were aranyakas who instead of living among the common men and explaining to them the principles of Hinduism, lived 'away from the madding crowd.'

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Many of the preachers of the new religious ideologies expressed open disapproval of the ritual oriented religion, belief in the pantheon of numerous divinities, emphasis on several religious texts and domination of the priestly class and rigid caste divisions. It is not an accident that nearly all the leaders of the unorthodox sects including Mahavira and Gautam Buddha were non-Brahmins.

The religious simplicity and social equality of the Rig Vedic period was lost during the later Vedic period. Religion had lost its inherent dynamic strength. Unnecessary rituals and dogmas dominated the system. Superstitions suppressed spirituality. Brahmins more often used religious beliefs for their personal gains and monopolized the study and practice of religion. Numerous religious ceremonies and meaningless costly practices including animal sacrifice dominated the scene. The caste system was deliberately made rigid to keep non-Brahmins away from religion. The common man no longer understood Vedic hymns. The study of Sanskrit was the monopoly of the Brahmins.

The vitriolic attack on animal sacrifice by Jainism and Buddhism assumed a new significance and became instantly popular. Buddha remarked that the Aswamedha and Vajapeya etc., which involved animal sacrifice, did not produce good results.

The protest movement mainly sprang up from the intellectual and spiritual tension. Discontent with the existing state of things and brooding over the sorrows and ills of life gave rise to the desire to remove them by finding new modes of salvation - 'Old order changeth yielding place to new.' There may be differences between Hinduism and the new religions but the fact remains that early Buddhism arose within Brahmanism minus its externals and the relative want of attention to the importance of conduct. There was no absolute or violent breach between the two faiths.

The changes in India during 6th century B.C. were not restricted only to the sphere of religion and philosophy; changes were also marked in the realm of politics and economy as well. Indian history itself emerged out of legends and dubious traditions.

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Self-Instructional Material **39**

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Kings and kingdoms with known histories developed. The period witnessed new economic forces invigorated through the rapidly expanding commerce and increase in the number of artisans and their influence on society and the economy.

The use of iron during 6th century B.C. around eastern Uttar Pradesh and Bihar ushered in a momentous change in the material life of the people. Many iron implements such as spearheads, daggers, lances, axes, nails and blades have been found from this region. The advance in metallurgy led to large-scale clearance of jungles and development of human settlements. This found opposition and resistance from the existing social setup.

The use of iron implements, progress in agriculture and the phenomenal growth in trade and commerce resulted in the urbanization and growth of urban centres. Number of cities like Pataliputra, Kosambi and Vaisali developed, which prepared the ground for bold and un-orthodox thinking. The urban centres were associated with certain features distasteful to the Brahmins like common eating-place and prostitution. The growth of trade and commerce gave rise to a new wealthy class in villages and towns, which caused economic inequalities and broke down the social order. Growing disparity between the high and the low led to the increase in the number of untouchables in the society. A conflict between social status and wealth arose.

The later Vedic society was clearly divided into four Varnas : Brahmana, Kshatriya, Vaishya and Shudra. Each Varna was assigned well-defined functions. The varna-ridden society was bound to generate tension. It was not merely a question of caste conflict but a conflict between the privileged and the unprivileged or the deprived sections. The Brahmins who were given the functions of priests and teachers claimed the highest status in the society. They demanded several privileges including those of gifts and exemption from taxes and punishment. They were placed in the category of dwija or twice born. They were entitled to wear the sacred thread and study the Vedas.

The Kshatriyas ranked second in society. They fought and governed yet were subjected to Brahmin supremacy in every respect. The use of iron implements and the growth of urban centres added to their importance. The Kshatriyas as the warrior class became the protectors of society. Some intelligent members of the ruling class, normally the Kshatriyas, began to question the arrogant class pride and class exclusiveness of the Brahmins. Hence, it is not a mere coincidence that Mahavira and Gautam Buddha were Kshatriyas. The Buddhist text Digha Nikaya praises the Kshatriyas as they were instrumental in bringing order and tranquility out of anarchy and chaos.

Brahmanical attitude towards trade was not encouraging. The trading community, the Vaishyas were given the third position after Brahmanas and Kshatriyas in the society. The wealth of the society was concentrated in their hands but they did not have social recognition or status. Hence, it is significant that the first lay converts of Buddhism came from the trading community. The Vaishyas looked for a religion that would improve their position. They extended generous support to both Mahavira and Gautam.

Trade in men, liquids, perfumes, cloth, leather and food-grains was prohibited. The people of Magadha and Anga (Bihar region) were displeased because they carried on trade in some restricted items. Hence, as a mark of protest they were enthusiastic in embracing Buddhism.

The newly developed features of the social and economic life of the people did not fit into the Vedic culture. The conflict between the Vedic religious practices and the aspiration of the rising social groups led to the search for new religious philosophical ideas with basic changes in the material life of the people. Thus, in the 6th century B.C. there arose as many as 62 religious sects who raised a voice of protest against the Vedic

religion. The puritan and the unblemished conduct of the new preachers exercised profound influence upon people.

The new sects preached livelihood based mostly on alms. They believed in strict vegetarian diets and abstained from animal sacrifice. Celibacy and abstinence from holding property made them more acceptable than greedy priests who cared for nothing but self. The non-possession ideology of both Jainism and Buddhism became instantly popular. Both Buddhism and Jainism preferred simple puritanical ascetic living. The followers of these religions were asked to forgo good things of life, not to touch gold and silver and to accept only as much from their patrons as was sufficient to keep their body and soul together. They revolted against material life. Hence, these new religions became popular.

The Varnasrama system of Hinduism partially contributed to the rise of the protestant religious movements during 6th century B.C. The last two stages or asramas were vanaprastha (moving into the forest) and sanyasa (ascetism). The wandering ascetics, freed from the obligations of society and prevailing religious ideas and practices thought a new the fundamental problems of life. Their number increased during this period and their movements brought them into frequent associations with one another. The result was a vigorous re-orientation of life. There was an upheaval of new ideas leading to new philosophical tenets and religious sects. And that is how during the 6th century B.C. many protestant ideologies developed. Some of them had a brief period of existence and gradually faded. A few, however, had come to stay permanently.

1.8.1 Jainism and Buddhism in 6th Century B.C

Buddhism and Jainism are two branches of the Shramana tradition that still exist today. Jainism has historically been largely confined to India, whereas Buddhism originated in India but subsequently flourished in other Asian countries during the Middle Ages. Mahavira and Siddhartha Gautama (a.k.a. Buddha, or Enlightened One) were contemporaries and according to the Pali scriptures Siddhartha Gautama was aware of Mahavira's existence as well as his community of monks. Jainism and Buddhism share many features including much of the same terminology.

History

Buddhism separates itself from the Jain tradition by teaching an alternative to "extreme asceticism". Buddhist scriptures record that during Prince Siddhartha's ascetic life (before the great enlightenment) he undertook many fasts, penances and austerities, the descriptions of which are elsewhere found only in the Jain tradition (for example, the penance by five fires, plucking of hair, and the consumption of food using only one's cupped hands). Ultimately, the Buddha abandoned reliance upon these methods on his discovery of a middle way. In Jainism, there exists a non-extreme pathway for Sravaka laypersons with minor vows. Some Buddhist teachings, principles, and terms used in Buddhism are identical to those of Jainism, but they may hold different or variant meanings for each.

Although both Buddhists and Jain had orders of nuns, Buddhist Pali texts record the Buddha saying that a woman has the ability to obtain Nirvana in the Buddha Dhamma and Vinaya. Jain traditions differ on the issue of enlightenment for women, with the Digambaras stating that women are capable of spiritual progress but must be reborn male in order to attain final spiritual liberation and the Svetambara sect maintaining that liberation is attainable by both males and females.

The Jain community is composed of four sections: sadhus, sadhvis (also referred to as shramanas and shramanis), and laymen and laywomen (or grhastins "householders") who have not abandoned worldly affairs. Buddhism has a similar organization: the

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community consists of renunciate bhikkhus and bhikkhunis and male and female laypersons who take limited vows.

Whether or not it was an influence of Jain culture and philosophy in ancient Bihar that gave rise to Buddhism is unclear, but there are some striking similarities between the two traditions, and Buddhism may have adopted many of its ideas and traditions from preexisting ones held by the Jains. The Buddha Nirvana calendar (with a zero point in 544 BCE) may actually be significantly older than the Kaliyuga calendar. And so, quite possibly, is the Mahavira Nirvana calendar of the Jains (with a zero point in 527 BCE).

The ancient texts Ashokavadana and the Divyavadana mention that the Buddhist king Ashoka ordered killings of several Nirgranthas, after being informed that two Nirgrantha followers had drawn pictures depicting the Gautama Buddha bowing at the feet of Nirgrantha Jnatiputra (identified with Mahavira, the founder of Jainism).

Leadership of the Sangha

Mahavira and Gautama Buddha were contemporaries. The Pali Canon does not record that the two teachers ever met, though instances of Mahavira's disciples questioning Gautama Buddha are to be found in various suttas. The Buddhists have always maintained that by the time the Buddha and Mahavira were alive, Jainism was already an entrenched faith and culture in the region. Buddhist scriptures record philosophical dialogues between the wandering seeker Siddhartha Gautama (who was to become the Buddha) and Udaka Ramaputta and the first of several teachers that he studied with before his enlightenment. Buddhist scriptures attest that some of the first Buddhists were Jains (Nirgranthas) who "converted", but were encouraged by the Buddha to maintain their Jain identity and practices such as giving alms to Jain monks and nuns.

Buddhists recorded that Mah?v?ra preached the "fourfold restraint" of the Nirgrantha tradition—a clear reference to the teachings of Mah?v?ra's predecessor Parshva (877-777 BCE), traditionally the 23rd Tirthankara of Jainism—who propounded the four vows of Ahimsa, Satya (truth), Aparigraha (non-possessiveness), and Asteya (non-stealing), which may have been the template for the Five Precepts of Buddhism. Additionally, the Buddhist Anguttara Nikaya scripture quotes the independent philosopher Purana Kashyapa (the sixth century BCE founder of a now-extinct order) as listing the Nirgranthas as one of the six major classifications of humanity. The Pali texts mention the Buddha referring to the liberation of Mahavira (referred to as Niggantha Nataputta) at Pava.

Jain vegetarianism is required for both monastics and laity. In Buddhism, monks in China, Japan, Korea and Vietnam are vegetarian; however, strict vegetarianism is not required. By monastic tradition, a monk should eat whatever is placed in his bowl when receiving food. The exceptions not to eat given meat were if the monk knew an animal was killed especially for him or he heard the animal being killed.

Buddhist writings reflect that Jains had followers by the time the Buddha lived. Suggesting close correlations between the teachings of the Jains and the Buddha, the Majjhima Nikaya relates dialogues between the Buddha and several members of the "Nirgrantha (Jain) community", sometimes resulting in the latter's acceptance of the Buddha as a teacher.

In many instances, both philosophies continue to share similar Prakrit terminology for important themes even though meaning may differ a bit, for example the term nirvana where its meaning is same in both the traditions but the state of nirvana described is somewhat different. The teachings may differ significantly in the interpretation. This method of teaching adopted by the Buddha points to the pragmatic aspect of his style of

teaching wherein the Buddha uses words and terms that are familiar to the audience instead of introducing new and complex technical jargon. In this way, Buddhism sought to appeal to a broad audience.

The last Tirthankara, Mahavira (599 - 527 BC), whose philosophy, sometimes described as dynamism or vitalism, was a blend of the earlier Jain teacher Parsva's (877-777 BC) order and the reforms instituted by Mahavira himself. Debates between Buddhists and Jains are recorded in Jain texts, and dialogues between Jains and the Buddha are included in Buddhist texts.

Indian Buddhist tradition categorized all non-Buddhist schools of thought as "Pasanda" (pasanda means to throw a noose or pasha—stemming from the doctrine that schools labelled as Pasanda foster views perceived as wrong because they are seen as having a tendency towards binding and ensnaring rather than freeing the mind). The difference between the schools of thought are outlined in the Samaññaphala Sutta of the Digha Nikaya.

1.8.2 Causes for the Growth of Jainism and Buddhism

The conditions of the then society favored the rise and growth of Jainism and Buddhism. A few of these causes were:

1. The Vedic philosophy had lost its original purity and in the sixth century B.C. it was reduced to a bundle of cumbrous rituals. The rites and ceremonies were painfully elaborate and awfully expensive. The common man developed a great dislike for these rituals.
2. The sacrifices prescribed by the Vedas had assumed a cumbrous shape. They were very complicated and a source of wastage of time, energy and money
3. The caste system had become rigid and brutal. There were strict restrictions on food, drinks and marriage. Interchange of caste was impossible. A person of the low caste had a miserable life. Buddhism and Jainism offered them an honored place.
4. The Vedic religion had become very complex and degenerated into superstitions, dogmas and rituals. The Vedic mantras were unintelligible and beyond the intellect of the average person. A congeries of conflicting theories created a chaos and the common man was in a dilemma not knowing which way to turn.
5. The supremacy of the Brahmins created unrest. They had lost the old ideals and were no longer leading pure and holy life full of knowledge. Instead, they created intellectual confusion and dominated every aspect of the life of the Aryans.
6. All the religious treatises were written in Sanskrit which was the language of the elite and not the masses. Mahavira and the Buddha, on the contrary, explained to the people in simple intelligible spoken Pali or Prakrit, the language of the common man at that time.

These evils and ills led to grow discontent among the masses who aspired for a change. Several leading teachers raised their voice against these shortcomings. The Pali texts refer to sixty-two and Jain texts to 200 such movements, big and small, of which only two (Jainism and Buddhism) survived.

1.8.3 Impact on Society

Buddhism gave the greatest jolt to the orthodox Brahminism. Buddhism exercised profound influence in shaping the various aspects of Indian society. It developed a popular religion without any complicated, elaborate and unintelligible rituals requiring necessarily a priestly class. This was one of the reasons for its mass appeal. The ethical code of Buddhism was also simpler based on charity, purity, self sacrifice, and truthfulness and control over

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passions. It laid great emphasis on love, equality and non violence. It became an article of faith for the followers of the Buddhism. It laid emphasis on the fact that man himself is the architect of his own destiny. It was devoid of any elaborate idea of God. Although Buddhism could never dislodge Brahmanism from its high position, it certainly jolted it and inspired institutional changes in Indian society. Rejecting the caste system and its evils including rituals based on animal sacrifices, conservation, fasting and pilgrimage, it preached total equality. Promotion of social equality and social justice helped Buddhism to cross the frontiers of Indian sub-continent and became a world religion. In the field of education Buddhism tried to make education practical, action oriented and geared towards social welfare. Most of the ancient Indian universities like Nalanda, Taxila were products of Buddhism.

1.8.4 Impact on Culture

Influence of Jainism on Indian culture has been on all aspects. Language and Literature, architecture, temples, sculpture, painting, philosophy have all been influenced by Jainism.

1. Influence of Jainism on Language and Literature

The sramana culture is represented by the Jains and Buddhists. Jains had propagated this culture in the beginning. Sramana literature disregards the caste system. The subjects of poetry are popular tales: Fairy stories, fables and parables. The author of sramana literature have contributed to the religious, ethical, poetical and scientific literature of ancient India. The Jains composed various kinds of narrative literature like purans, charitras kathas, prabandhas and soon. They have also contributed to the Indian Scientific and technical literature on various subjects like logic, philosophy, poetics, grammar, geography etc.

The Jains took care that their writings were accessible to the common people. They have been written in prakrit Language.

2. Influence of Jainism on Architecture

Jain had no special architecture. They adopted the local building traditions. In North India they followed the vaishnava cult and in south India they followed the dravidian format. One cannot distinguish the jain style of architecture. They have constructed sacred buildings like temples, temple cities, cave temples, stupas, pillars and towers. They have constructed several temples throughout India.

The jain temple at Rankapur in Mewar is a well known jain temple in india. There are many other temples like the temple of Parsvanatha at khajuraho, the temple known as jinanthapura Basadi, Seth Hathisinghi's temple at Ahmedabad and many more.

There are several cave temples built by the Jains. The well known are udayagiri and khandagiri hills in Orissa. They have also erected stupas and well known ones are in the kankali mount near Mathura in Uttar Pradesh.

1.8.5 Influence of Jainism on Sculpture

The most common form of sculpture is making statutes of Jain Tirthankaras. There are images of all sizes. The most remarkable of the Jain status are the ones at Shravanbelgola in Hassan District, at Karnataka in South Karnataka District and at Yenura or vernura in South Kanara District.

Influence of Jainism on Philosophy: The Jains have developed a separate philosophy. Their doctorines are Nayavada, Karma and Sayavada. The significamce of this jaina theory of 'Being' comes out clearly when it is regarded in relation to the doctrine of

Syadvada and of Nayavada. According to Syadvada any metaphysical proposition is right from one point of view and its contrary is also right from another view point. Naya doctrine complements the logic of Syadvada.

Influence of Geography on History

1.9 SUMMARY

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The period after the Epic Age or the Later Vedic Age (1000 BC-600 BC) was marked by the rise of numerous small republics and kingdoms. This period also saw the rise of tyranny of the upper castes and exploitation of the people belonging to the lower castes. Brahmins (priests) and Kshatriyas (rulers and warriors) did not allow the people belonging to lower castes or the Shudras and untouchables to have their say in the society. This period also saw a rift developing between the Brahmins on one hand and the Kshatriyas on the other.

The rising popularity and aspirations of the Brahmin priests began to collide with the authority of the Kshatriyas, who formed the ruling class of each kingdom or republic. The Kshatriyas were alarmed by the rising power of the Brahmins, but they could not do much as they required the services of the Brahmins in all religious rituals and state occasions. The rise of Buddhism and Jainism during this period was a natural outcome to counter the threat of the Brahmanical Hindu order, as the founders of these religions were themselves Kshatriyas or warriors. Buddhism is one of the oldest religions in the world. Gautam Buddha (563 BC-483 BC) laid its foundation after he gained Enlightenment under a Bodhi tree at Bodhgaya. The preaching of Lord Buddha revolves around attaining salvation from worldly sufferings, universal brotherhood, peace and non-violence. Like Buddhism, Jainism also originated at a time when the Later Vedic period (1000 BC-600 BC) had come to an end and there was a rise of republics and small kingdoms. The rise of the first kingdoms was marked by the emergence of the ruling class in each kingdom, which belonged to the Kshatriya or the warrior caste. While the Kshatriyas ruled these kingdoms and protected the rest of the masses, the Brahmin or the priestly caste catered to the religious and educational needs of the people, as well as sanctified the rule of the Kshatriyas.

The Kshatriyas and Brahmins in tandem asserted their authority over the people in general and the masses belonging to the lower caste in particular. The lowermost strata of the society could not question the authority of the Brahmins and the Kshatriyas. Apart from the struggle with the people belonging to the lower caste, there was a rift between the Brahmins and the Kshatriyas to take control of the reigns of the society. The Kshatriyas were alarmed by the rising power of the priests, who in turn wanted to usurp the power of the Kshatriyas. The rise of Buddhism and Jainism during this period was a natural outcome to counter the threat of the Brahmanical Hindu order, as the founders of these religions were themselves Kshatriyas or warriors.

1.10 KEYWORDS

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Paleolithic: The term Palaeolithic is derived from two Greek words meaning Old Stone. This name is applied to the earliest people, as the only evidence of their existence is furnished by a number of rude stone implements. These chipped stones have been found in large numbers in different parts of India. They are usually, though not exclusively, made of a species of hard rock called 'quartzite'. From this fact the Palaeolithic men in India are also known as "Quartzite men".

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Mesolithic: It was the transitional between Palaeolithic and Neolithic ages. This age is also known by various names like Late Stone Age or Microlithic Age. The Mesolithic people lived on hunting, fishing and food-gathering.

Neolithic Culture: The Neolithic is generally defined as a way of life involving crop cultivation, animal husbandry and settled life. The coming of this stage does not mean that other earlier ways of life disappeared. The civilization and culture of the Neolithic age shows distinct traces of progress. They produced ragi, wheat, barley, rice, masoor, moong, kulthi etc.

Stone age: Fire, stone tools and weapons, and clothing were technological developments of major importance during this period. Stone Age cultures developed music, and engaged in organized warfare.

Copper and Bronze Ages: A late Bronze Age sword or dagger blade. The Stone Age developed into the Bronze Age after the Neolithic Revolution. The Neolithic Revolution involved radical changes in agricultural technology which included development of agriculture, animal domestication, and the adoption of permanent settlements.

Iron Age: An axe head made of iron, dating from Swedish Iron Age. The Iron Age involved the adoption of iron smelting technology.

Vedic Culture: The Vedic period (or Vedic age) was a period in history during which the Vedas, the oldest scriptures of Hinduism, were composed. The time span of the period is uncertain. Philological and linguistic evidence indicates that the Rigveda, the oldest of the Vedas, was composed roughly between 1700 and 1100 BCE, also referred to as the early Vedic period.

Early Vedic Period: INDIA, as is well known, derives its name from the Sindhu (Indus), and the earliest civilisation of this country of which we have any definite trace had its cradle in the valley of the same river. Far different is the picture of another civilisation which had its principal home higher up the Indus valley. The people who evolved this culture called themselves Aryas or Aryans.

1.11 REVIEW QUESTIONS

1. Explain geographical features of India
2. Describe Paleolithic
3. Discuss Mesolithic
4. Define Neolithic Cultures
5. What were the technology developments
6. Describe Indus valley Civilization and its features.
7. What is vedic culture
8. Explain varnas and caste system.
9. Explain Jainism and Buddhism.
10. What impact of jainsim and Buddhism had on society and culture?

UNIT 2

A BRIEF SURVEY OF POLITICAL CONDITIONS IN ANCIENT INDIA

2.0 AIMS AND OBJECTIVES

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At the conclusion of this unit you should be able to understand

- Explaining the conditions in ancient India.
- Describing the administration of Alexander and his Invasion.
- Describing history of Magadha.
- Explanation of Ashoka's Dharma and its propagation.
- Describing the administration of Mauryan.

2.1 INTRODUCTION

The Indus valley civilization saw its genesis in the holy land now known as India around 2500 BC. The people inhabiting the Indus River valley were thought to be Dravidians, whose descendants later migrated to the south of India. The deterioration of this civilization that developed a culture based on commerce and sustained by agricultural trade can be attributed to ecological changes. The second millennium BC was witness to the migration of the bucolic Aryan tribes from the North West frontier into the sub continent. These tribes gradually merged with their antecedent cultures to give birth to a new milieu.

The Aryan tribes soon started penetrating the east, flourishing along the Ganga and Yamuna Rivers. By 500 BC, the whole of northern India was a civilized land where people had knowledge of iron implements and worked as labor, voluntarily or otherwise. The early political map of India comprised of copious independent states with fluid boundaries, with increasing population and abundance of wealth fueling disputes over these boundaries.

Unified under the famous Gupta Dynasty, the north of India touched the skies as far as administration and the Hindu religion were concerned. Little wonder then, that it is considered to be India's golden age. By 600 BC, approximately sixteen dynasties ruled the north Indian plains spanning the modern day Afghanistan to Bangladesh. Some of the most powerful of them were the dynasties ruling the kingdoms of Magadha, Kosla, Kuru and Gandhara.

Known to be the land of epics and legends, two of the world's greatest epics find their birth in Indian settings - the Ramayana, depicting the exploits of lord Ram, and the Mahabharata detailing the war between Kauravas and Pandavas, both descendants of King Bharat. Ramayana traces lord Ram's journey from exile to the rescue of his wife Sita from the demonic clutches of Ravana with the help of his simian companions. Singing the virtues of Dharma(duty), the Gita, one of the most prized scriptures in Indian Mythology, is the advice given by Shri Krishna to the grief laden Arjun, who is terrified at the thought of killing his kin, on the battle ground.

NOTES**2.2 POLITICAL CONDITIONS IN ANCIENT INDIA**

Political system is a social institution which deals with the governance of a state and its relationship with the people. Political system of a country denotes the structure of institutions that constitute the State and its Government. India is no different and it had also developed government and political institutions to give shape and form to the fundamental principles. The multiple faces and diversity of the country is the most noticeable feature of the subcontinent. The identity and unity of its government belong to the ancient Vedic age. Ancient Indian Political System goes back to about five thousand years or more. India is a land that has been shaping civilizations through settlement patterns. Thus, history of India becomes enriched with the description of the Indus Valley civilization. This civilization had municipal cities and a centralized administration prevailed for each city in Harrappa and Mohenjo-daro. The people formed urban societies with agriculture as an occupation. However, the invasion by the Aryans had changed the whole scenario. Indian civilisation was again predominated by the nomadic culture.

A different concept of society in India developed with the Aryans, in the early Vedic period. The Early Vedic saw the upsurge of kingdom which was tribal in character. Each tribe formed a separate kingdom. The basic unit of the political organisation was family and a number of families formed a Village. A reflection of the Ancient Indian Political System can be traced in the social life of the Aryans. These villages were headed by Gramani. Moreover this pattern gave rise to large units or clans formed by a group of village. The circle continued with several clans forming the tribe and their leader was Rajan or the Vedic king. He protected his people from enemies and was accompanied with a senani or commandant, the Sabha and the Samithi in administration. The Aryans can be identified as the pioneers in introducing the concept of society in Indian culture. This civilisation was subjected to various forms of kingdoms with a flow of political boundaries. In the later Vedic age, the Gangetic Valley or Aryavarta became the centre of political activity. Various Kingdoms like Kosala, Videha, Kuru, Magadha, Kasi, Avanti and Panchala came into existence. The king was the highest authority and his position was considerably supreme. Kingship became hereditary and he was responsible for defence and maintaining law and order of their kingdoms. Moreover, they had vast empires and tried to extend their territories. In Manu Samhita the history of kingship is described. In Hinduism, Manu is considered to be the first king of the earth. Accordingly, the rulers of medieval India traced their genealogy back to him.

In Ancient Indian Political System, the king as well as his subjects was bound by 'Dharmas' or rule of law which were code of duties. Though a king, yet he had limited powers. The king was required to take oath and loyalty of the people. The king was not assigned with arbitrary powers and he was functional according to the approval of the people. However, on the contrary ancient Indian polity was monarchical, yet there were a few instances of elective kingship also. The power of the Indian monarchy prior to Mughal invasion was conceded as King being the representative of the divine power. The king was then only a constitutional monarch and the guardian, executor and the servant of Dharma. Besides, monarchies several republics also evolved. After the Battle of Kurukshetra, large empire began to fade away and several republican states emerged. A number of sixteen republics such as Kashi, Koshal, Magadha, Kuru, Anga, Avanti, Gandhar and Vaishali came into being. In the 1st century with the spread of Christianity, absolute monarchy prevailed as the form of political system. The word of the Kings was law. Many large empires were seen extending almost all over the sub continent. Several empires such as the Muryas, Guptas and the Mughals flourished. The rulers were hereditary kings or sub kings who ruled with the assistance of faithful ministers appointed by them.

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During the medieval period, King-in-Ministry became the usual form of government. In addition to that there were no republican states. Furthermore the concept of central government evolved during the period of the Sultanate. The king became an autocrat and he was entitled to the throne on the base might. In the Mughal kingdom, Ancient Indian Political System revolved round the autocracy of the king and he was assisted by councilors or ministers to share the multifarious activities of the state. The council of ministers was given great power and they continued to advice the kings on their day to day handling of administration . One instance of the absolute monarchy ruling the state on the advice of the council of ministers was Emperor Harsha, who was a generous ruler.

Village administration was also a significant part of the Ancient Indian Political System. During the Vedic age, the Aryans had built up small villages and the administration of the area was looked after by the village councils. A system of giving taxes also prevailed in the ancient society. Taxes such as Pali, Sulk and Bhaga were collected from the people. The revenue was spent for the benefit of the subjects. Mentions of villageadministration are found during the fourth century B.C when republican federation existed in the society of India. The city of Vaishali had Panchayat for administering justice and courts. The republican character of the polity of Vaishali lasted for thousand of years.

Panchayat system is one of the essential democratic institutions which developed in India. This system is an institution of the Local Self Government found at the village level. Panchayat system originated in ancient India and references are found in the age of Mahabharat. It constitutes of a village council consisting of village elders. These local self governments perform administrative and judicial function. The Panchayat system used to serve since ancient times and at present it has become an integral part of IndianAdministration. At present Panchayat system is a three tier institution and continues to administer the villages.

2.3 MAGADHA EMPIRE

Magadha Empire lasted from 684 B.C - 320 B.C in India. The two great epics Ramayana and Mahabharata mention the Magadha Empire. It is said that the Shishunaga dynasty founded the Magadha Empire. Some of the greatest empires and religions of India originated here. The Gupta Empire and Mauryan Empire started here. The great religions, Buddhism and Jainism were founded in Magadha Empire. Read on to know about the history of Magadh Empire.

Magadha Empire gained much power and importance during the rule of King Bimbisara and his son and successor Ajatshatru. Bimbisara is said to have been murdered by his son Ajatshatru. The Magadha Empire in India extended in the modern day Bihar and Patna and some parts of Bengal. Magadha Empire was a part of the 16 Mahajanapadas. The empire extended up to River Ganges and the kingdoms of Kosala and Kashi were annexed. The places that came under the Magadha Empire were mostly republican in nature and the administration was divided into judicial, executive and military functions.

The Magadha Empire fought gruesome battles with most of its neighbors. They had advanced forms of weaponry andthe opposed forces did not stand a chance against them. Ajatshatru even built a huge fort at his capital Pataliputra. This was the place that Buddha prophesized would become a popular place of trade and commerce. With an unmatched military force, the Magadha Empire naturally had an upper hand over conquering neighborhood places and spreading the territory. This is what made it a major part of the 16 Mahajanapadas.

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However, after the death of King Udayan, the Magadha Empire started to decline very rapidly. Internal disturbances and corruption within the kingdom led to its decline. The Magadha Empire was finally taken over by the powerful Nanda dynasty who then ruled here for a good amount of time before being taken over by the Mauryas.

2.3.1 Rise of Magadha

Between the sixth and the fourth centuries BCE, Magadha (in present day Bihar) became the most powerful Mahajanapada. The Haryankas: Magadha came into prominence under the leadership of Bimbisara (542-493 BC), who belonged to the Haryanka dynasty. He strengthened his position by marriage alliances. He took three wives. His first wife was the daughter of the king of Kosala and the sister of Prasenajit. His second wife Chellana was a Lichchhavi Princess from Vaishali, and his third wife was the daughter of the chief of the Madra clan of Punjab. Marriage relations with the different princely families gave enormous diplomatic prestige and paved the way for the expansion of Magadha westward and northward.

The earliest capital of Magadha was at Rajgir, which was called Girivraja at that time. It was surrounded by five hills, the openings in which were closed by stone walls on all sides. This made Rajgir impregnable.

Bimbisara was succeeded by his son Ajatasatru (492-460 BC). Ajatasatru killed his father and seized the throne for himself. Throughout his reign, he pursued an aggressive policy of expansion.

Ajatasatru was succeeded by Udayin (460-444 BC). His reign is important because he built the fort upon the confluence of the Ganga and Son at Patna. This was done because Patna lay in the centre of the Magadhan kingdom.

The Sisunagas: Udayin was succeeded by the dynasty of Sisunagas, who temporarily shifted the capital to Vaishali. Their greatest achievement was the destruction of the power of the Avanti with its capital at Ujjain. This brought to an end the 100 years old rivalry between Magadha and Avanti.

The Nandas: The Sisunagas were succeeded by the Nandas, who proved to be the most powerful rulers of Magadha. So great was their power that Alexander, who invaded Punjab at that time, did not dare to move towards the east. The Nandas added to the Magadhan power by the conquering Kalinga from where they brought an image of the Jina as a victory trophy. All this took place in the reign of Mahapadma Nanda. He claimed to be the ekarat, the sole sovereign who destroyed all the other ruling princes.

The Nandas were the first non-kshatriya rulers. The last Nanda ruler was defeated by Chandragupta Maurya who founded the Maurya Empire.

2.3.2 Magadha Dynasties

1. Haryanka Dynasty

According to tradition, the Haryanka dynasty founded the Magadha Empire in 600 BC, whose capital was Rajagriha, later Pataliputra, near the present day Patna. This dynasty lasted until 424 BC, when it was overthrown by the Shishunaga dynasty. This period saw the development of two of India's major religions that started from Magadha. Gautama Buddha in the 6th or 5th century BC was the founder of Buddhism, which later spread to East Asia and South-East Asia, while Mahavira revived and propagated the ancient religion of Jainism. Bimbisara was responsible for expanding the boundaries of his kingdom through matrimonial alliances and conquest. The land of Kosala fell to Magadha in this way. Bimbisara (543-493 BCE) was imprisoned and killed by his son Ajatashatru (ruled 491-461 BCE) who then became his successor, and under whose rule the dynasty reached its largest extent.

Licchavi was an ancient republic which existed in what is now Bihar state of India, since before the birth of Mahavira (born 599 BC), Vaishali was the capital of the Licchavis and the Vajjian Confederacy. Its courtesan, Ambapali, was famous for her beauty, and helped in large measure in making the city prosperous. Ajatashatru went to war with the Licchavi several times. Ajatashatru, is thought to have ruled from 491–461 BCE and moved his capital of the Magadha kingdom from Rajagriha to Patliputra. Udayabhadrā eventually succeeded his father, Ajatashatru, under him Patliputra became the largest city in the world.

The kingdom had a particularly bloody succession. Anuruddha eventually succeeded Udaybhadrā through assassination, and his son Munda succeeded him in the same fashion, as did his son Nagadasaka. Due in part to this bloody dynastic feuding, it is thought that a civil revolt led to the emergence of the Nanda dynasty.

2. Shishunaga Dynasty

According to tradition, the Shishunaga dynasty founded the Magadha Empire in 430 BC, whose capital was Rajagriha, later Pataliputra, near the present day Patna in India. This dynasty was succeeded by the Nanda dynasty. Shishunaga (also called King Sisunaka) was the founder of a dynasty of 10 kings, collectively called the Shishunaga dynasty. He established the Magadha empire (in 430 BC). This empire, with its original capital in Rajagriha, later shifted to Pataliputra (both currently in the Indian state of Bihar). The Shishunaga dynasty in its time was one of the largest empires of the Indian subcontinent.

3. Nanda Dynasty

The Nanda dynasty was established by an illegitimate son of the king Mahanandin of the previous Shishunaga dynasty. Mahapadma Nanda died at the age of 88, ruling the bulk of this 100-year dynasty. The Nandas are sometimes described as the first empire builders of India. They inherited the large kingdom of Magadha and wished to extend it to yet more distant frontiers. The greatest extent of the empire was led by Dhana Nanda. The Nandas were followed by the Maurya dynasty.

4. Maurya Dynasty

The Maurya Empire at its greatest extent(Asoka's empire)

In 321 BC, exiled general Chandragupta Maurya founded the Maurya dynasty after overthrowing the reigning Nanda king Dhana Nanda to establish the Maurya Empire. During this time, most of the subcontinent was united under a single government for the first time. Capitalising on the destabilization of northern India by the Persian and Greek incursions, the Mauryan empire under Chandragupta would not only conquer most of the Indian subcontinent, but also push its boundaries into Persia and Central Asia, conquering the Gandhara region. Chandragupta was succeeded by his son Bindusara, who expanded the kingdom over most of present day India, barring the extreme south and east.

The kingdom was inherited by his son Ashoka The Great who initially sought to expand his kingdom. In the aftermath of the carnage caused in the invasion of Kalinga, he renounced bloodshed and pursued a policy of non-violence or ahimsa after converting to Buddhism. The Edicts of Ashoka are the oldest preserved historical documents of India, and from Ashoka's time, approximate dating of dynasties becomes possible. The Mauryan dynasty under Ashoka was responsible for the proliferation of Buddhist ideals across the whole of East Asia and South-East Asia, fundamentally altering the history and development of Asia as a whole. Ashoka the Great has been described as one of the greatest rulers the world has seen.

5. Sunga Dynasty

The Sunga dynasty was established in 185 BC, about fifty years after Ashoka's death,

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when the king Brihadratha, the last of the Mauryan rulers, was assassinated by the then commander-in-chief of the Mauryan armed forces, Pusyamitra Sunga, while he was taking the Guard of Honour of his forces. Pusyamitra Sunga then ascended the throne.

6. Kanva Dynasty

The Kanva dynasty replaced the Sunga dynasty, and ruled in the eastern part of India from 71 BC to 26 BC. The last ruler of the Sunga dynasty was overthrown by Vasudeva of the Kanva dynasty in 75 BC. The Kanva ruler allowed the kings of the Sunga dynasty to continue to rule in obscurity in a corner of their former dominions. Magadha was ruled by four Kanva rulers. In 30 BC, the southern power swept away both the Kanvas and Sungas and the province of Eastern Malwa was absorbed within the dominions of the conqueror. Following the collapse of the Kanva dynasty, the Satavahana dynasty of the Andhra kingdom replaced the Magandhan kingdom as the most powerful Indian state.

7. Gupta Dynasty- Gupta Empire (240 to 550 AD)

The Gupta dynasty ruled from around 240 to 550 AD. The Gupta Empire was one of the largest political and military empires in ancient India. This period has been called the Golden Age of India and was marked by extensive achievements in science, technology, engineering, art, dialectic, literature, logic, mathematics, astronomy, religion, and philosophy that crystallized the elements of what is generally known as Hindu culture. The decimal numeral system, including the concept of zero, was invented in India during this period. The peace and prosperity created under leadership of Guptas enabled the pursuit of scientific and artistic endeavors in India.

The high points of this cultural creativity are magnificent architecture, sculpture, and painting. The Gupta period produced scholars such as Kalidasa, Aryabhata, Varahamihira, Vishnu Sharma, and Vatsyayana who made great advancements in many academic fields. Science and political administration reached new heights during the Gupta era. Strong trade ties also made the region an important cultural center and established it as a base that would influence nearby kingdoms and regions in Burma, Sri Lanka, the Malay Archipelago, and Indochina.

The Gupta period marked a watershed of Indian culture: the Guptas performed Vedic sacrifices to legitimize their rule, but they also patronized Buddhism, which continued to provide an alternative to Brahmanical orthodoxy. The military exploits of the first three rulers—Chandragupta I (c. 319–335), Samudragupta (c. 335–376), and Chandragupta II (c. 376–415)—brought much of India under their leadership. They successfully resisted the northwestern kingdoms until the arrival of the Hunas, who established themselves in Afghanistan by the first half of the 5th century, with their capital at Bamiyan. However, much of the Deccan and southern India were largely unaffected by these events in the north.

2.4 ALEXANDER'S INVASION

Political and Social Condition of North West India on the Eve of Alexander's Invasion

After the Persian the Greeks invaded India. Among the Greeks, Alexander the great, the son of king Philip of Macedonia invaded India in 326 B.C. For various reasons, Alexander's invasion is specially significant in Indian history. It is equally essential to know the political and social conditions of India on the event of such an important event to assess the prevailing circumstances.

2.4.1. Political Conditions

At that juncture there was no political unity, nor a single consolidated rule was existing in

the north western provinces of India. The whole area was divided into several insignificant states ruled by petty chiefs. They had no common object or common ideal to put up a formidable resistance and repulse the invaders. Rather they remained engaged in internecine quarrel and domestic feuds. In short, the disunity and dismal political picture lured the invaders to attack India and grab its dazzling wealth and fertile plain land.

It is learnt, that though there was monarchy in many states, but republican form of government was also not unknown. However none had powerful army and organization to put up a stubborn check to a foreign invader. Unfortunately, we do not possess a comprehensive account of the time from any reliable source. Nevertheless, the Greek historian Herodotus leaves an account of Alexander's invasion on India. In fact, there was twenty eight independent principalities in different points of the country.

2.4.2 Political Conditions Beyond the Indus

To the west of the Indus river four independent tribe established their power and authority. Among them, the Assakenos was the most powerful. They maintained a powerful army comprising 30,000 foot soldiers and 20,000 horsemen. Their capital was Massaga, situated near Malakand pass.

2.4.3 The Taxila

The Taxila was a powerful kingdom. It was a seat of culture and learning. Pupils from outside the country used to come here for education and learning. It was a prosperous territory lying between the Indus and the Jhelum river. King Ambhi was ruling Taxila. He had a strong army and plentiful resources at his disposal. However, he was an arch enemy of Porus and therefore, invited Alexander to invade Paurva territory ruled by king Porus.

2.4.4 The Kingdom of Porus

The kingdom of Porus was situated between the Jhelum and the Chinab, close to Taxila, Porus was a spirited and self-respected king. He maintained a large army of 50,000 infantry, 3000 cavalry, 1000 chariots and 130 elephants. When Alexander planned to invade, he decided to put up a formidable defence to foil the sinister design of the enemy.

2.4.5 Younger Porus and the Glansai Tribe

The territory lying between the Chinab and the Ravi commonly shared by the younger Porus. He was a relative of the elder Porus. A tribe known Glansai lived on the bank of the Ravi.

2.4.6 Territory between the Ravi and the Beas

In this belt, many independent tribes were living. Among them, the Kathoi tribe was very prominent. They established their capital at Sangla in modern Gurudaspur district. The state had a republican form of government and the people were known for their courage and martial ardour.

2.4.7 The Magadha Empire

The Magadhan empire in the west was stretching right up to the eastern bank of the Beas. The powerful Nanda dynasty was ruling Magadha in those days and its capital was Pataliputra. The Nandas possessed a powerful army of 200,000 infantry, 20,000 cavalry, plenty elephants and chariots.

2.4.8 Tribes of the southern Punjab

In the southern Punjab, several dauntless tribes were living. They were identified as Sivi, Kshudrakas and Malloi. They founded a republican form of government. When Alexander with his grand army had started retreating from India they harassed the retreating columns of the conqueror and put them in much discomfiture.

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2.4.9 Tribes in the Indus Valley

In this fertile valley a large number of small tribes had been ruling independently. Of them, Mausikanos and the Sordai tribes were most important. They attacked the returning army of Alexander and succeeded in putting them in much consternation.

2.4.10 Social Condition

The writings of the Greek authors in respect of social economic and religious conditions of the time are in fact revolting disclosures. They recorded that the Indians were fond of simple and abstemious life. Thefts were very rare in the society. Crime was not rampant. Yet the society was not free from taint and stigma. Indeed, polygamy, concubinage, slavery, rigid casteism etc had polluted the sanctity of the society and morality of the people. The Greek accounts have high-lighted about Sati sacrifice, disposal of men and women in slave market. Authenticated Greek sources reveal that poor people exposed their daughters in public places for sale. inequality. Discrimination and untouchability were widely prevalent which added to the sharp deterioration of morality and values of life. In fact, an aura of degeneration had already engulfed the society and hindered its progress and advancement. However, in spite of above drawbacks, substantial progress in the field of art, culture, literature, architecture, sculptures etc. was laudable. However, the effect people had no energy or indomitable will to fight the evils and save the society from moral decay and degradation.

2.4.11 Economic Condition

Agriculture was the main occupation of the Indians. However, in the field of trade, commerce and industry, the Indians also made a remarkable progress. Maritime trade flourished and added to economic prosperity. The Indian traders exported blankets, skins horses elephants, pearls and diamonds. Trade was under the control of the state. The outgoing merchants had to obtain permits before leaving the country. Coins were in circulation. But their complexion were not impressive. About coins, the Greek account tell us they were "oblong bits of metal cut out of a strip" but were punch-marked

2.4.12 Religions Condition

The people were very religious. The Rama and Krishna cult was widely followed and respected. Holy rivers, trees, etc. were worshipped. The trees which were considered to be sacred and given religious importance, were prohibited to be butchered. Jainism and Buddhism made a dent and flourished. But Brahmanism was equally popular. The Brahmins were respected and given special consideration on religious ceremonies and rituals. The nobility and royal classes paid due respect. to the Brahmins and placed them in high esteem. They occasionally gave them presents and paid attention to their welfare.. In short, the Brahmins were placed in high pedestal and were in the front line of the society. Unfortunately. Casteism and religious dogmas were distasteful barriers against practicing religion freely and independently. Casteism and untouchability were the curse of the society. The higher classes enjoyed many extra privileges and concessions. The priests and Brahmins virtually monopolised the religion. As a result, the religion failed to safeguard the interest of the poor, down-trodden and the back ward classes. Finally, religion failed to bring unity and solidarity and inspire the people to fight the invaders and protect liberty and independence of the country.

2.4.13 Alexander's Invasion of India& its Results

1. After the Persians the Greeks were the second invaders who invaded India in fourth century B.C.. Alexander was one of the greatest conquerors of the world. He ascended the throne of Macedonia after the death of his father king Philip in 334 B.C.. He was highly ambitious and wanted to conquer the whole world. Iii

furtherance of his plan and object of the world conquest, he planned to invade India. Because of his military achievements he is called Alexander the Great.

By 329 B.C. he conquered the whole of Persia stretching from Asia Minor to Afghanistan. He crossed the Hindukush in May 327 B.C. and spent the rest of the year in subduing the wild tribes. Alexander sent Hephaestion and Perdiccas in advance with bulk of his army to invade India. They crossed the Khyber Pass in December, 327 B.C. or January 326 B.C. and as per instruction built up a bridge over the Indus. Meanwhile Alexander was busy in consolidating his position in newly conquered territories.

On the eve of Alexander's invasion, several petty chiefs and independent tribes were ruling the north and north-west India. They had no love lost among themselves and had been wasting energy and resources internecine quarrels and domestic feuds. There was no strong government worth its name to resist the foreign aggressions. On the contrary, mutual jealousy indulged in by the petty chiefs queered the pitch and indirectly made the invaders task easy. Indeed, the outcome of mutual jealousy was disastrous. Animosity between the rulers of Taxila and Paurava provoked the former to send his son Ambhi to Bactria to assure support to Alexander against the other rulers of India.

2. Alexander crossed the Indus with the help of a bridge of boats built at Unni and Ohind, about ten miles upstream of Attock. He was courteously received by Ambhi, the ruler of Paurava who had succeeded his father in the meantime. Taxila offered a resting place, presented lavish presents to the Greek army. Here Alexander sent a message to king Porus to submit, who refused and prepared for a show-down.

2.4.14 Causes of the Defeat of the Indians

It is worthwhile to fathom the causes of the defeat of the Indians against the Greeks.

A dispassionate analysis will reveal that the Indians lacked unity, cohesion and oneness. In fact, there was not a single strong kingdom under a dynamic and capable ruler, who could unite all petty chiefs and organise a formidable defense. On the contrary, the petty and independent chiefs were jealous of each other, spent time and energy on internecine quarrels and domestic feuds. Guided by meanness and selfish ends the majority of them preferred the invaders, to combine under a common banner and leadership from own stock. In fact, where Porus fired by patriotic spirit decided to oppose Alexander, King Ambhi secretly invited Alexander and instigated him to attack Porus's kingdom. After battle of Hydaspes, when Alexander further advanced many petty chiefs and tribes helped him with men and materials. It needs no elaboration that if the rulers and the chiefs combined their strength, pooled their resources, and lined up with Porus, the result of the battle of Hydaspes, perhaps, would have been different. Secondly, Alexander was an outstanding general, perhaps, was the best among the living generals at that time. His opponents on the Indian side were incapable of asserting superior generalship. They were practically no match with Alexander's adroit planning, sound strategy and superior leadership. In fact, fight between a giant and a dwarf was well anticipated and all kinds of oppositions before superior discipline and superior generalship crumbled. Thirdly, the Greek army was by far superior in discipline, tactics and physical fitness. They were well organised, well led and well equipped. They had already gained valuable experience fighting all over the Central Asia and Persia. Before they encountered the Indians. Dr V.A. Smith has aptly remarked, "The primary cause of the Greek victory was the leadership of Alexander, the greatest from the Himalayas to the sea demonstrated the inherent weakness of the greatest Asiatic armies when confronted with European skills and discipline."

Fourthly the elephants and chariots used by the Indians against the Greeks went

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against their own interest. The chariots got bogged down on soft grounds and made the army practically immobile and ineffective. The elephants often turned wild and trampled the soldiers of the Indian regiments. The Greeks were on hardy chargers procured from the Central Asia. They were wonderfully swift and possessed capacity of spectacular manoeuvrability. The Greeks were armed with long spears, bows and arrows which were much superior to those of the Indians. Finally, the war technology, armaments and equipment's of the Indians were archaic, poor which miserably failed to keep pace with the time. Hence, they failed to compete with the invaders who in many respects were much ahead of the Indians. Lastly, Porus was completely outwitted by Alexander's superior stratagem and generalship. He could never imagine that the invaders could cross the Jhelum surreptitiously about sixteen miles up the stream and thereafter deliver a deadly attack. He was taken unawares and realised the reality when the invaders were almost knocking at his camp.

Often the historians over estimate Alexander's invasion on the western border of India. Truly, Alexander's invasion on Indian soil was purely a raid on the western border. It was neither a brilliant military success nor succeeded in crushing the military strength completely of the Indian rulers. Indeed, Alexander had no occasion to face a stubborn and united army of the Indian rulers, who were inspired by patriotic zeal to defend the motherland. In fact, right from the beginning, the Indian princes displayed spirit of vacillation, disunity and non-cooperation. In addition, several rulers adopted the murky path of treacherous discourses. Many rulers secretly showed allegiance to the invaders or actively assisted them and thereby encouraged the Greeks to undertake the offensive. Nevertheless, Alexander's success was far from easy or smooth. Incidentally, resistance and encounters during his retreat in several places were matters of touch and go. With considerable difficulty, the victorious general could save his prestige and supremacy and in that pursuit he had to face substantial toil and loss. The military conflicts during his homeward journey smacks of his invincible military power and supremacy. Finally the Invasion was by no means a political success. Within three years of Alexander's departure, the authority of victorious Greek dwindled. It virtually faced an extinction from the Indian soil. Taking advantage of political confusion and stagnated Greek rule the ambitious rulers hit upon a plan to uproot the Greek. Finally, the rise of Chandragupta Maurya completed the task and wiped out the Greek power from the Indian dominion.

2.4.15 Invasion

In the fourth century B.C. the Greeks and the Iranians fought for the supremacy of the world. Under the leadership of Alexander of Macedonia the Greeks finally destroyed the Iranian empire. Alexander conquered not only Asia Minor and Iraq but also Iran. From Iran he marched to India, obviously attracted by its great wealth. Herodotus, who is called father of history, and other Greek writers had painted India as a fabulous land, which tempted Alexander to invade this country. Alexander also possessed a strong passion for geographical inquiry and natural history. He had heard that on the eastern side of India was the continuation of the Caspian Sea. He was also inspired by the mythical exploits of past conquerors whom he wanted to emulate and surpass.

The political condition of north-west India suited his plans. The area was parcelled out into many independent monarchies and tribal republics which were strongly wedded to the soil and had a fierce love of the principality over which they ruled. Alexander found it easy to conquer these principalities one by one. Among the rulers of these territories, two were well known Ambhi, the prince of Taxila, and Porus whose kingdom lay between the Jhelum and the Chenab. Together they might have effectively resisted the advance of Alexander. But they could not put up a joint front; the Khyber pass remained unguarded.

After the conquest of Iran Alexander moved on to Kabul, from where he marched to India through the Khyber pass and reached the Indus. Ambhi, the ruler of Taxila, readily submitted to the invader, augmented his army and replenished his treasure. When he reached the Jhelum, Alexander met from Porus the first and the strongest resistance. Although Alexander defeated Porus he was impressed by the bravery and courage of the Indian prince. So he restored his kingdom to him and made him his ally. Then he advanced as far as the Beas river. He wanted to move still further eastward but his army refused to accompany him. The Greek soldiers had grown war weary and disease stricken. The hot climate of India and ten years of continuous campaigning had made them terribly home-sick. They had also experienced a taste of Indian fighting qualities on the banks of the Indus, which made them desist from further progress.

In the art of war the Indians were far superior to the other nations inhabiting the area at that time. Especially the Greek soldiers were told of a formidable power on the Ganga. Obviously it was the kingdom of Magadha ruled by the Nandas who maintained an army far outnumbering that of Alexander. So, despite the repeated appeals of Alexander to advance, the Greek soldiers did not budge an inch. The king who had never known defeat at the hands of his enemies had to accept defeat from his own men. He was forced to retreat, and his dream of an eastern empire remained unfulfilled. On his return march Alexander vanquished many small republics till he reached the end of the Indian frontier. He remained in India for 19 months (326-325 B.C.), which were full of fighting. He had barely any time to organize his conquests. Still he made some arrangements. Most conquered states were restored to their rulers who submitted to his authority. But his own territorial possessions were divided into three parts, which were placed under three Greek governors. He also founded a number of cities to maintain his power in this area.

Alexander's invasion provided the first occasion when ancient Europe came into close contact with ancient India. It produced certain important results. The Indian campaign of Alexander was a triumphant success. He added to his empire an Indian province which was much larger than that conquered by Iran, though the Greek possessions in India were soon lost to the then Maurya rulers.

The most important outcome of this invasion was the establishment of direct contact between India and Greece in different fields. Alexander's campaign opened up four distinct routes by land and sea. It paved the way for Greek merchants and craftsmen, and increased the existing facilities for trade.

Although some Greeks living on the north-west India even before the invasion of Alexander, the invasion led to the establishment of more Greek settlements in these areas. The most important of them were the city of Alexandria in the Kabul region, Boukephala on the Jhelum, and Alexandria in Sindh. Although the areas were conquered by the Mauryas the settlements were not wiped out, and some of the Greeks continued to live in this area, under both Chandragupta Maurya and Asoka. Alexander was deeply interested in the geography of the mysterious ocean which he saw for the first time at the mouth of the Indus. Therefore he dispatched his new fleet under his friend Nearchus to explore the coast and search for harbours from the mouth of the Indus to that of the Euphrates. So Alexander's historians have left valuable geographical accounts. They also have left clearly dated records of Alexander's campaign, which enable us to build Indian chronology for subsequent events on a definite basis. Alexander's historians also recorded important information about social and economic conditions in India. They gave the records about the sati system, the sale of girls in market places by poor parents, and the fine breed of oxen in north-west India. Alexander sent from their 200,000 oxen to Macedonia for use in Greece. The art of carpentry was the most flourishing craft in

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India, and carpenters built chariots, boats and ships.

By destroying the power of petty states in north-west India Alexander's invasion paved the way for the expansion of the Maurya empire in that area. According to tradition Chandragupta Maurya, who founded the Maurya empire, had seen something of the working of the military machine of Alexander and had acquired some knowledge which helped him in destroying the power of the Nandas.

2.4.16 Results of Alexander's Invasion

i) Direct Consequence: Alexander's invasion did not leave any permanent impact on the Indian culture and civilization. In fact, it came as a storm and passed away without leaving any permanent imprint on India. Undyingly, India continued to exist isolation, as if, she had forgotten the effect of the Greek invasion.

ii) Short Stay of Alexander: Alexander stayed in India for a short period after occupying the north-western territory. Again, major portion of his stay was spent on armed struggle and chastising the enemies. In fact, such a short stay hardly gave him opportunity to know the conquered land and its people intimately. Neither, he could leave any lasting influence on the people nor could contribute sufficiently to India's culture and civilisation.

iii) Only Raid on the Frontier: His invasion did not carry the idea of building an empire on Indian soil permanently. In fact, in spite of invasion, except the north-west frontier the rest of the country remained unaffected. Indeed, the invasion tantamount to a frontier raid, creating no cause of anxiety for the remaining portion of the country.

iv) Premature Death, of Alexander: On the eve of his departure, he divided the conquered territories into three separate provinces and placed under three governors, in addition, some elements of the Greek army were also left behind to help the governors in holding territorial possessions and maintaining law and order. Nevertheless, after Alexander's premature death, the governors were either ousted or made powerless. As a result, they were unable to assert their rule and authority. The climax was when Chandragupta's iron hand wiped out the Greek authority from the Indian soil and established the mighty Mauryan empire. The Greek rulers had no option but to accept helplessly the cruel irony of fate

v) Indian Culture Already Developed: Evidently Indian culture and civilisation had already sufficiently developed. The Indians were neither backward nor inferior to other races of the world. In fact, a developed culture did not need any incentive. Simultaneously the Greek culture was nothing superior or extraordinary to contribute to ann enrich then existing culture and civilisation of the Indias Rather, the West learnt much from Indian and the Indians, because of convenient route explored by the invaders. Dr. V.A.Smith has rightly remarked, "on the other hand, the West learnt something from India in consequence of the communications opened by Alexander's adventures".

vi) Rise of the Mauryas: The Greek invasion gave opportunity to Chandragupta Maurya to keenly observe important political intricacies, which ultimately helped him to build a vast political empire after Alexander's departure. Indeed, the Greek political supremacy fired Chadragupta's ambition to establish the gargantuan Mauryan empire immediately after Alexander's retreat. Dr. Eswari Prasad has pointed out "within three or four years the symptoms of the Greek rule became invisible. The Governors were turned out and their Indian forces were destroyed".

II) Indirect Consequence. Frankly speaking, Alexander's invasion produced several indirect effects which are discussed below:

i) Political Effects: Alexander's lightning invasion and hurried departure had left the north-west frontier provinces, and the Punjab in confusion. The war-like tribes and petty chiefs became weak and lost their strength and vigour due to mutual jealousy and rivalry.

It indirectly helped Chandragupta Maurya to cow them down easily and establish the powerful Mauryan empire.

ii) Paved the way for Indian Unity: Alexander's invasion indirectly paved the way for political unity in India. The small and weak states felt the necessity of uniting together and made a viable force to frustrate future invasions. 'They realised the great maxim 'Unite, we stand. divide we fall' and henceforth they inclined towards displaying a sense of unity amid oneness. Dr R.S. Tripathy has recorded, 'Another indirect result of the expedition was that it discredited the small state system of the Punjab and thus helped the cause of Unity'

iii) New Methods of Warfare: The Indians learnt new techniques and methods of warfare. Seeing debacles on the battle fields the Indians realised that supremacy of an army depends on the discipline, leadership and better armaments. Numerical superiority was not material unless first class training implicit obedience and exemplary discipline were strict) adhered to. Indeed, the secret, of success were realised by the Indians. It provoked Chandragupta:.. Maurya to organise and maintain a large army for defense as well as pursuing his imperialistic design.

iv) Materials to Reconstruct History: Alexander's invasion left several authentic historical materials These clues helped the historians of Later Age to re-construct the history of the Ancient India chronologically. Undenyingly. the Greek source materials are of immense historical value and had left a graphic account of political, social and economic conditions of the time. In fact, it. Is regarded as he sheet-anchor of Indian chronology. It is heartening to note that many Greek scholars who visited India during Alexander's invasion and on subsequent days did yeoman service, recording valuable details about political, social and economic life of the people of India. These direct sources are exceptionally useful to the historians and the students of the history. Simultaneously, Europe's knowledge of India vastly increased by virtue of writings on different subjects by Alexander's generals and companions. Their contributions in developing mutual understanding and cultural ties between the East and the West were no mean achievements.

v) Foundation of the Greek States: The Greeks who were left behind in India after Alexander's retreat eventually established their independent states on the north-western frontier of India. It obviously, generated a close relationship between the Greek states on the Indian soil and their parent land, Frequent exchanges of ideas and enterprises in all walks of life continued benefiting the Indians and the Greeks

vi) Economic Effects: Invasion, in reality, demolished the barrier between the East and the West. It helped to open three land routes. Needless to say, opening of avenues flourished trade and commerce, invited visitors, missionaries and travelers. It geared up and assured uninterrupted intercourse between the east and the west and brought all-round prosperity for the Indian, as well as the Greeks.

The Indians learnt the art of making beautiful coins and went a step forward in numismatic art. The impressive Greek coins provoked the Indians to manufacture nice and excellent coins. It also helped to reshape and reform the coins already in circulation. An eminent historian has pointed out, "From the Indian stand point, the importance lies chiefly in the fact that it opened up a free intercourse between India and the West. For the rest there is nothing to distinguish this raid, in Indian History."

vii) Cultural Effects: Greeks and Indians came in close contact and got opportunity to enrich their culture mutually. Scholars and intellectuals of both sides stepped up contacts and thereby gave a new fillip to cultural field. The Indians learnt a good deal from the Greeks in the field of coinage, astronomy, architecture and sculpture. The Greeks were

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also influenced by Indian culture and learning. They learnt philosophy, art, science and medicine. Many Greeks embraced Hindu religion and adopted Hindu names. They showed loyalty and allegiance to India. Indeed, a substantial exchange and fusion in cultural and spiritual field was one of the greatest achievement of the Greek invasion.

In a nutshell, though Alexander's invasion did not leave any permanent impact on political field like building a permanent empire etc. yet, its indirect influence on various facets of political, social and economic life was not negligible. Dr. Tripathy has rightly remarked, 'Indian slowly converted her military conquerors into her moral and spiritual captives'.

2.5 MAURYAS

The Mauryan dynasty could be claimed to be the first Imperial dynasty known to the historians of India and world. This dynasty came after the rule of the Nandas and was the first one which united various smaller states of India under one umbrella. Chandragupta Maurya was the founder of this dynasty.

We do not have any surviving inscription of Chandragupta but he is known from many legends and few inscriptions of the later rulers. Let us first study the stories mentioned in various legends and then proceed to the historical biography of this impressive ruler.

The Maurya Empire was one of the world's largest empires in its time, and the largest ever in the Indian subcontinent. At its greatest extent, the empire stretched to the north along the natural boundaries of the Himalayas, and to the east stretching into what is now Assam. To the west, it conquered beyond modern Pakistan, annexing Khorasan, Balochistan, south eastern parts of Iran and much of what is now Afghanistan, including the modern Herat and Kandahar provinces. The Empire was expanded into India's central and southern regions by the emperors Chandragupta and Bindusara, but it excluded a small portion of unexplored tribal and forested regions near Kalinga (modern Odisha), until it was conquered by Ashoka. Its decline began 60 years after Ashoka's rule ended, and it dissolved in 185 BCE with the foundation of the Sunga Dynasty in Magadha.

Under Chandragupta, the Mauryan Empire conquered the trans-Indus region, which was under Macedonian rule. Chandragupta then defeated the invasion led by Seleucus I, a Greek general from Alexander's army. Under Chandragupta and his successors, internal and external trade, agriculture and economic activities, all thrived and expanded across India thanks to the creation of a single and efficient system of finance, administration, and security.

After the Kalinga War, the Empire experienced half a century of peace and security under Ashoka. Mauryan India also enjoyed an era of social harmony, religious transformation, and expansion of the sciences and of knowledge. Chandragupta Maurya's embrace of Jainism increased social and religious renewal and reform across his society, while Ashoka's embrace of Buddhism has been said to have been the foundation of the reign of social and political peace and non-violence across all of India. Ashoka sponsored the spreading of Buddhist ideals into Sri Lanka, Southeast Asia, West Asia and Mediterranean Europe.

The population of the empire has been estimated to be about 50-60 million making the Mauryan Empire one of the most populous empires of the time.

Archaeologically, the period of Mauryan rule in South Asia falls into the era of Northern Black Polished Ware (NBPW). The Arthashastra and the Edicts of Ashoka are the primary sources of written records of Mauryan times. The Lion Capital of Asoka at Sarnath has been made the national emblem of India.

1. Chandragupta Maurya

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Chandragupta campaigned against the Macedonians when Seleucus I Nicator, in the process of creating the Seleucid Empire out of the eastern conquests of Alexander the Great, tried to reconquer the northwestern parts of India in 305 BCE. Seleucus failed (Seleucid–Mauryan war), the two rulers finally concluded a peace treaty: a marital treaty (Epigamia) was concluded, in which the Greeks offered their Princess for alliance and help from him. Chandragupta snatched the satrapies of Paropamisade (Kamboja and Gandhara), Arachosia (Kandahar) and Gedrosia (Balochistan), and Seleucus I received 500 war elephants that were to have a decisive role in his victory against western Hellenistic kings at the Battle of Ipsus in 301 BCE. Diplomatic relations were established and several Greeks, such as the historian Megasthenes, Deimakos and Dionysius resided at the Mauryan court.

Chandragupta established a strong centralized state with a complex administration at Pataliputra, which, according to Megasthenes, was “surrounded by a wooden wall pierced by 64 gates and 570 towers— (and) rivaled the splendors of contemporaneous Persian sites such as Susa and Ecbatana.” Chandragupta’s son Bindusara extended the rule of the Mauryan empire towards southern India.

Megasthenes describes a disciplined multitude under Chandragupta, who live simply, honestly, and do not know writing:

“The Indians all live frugally, especially when in camp. They dislike a great undisciplined multitude, and consequently they observe good order. Theft is of very rare occurrence. Megasthenes says that those who were in the camp of Sandrakottos, wherein lay 400,000 men, found that the thefts reported on any one day did not exceed the value of two hundred drachmae, and this among a people who have no written laws, but are ignorant of writing, and must therefore in all the business of life trust to memory. They live, nevertheless, happily enough, being simple in their manners and frugal. They never drink wine except at sacrifices. Their beverage is a liquor composed from rice instead of barley, and their food is principally a rice-pottage.”

2. Bindusara

Bindusara was the son of the first Mauryan emperor Chandragupta Maurya and his queen Durdhara. During his reign, the empire expanded southwards. According to the Rajavalikatha a Jain work, the original name of this emperor was Simhasena. According to a legend mentioned in the Jain texts, Chandragupta’s Guru and advisor Chanakya used to feed the emperor with small doses of poison to build his immunity against possible poisoning attempts by the enemies. One day, Chandragupta not knowing about poison, shared his food with his pregnant wife queen Durdhara who was 7 days away from delivery. The queen not immune to the poison collapsed and died within few minutes. Chanakya entered the room the very time she collapsed, and in order to save the child in the womb, he immediately cut open the dead queen’s belly and took the baby out, by that time a drop of poison had already reached the baby and touched its head due to which child got a permanent blueish spot (a “bindu”) on his forehead. Thus, the newborn was named “Bindusara”.

Bindusara, just 22 year-old, inherited a large empire that consisted of what is now, Northern, Central and Eastern parts of India along with parts of Afghanistan and Baluchistan. Bindusara extended this empire to the southern part of India, as far as what is now known as Karnataka. He brought sixteen states under the Mauryan Empire and thus conquered almost all of the Indian peninsula (he is said to have conquered the ‘land between the two seas’ - the peninsular region between the Bay of Bengal and the Arabian Sea). Bindusara didn’t conquer the friendly Dravidian kingdoms of the Cholas,

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ruled by King Ilamcetcenni, the Pandyas, and Cheras. Apart from these southern states, Kalinga (modern Odisha) was the only kingdom in India that didn't form the part of Bindusara's empire. It was later conquered by his son Ashoka, who served as the viceroy of Ujjaini during his father's reign.

Bindusara's life has not been documented as well as that of his father Chandragupta or of his son Ashoka. Chanakya continued to serve as prime minister during his reign. According to the mediaeval Tibetan scholar Taranatha who visited India, Chanakya helped Bindusara "to destroy the nobles and kings of the sixteen kingdoms and thus to become absolute master of the territory between the eastern and western oceans." During his rule, the citizens of Taxila revolted twice. The reason for the first revolt was the maladministration of Suseema, his eldest son. The reason for the second revolt is unknown, but Bindusara could not suppress it in his lifetime. It was crushed by Ashoka after Bindusara's death.

Ambassadors from the Seleucid Empire (such as Deimachus) and Egypt visited his courts. He maintained good relations with the Hellenic World.

Unlike his father Chandragupta (who was a follower of Jainism), Bindusara believed in the Ajivika sect. Bindusara's guru Pingalavatsa (alias Janasana) was a Brahmin of the Ajivika sect. Bindusara's wife, Queen Subhadra (alias Queen Aggamahesi) was a Brahmin also of the Ajivika sect from Champa (present Bhagalpur district). Bindusara is accredited with giving several grants to Brahmin monasteries (Brahmanabhatto). Bindusara died in 272 BCE (some records say 268 BCE) and was succeeded by his son Ashoka the Great.

3. Ashoka the Great

Chandragupta's grandson Ashokavardhan Maurya, son of Bindusara, was also known as Ashoka or Ashoka The Great (ruled 273- 232 BCE).

As a young prince, Ashoka was a brilliant commander who crushed revolts in Ujjain and Taxila. As monarch he was ambitious and aggressive, re-asserting the Empire's superiority in southern and western India. But it was his conquest of Kalinga (262-261 BCE) which proved to be the pivotal event of his life. Although Ashoka's army succeeded in overwhelming Kalinga forces of royal soldiers and civilian units, an estimated 100,000 soldiers and civilians were killed in the furious warfare, including over 10,000 of Ashoka's own men. Hundreds of thousands of people were adversely affected by the destruction and fallout of war. When he personally witnessed the devastation, Ashoka began feeling remorse. Although the annexation of Kalinga was completed, Ashoka embraced the teachings of Buddhism, and renounced war and violence. He sent out missionaries to travel around Asia and spread Buddhism to other countries.

Ashoka implemented principles of ahimsa by banning hunting and violent sports activity and ending indentured and forced labor (many thousands of people in war-ravaged Kalinga had been forced into hard labor and servitude). While he maintained a large and powerful army, to keep the peace and maintain authority, Ashoka expanded friendly relations with states across Asia and Europe, and he sponsored Buddhist missions. He undertook a massive public works building campaign across the country. Over 40 years of peace, harmony and prosperity made Ashoka one of the most successful and famous monarchs in Indian history. He remains an idealized figure of inspiration in modern India.

The Edicts of Ashoka, set in stone, are found throughout the Subcontinent. Ranging from as far west as Afghanistan and as far south as Andhra (Nellore District), Ashoka's edicts state his policies and accomplishments. Although predominantly written in Prakrit, two of them were written in Greek, and one in both Greek and Aramaic. Ashoka's edicts

refer to the Greeks, Kambojas, and Gandharas as peoples forming a frontier region of his empire. They also attest to Ashoka's having sent envoys to the Greek rulers in the West as far as the Mediterranean. The edicts precisely name each of the rulers of the Hellenic world at the time such as Amtiyoko (Antiochus), Tulamaya (Ptolemy), Amtikini (Antigonos), Maka (Magas) and Alikasudaro (Alexander) as recipients of Ashoka's proselytism. The Edicts also accurately locate their territory "600 yojanas away" (a yojanas being about 7 miles), corresponding to the distance between the center of India and Greece (roughly 4,000 miles).

The Land

Apart from the royal domains, which must have been considerable, the ultimate property in the land appertained, in the sense which has since prevailed, to the king : that is to say, the king was entitled to his revenues therefrom, and in default could replace the cultivator in his holding. This does not preclude alienation or subdivision by the occupier, the royal title persisting through each change. It was the king's business to organize the agricultural productivity by encouraging the surplus population to settle new or abandoned tracts. Irrigation was an object of great solicitude and naturally under the charge of the state, which regulated the supply of water and derived revenue therefrom.

The bulk of the population consisted of actual cultivators, and Megasthenes remarks that their avocation was to such a degree defined (by the rule of caste) that they might be seen peacefully pursuing it in the sight of contending armies. The higher classes in the country had not a landowning, but an official, qualification, being entitled for their maintenance to a defined portion of the revenue. This corresponds to the jagir system of Musalman times. The assignment might be the revenue of an estate, a village, a town, or according to circumstances. On a minor scale the same principle was applied to the ranching class, which received for maintenance a proportion of the stock.

Roads were constructed by the royal officers, and at intervals of 'ten stades' were sign-boards noting turnings and distances. The Greeks make special mention of the 'royal route' from the N.W. frontier to Pataliputra. Communications were maintained by couriers, while in the woods roamed trappers and forest-rangers. Towns were numerous, in so much that the Greeks report as many as two thousand placed under the rule of Porus, and Megasthenes ascribes some thirty to the Andhra country alone. They ranged from the market town (samgrahana), serving the uses of ten villages, through the county towns (kharvataka and dronamukha at a river's mouth) for 200 or 400 villages, the provincial capital (sthaniya, or Thana), the great city (nagara, pura) or port (pattana) to the royal capital (rajadhani), all provided with defences of varying solidity. There were also forts on the frontiers or in special situations, such as in the middle of lakes or swamps, hidden in forests, or perched on heights.

The art of fortification was well understood. As we can learn from the Greek and native descriptions, and as we can see depicted on the monuments of Sanchi and Bharhut, the great cities were provided with ditches, ramparts, and walls of earth, wood or brick, having battlements, towers, covered ways, salient angles, water-gates, and portcullises, with a wide street running round the interior face. There were guard-houses for troops (gulma) in the different quarters. In principle the towns were of rectangular shape and divided into four regions, each under a special official and composed of wards. The houses were generally of wood, and of two or three storeys, the more splendid ones including several courts, one behind the other. There were royal palaces, workshops, storehouses, arsenals, and prisons. The streets were provided with watercourses draining the houses and issuing into the moat : against misuse of them, or of the cemeteries outside, by deposit of rubbish or dead bodies, by loosing animals, by conveyances not under proper charge, by funerals conducted through irregular ways or at unlawful hours,

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penalties are laid down. The houses were forbidden to have windows overlooking each other, except across the street. The precautions against fire included the provision of vessels of water 'in thousands' in the streets : every householder must sleep in the forepart of his dwelling, and he is under the obligation of rendering assistance in case of fire, while arson is punished by burning alive. The trumpet sounds the beginning and end of the nocturnal interval, during which, except on special occasions, none must stir abroad. Approach to the guard-houses and palaces is prohibited, as also is music at unseasonable times. The city chief reports all incidents, and takes charge of lost and ownerless property.

Industry

The imperial capital Pataliputra or Kusumapura, the Palibothra of the Greeks, which was situated on the south side of the Ganges, to the east of its confluence with the Son, is described by Megasthenes. Its ruins lie for the most part under the modern city of Patna-Bankipore; and part of its ancient rampart has been found in situ.

The population, as we learn from Megasthenes in agreement with the indications of the Arthashastra, consisted of seven classes, which have been already particularised : there was no transference from one class to another (except that the philosophers, i.e. the Brahmins, might in case of adversity adopt any profession), nor was marriage between them allowed. These distinctions of function correspond only partially to those of caste, which in fact must have been already much more complicated : and they take no note of special cases, such as riverine and maritime populations.

In the country, except where undertakings such as mines and other works created exceptional conditions, the second and third classes, the husbandmen and the neatherds and shepherds, must have predominated : the village servants, such as the potter, the blacksmith, the carpenter, the barber, would belong to the third. In the towns we hear of labourers, craftsmen, traders, inspectors, and officials. The crafts are numerous, especially those dealing with the precious metals and with textiles. The professions include the doctor, the actor, singer and rhapsodist, the dancer, and the soothsayer. The traders are partly state officials in charge of royal merchandise, or in superintendence of matters connected with prices and sales, partly actual shopkeepers or travelling merchants; and not rare among both classes was the rich shreshthin, or seth, who was an important social factor, and, if a leader in his guild, received official recognition. In the workshops and the prisons (the latter periodically emptied) artisans were engaged on contract or in penal tasks; and there is a 'spinning house' for the labour of widows and other helpless or unfortunate women.

Permanent associations in civil life include trader and merchant guilds (shreni) and clubs (puga). I but there were also temporary combinations of workmen and others engaged under corporate responsibility for the execution of contracts. Collective obstruction was known and penalised.

Trade was active, various, and minutely regulated. The precious wares comprise many species of gold, silver, spices, and cosmetics from all parts of India; jewels, including pearls from Southern India, Ceylon, and beyond the sea; skins from Central Asia and China; muslin, cotton, and silk from China and Further India. The best horses came, as now, from the Indus countries and beyond. The merchant was mulcted in dues at the frontier, by road-taxes and tolls, and by octroi at the gates of the cities, where the royal officials maintained a douane and watch-house : he was required to be armed with a passport, and severe penalties were attached to malpractices in connection therewith. The officials record in writing 'who the merchants are, whence they come, with what merchandise, and where it has been vised'. The country produce also was subject to octroi upon entry, and, to ensure that nothing might escape, there were prohibitions of purchase in part or in bulk at the place of origin in farms, orchards, and gardens. The

amount and price of all goods was declared, and the sale was by auction, any enhancement accruing to the treasury. Combinations to affect prices were punishable; an army of spies was engaged on the routes in order to detect false declarations. The prices of ordinary goods were fixed and proclaimed daily by the officials. Similarly all weights and measures were subject to inspection. There were export, as well as import duties and octrois, and certain classes of goods were forbidden to be introduced or sent abroad respectively. The king himself was a great trader, disposing of the output of his factories, workshops, and prisons, and the produce of his lands, forests, and mines, for which he maintained store-houses (koshthdgdra) through the country. In particular he reserved the right of coining and other work in silver and gold, which was executed by his officials on behalf of those who brought their raw metal.

State of Society

The state of society corresponding to this activity of trade, to the traffic on high roads (rajapatha 'routes royales') and by-roads (banikpatha 'merchant roads'), the bustle at frontiers, ferries, tolls, and city-gates, and to the minute regulation of all these, must have been one of considerable complexity. Nor do we lack the means, literary or illustrative, of becoming in part acquainted with it. Beside the statements of the Greek writers, we may gather abundant material from the Pali books of the Buddhist canon, from the Arthashastra and the code of Manu, from Patanjali's commentary upon the grammar of Panini, and from the Ramayana and Mahabharata; while the Buddhist stupas of Sanchi and Bharhut supply ocular demonstrations of much that is recorded in the literature. But from this material large deductions must be made : the Sanskrit Epics, and in a less degree the books of the Pali canon, reflect the circumstances of an earlier period irrespective of the actual dates of composition and we run the risk of confusing conditions as widely different as those of the Homeric, the Solonian, and the Periclean age in Greece. If we seek to elicit the special features of the Maurya epoch, we shall mark first of all the growth of luxury consequent upon the rise of the great Magadha empire in the east : in the Punjab, no doubt, in spite of the effeminacy which the Greeks observed in the court of Porus, the old tribal system was still prevalent. There the actual cultivator would still be a man of the three upper classes, while in the east he was generally a Shudra. It is to this period, no doubt, that we must ascribe the great complexity of the caste system, and the beginning of the association of caste with craft. It seems not doubtful that a number of castes did arise, according to the Brahman theory, by intermixtures of the old four divisions, which still formed the basis : a process natural in itself, when intermarriage between the different classes was still licit, and certain to be specifically noted, while it is evidenced not only by the testimony of theological works, but also by so worldly a treatise as the Arthashastra. But it is only in a few cases that we find a particular occupation assigned to a particular caste.

In another respect the old system of caste had received a shock. To the contemporaries of Buddha and Mahavira the conception of a king who was not of the Kshatriya order would have seemed preposterous. But the Mauryas were of low extraction, as were the Nandas whom they succeeded. Henceforth the spectacle of the low-born man in power was never a rarity in India; and soon it was the foreigner. The vast empire, with its army of officials and spies, introduced a bureaucratic rule in place of the old quasifeudal system.

Foreign influences also begin to assert themselves. In the stone architecture, which replaces wood in public monuments, as also in the style of the edicts of Ashoka we have clear evidence of intercourse with Persia, which must necessarily have begun well before the fourth century. And this advance in art affected religion also by its encouragement of image-worship.

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As regards daily life, we find the public side of it sufficiently gay. The people were frugal in their diet, and sober, except on occasion of festivals. The chief display of luxury was in dress. The inns, hostleries, eating-houses, serais, and gaming-houses are evidently numerous; sects and crafts have perhaps their meeting places and the latter their public dinners. The business of entertainment provides a livelihood for various classes of dancers, singers, and actors. Even the villages are visited by them, and the author of the Arthashastra is inclined to discourage the existence of a common hall used for their shows as too great a distraction from the life of the home and the fields. At the same time there are penalties for refusal to assist in organising public entertainment. The king provides in amphitheatres constructed for the occasion dramatic, boxing, and other contests of men and animals, and also spectacles with displays of pictured objects of curiosity no doubt the private showman with his pictures of Hades, etc., was also active; and not seldom the streets were lighted up for festivals and it was not penal to stir abroad. Then there were also the royal processions, when His Majesty went forth to view his city or to hunt.

Domestic Life

In domestic life the joint-family system prevails : but it can be dissolved. Boy and girl attain their majority at the age of sixteen and of twelve respectively. Adoption legitimated by the king is common. There are the four regular and four irregular forms of marriage, which is dissoluble by mutual consent or prolonged absence. The wife has her dowry and her ornaments, sometimes also her bride-gift, which are her private property and to a certain extent at her disposal in case of widowhood. Ill-usage on either side is punishable. Upon failure of male issue the husband may after a certain period take other wives (of any class); but he is required to render justice to all : on the other hand, a widow is at liberty to marry again. Orphans are under the guardianship of their relatives. The poor and helpless old, and in particular the families of soldiers and workmen dying during their employment, are regarded as deserving the king's care. Concerning the ganikas, or public women, who were the king's servants, and whose practice and rights were subject to minute regulation, the Greek writers- have told us enough. Offences against women of all kinds are severely visited, including the actions of officials in charge of workshops and prisons; and their various imprudences and lapses are subject to a gradation of fines and penalties. Refractory wives may be beaten (Manu, viii, 299).

In totally denying slavery Megasthenes went too far : in fact seven kinds of slaves are enumerated : but it is laid down that no Arya ('freeman', here including the Shudra) could be enslaved. A man might sell himself into slavery, and in times of distress children might be so provided for : also there were captives in war. In all cases the slave may purchase his freedom by any earnings acquired irrespective of his master's service, and ransom from outside cannot be refused. The slave woman who is taken to her master's bed thereby acquires freedom, as also do her children.

The progress of literature during the Maurya period is unfortunately for the most part matter for inference. Only three works, all in their way important, can with certainty be dated in or near it : these are the Arthashastra of Chanakya, the Mahabhashya, Patanjali's commentary on the grammatical Sutras of Panini, and the Pali Kathavatthu. The Vedic period, including the Brahmanas and the early Upanishads, was prior to Buddha, and the same may be said in principle of the Sutras, or manuals of rites, public and domestic, the Vedangas, treatises on grammar, phonetics, prosody, astronomy, etymology, ritual, whatever may be the date of the treatises which have come down to us. Nor can the like be denied regarding the various forms of quasi-secular literature which are named in works of about this period, the Purana, or myth, the Itivritta, or legend, Akhyayika, or tale, Vakavakya, or dialogue. Some form of the Mahabharata and Ramayana, the former of which we infer from Megasthenes to have been current during

this period, belongs also to an earlier epoch. One philosophical system, the Sankhya, seems to be prior to Buddhism : a second, the Vaiheshika, may have arisen in our period. Finally, the canon of the Pali Buddhism and also that of the Jains, which is said to have been fixed at Pataliputra in 313 (312) BC, and the system of the Lokayatas or Ajivikas, are also in substance pre-Maurya.

If we may conjecturally assign to this period any definite literary forms, these would be the shastra and the artificial poetry, or kavya. The former, the most characteristic product of the Indian mind, is the formal exposition of a particular science in dogmatic enunciations accompanied by a discussion (bhashya). Such are the grammatical work of Patanjali, the Arthashastra of Chanakya, the Kamashastra of Vatsyayana : the Dharma Shastra, or Law, followed an older model, that of the metrical treatise, and the Nyaya Shastra, or Logic, is a later creation. We cannot doubt also that many of the minor sciences (vidyas) and arts (kalas), which were from earlier times a subject of instruction, had already attained some systematic literary form. As regards the artificial epic, it is true that we have no positive evidence of its existence in Maurya times. But the Buddhacharita of Ashvaghosha, which dates from the first century A.D., presents a perfect and stereotyped form, indicating a long preparation.

Writing: Language

That writing was in common use not only for literary purposes, but also in public business, the edicts of Ashoka exist to prove. But this is by no means all. Epistolary correspondence was perfectly usual, and written documents were employed in the courts of law : moreover, the administration was versed in bookkeeping and registration on a large scale and systematically arranged. And we have already the beginnings of a study of style and a vocabulary of exegesis.

Sanskrit remained the language of the Brahman schools, of public and private ritual, and also of secular literature, except perhaps in the case of folk poesy. In the life of every day and also in administration, furthermore in the sectarian books of the Buddhists and Jains, a vernacular was employed; and from the Edicts of Asoka three such vernaculars are known, one of which, that of Magadha, probably profited by its central position at the headquarters of the empire to encroach upon the others. The Sanskrit was perhaps favored in cultured circles, and especially in the cities; and social ambition, hampered by insufficient training, began to foster a hybrid form of speech, now known as 'mixed Sanskrit', which subsequently established itself as a literary medium in certain Buddhist schools, when the canonical vernaculars, themselves by no means dialectically pure, had already become stereotyped.

We shall not trespass further on the province of the historian of language and literature. Nor need we dwell at length upon the likewise special topics of religion and law. Nevertheless there is an aspect of these which appertains to general history. There can be little doubt that the Maurya empire began with a Brahman, as well as a national, reaction. The age of Buddha was one in which religious speculation was rife. Originally a product of the Brahman hermitages, it had offered irresistible attractions to a people wearied of ritual formality. Innumerable sects arose; it became a common understanding that from any class a man could go forth, abandoning his home, and found or join a sect of wandering disputants or ascetics. The Greek writers combine with the Buddhist and Jain books and the edicts of Ashoka in testifying to the ubiquity of the pravrajitas or shramanas. We cannot doubt that this would in the end constitute a danger to the established order and an offence to the Brahman caste. The Brahman, in the Vedic age a priest, had long ceased to be primarily so. It is true that in public and private ritual the priestly function was his, and he was entitled to the emoluments thereof: also the Purohita, or king's spiritual adviser, was one of the highest and most indispensable officers of

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State: It was, moreover, customary to consult the forest-dwelling Brahmans upon high political matters, and in the law-courts the sacred law was stated by Brahman assessors. Nevertheless, as has been well said, the Brahman was not a person who fulfilled a sacred function in particular, the service of a temple has always been regarded as demeaning him but a person who was sacred. He was exempt from taxation and confiscation, from corporal chastisement and the death penalty, branding and banishment being in his case the ultima ratio. His true office was study and teaching, and his proper abode was the forest hermitage, where he maintained the sacred fires and lived for another world. An order such as this, established in customary respect and daily observance, was obviously threatened by the intervention of proselitising sects of impromptu origin, making claims upon the livelihood of the people, and interposing in formal and informal gatherings with fundamental problems. We can therefore well understand why the Arthashastra (Chap. 19) forbids the practice of abandoning domestic life without formal sanction and without provision for wife and family; and we look forward with confidence to the great doctrine of the Bhagavadgita, that grand pillar of Brahmanism, that salvation is attainable not by the rejection of civil duty, but in and above the performance of it. Accordingly we see in the Maurya age the beginning of a stage of concentration, in which only a few great sects could maintain themselves by the side of a settled Brahman orthodoxy. And this was a natural corollary of a great empire.

Religion: Law

Among the Brahman deities the greatest share of popular adoration accrued to Shiva and Vishnu (under the form of Krishna), whom the Greeks report to us as Dionysus and Heracles respectively. With the former was associated Skanda or Vishakha, the god of war. The Buddhist books and sculptures, which give the preference to Brahma and Indra, are in this respect archaizing.

Shiva was specially worshipped in the hill regions; of the Vishnu cult the great centre was Mathura, the second home of the Krishna legend, which first arose in Western India. The Jains were probably still mostly to be found in Bihar and Ujjain, while the Buddhist expansion had perhaps even in the lifetime of the founder attained a far wider range of law the bases are defined as, in ascending order of validity, sacred precept (dharma), agreement (vyavahara), custom (charitra), and royal edicts (rajashasana), and the subject is expounded rationally, not theologically. Civil law is treated under the heads of marriage and dowry, inheritance, housing and neighborhood (including trespass), debt, deposit, slaves, labor and contract, sale, violence and abuse, gaming, and miscellanea.

We learn from various sources that cases were commonly disposed of locally by reference to a body of arbitrators (panchayat), permanent or constituted ad hoc, or by the officials of various grades; and there was a system of appeals as far as the king, who was regularly present in court or represented by a minister (pradvivaka). Offences against caste or religion were tried by committees entitled parishads. Trials by wager or ordeal were also common. The penalties, reasonably graduated and executed by royal authority, include fines (these, and also debts, often commutable for forced labor), whipping, mutilation, and death with or without torture. In cases of assault the principle familiar in the modern proverb 'first at the Thana' is already known, but disputed.

Under the title 'clearing of thorns' are included criminal law, political offences, in particular misconduct on the part of officials, and the general business of police. Among the cases contemplated we may cite theft, murder, burglary or forcible entry, poisoning, coining, injury to property, criminal negligence, contumelious violation of caste rules, boycott and other acts of employees, combinations to affect prices, fraud in regard to weights and measures. In all these matters the magistrates (pradeshtri, revenue and police officers) were assisted by an army of spies and agents-provocateurs, who in

times of fiscal difficulty were also empowered to adopt the most reprehensible expedients for squeezing the well-to-do. If the Greek writers are to be trusted when they report a rarity of offences among the Indians, this was plainly not due to a state of innocence even as regards elaborate criminal acts.

Ministers

We now come to the matter of government and administration, which we may treat with a little more system. Beginning with the civil administration and at its base, we find already in operation that system of village autonomy under the headman (gramani, an official nominee), which has prevailed in India at all periods. Through him, no doubt, there was a joint responsibility for the assignment and payment of the land revenue, and consequently for the proper cultivation of the fields, which failing, the occupier might be replaced by the village servants. In consultation with the elders, the village panchayat, he would also decide all questions relating to the customary rights and duties of the village barber, washerman, potter, blacksmith, and so on. His superiors were the gopa in charge of five or ten villages and sthanika theoretically ruling one quarter of the realm, each attended by executive, revenue, and police officials. By some texts further official gradations are recognised, and in the edicts of Ashoka the highest local officials, set over hundreds of thousands of persons, are termed rajukas, a designation pointing, no doubt, to functions connected with survey, land settlement, and irrigation. The superior of all these, to whom they reported successively, was one of the great ministers of state, the samahartri, or Minister of the Interior and Chancellor of the Exchequer.

This important official dealt with the whole income of the state, including that of the Royal domains. The main heads are (1) the proportion of the produce of land, which in India accrues immemorially to the king in lieu of rent, (2) the minor dues and cesses connected therewith, (3) the special income from irrigated land, and that from pastures, forests, mines, and other works, (4) the customs at the frontiers, the transport dues at ferries, etc., the road dues and tolls, the octroi at the city gates, the profits of coinage, and the various profits consequent upon the methods of sale, (5) the fees exacted as licences from workmen, craftsmen, traders and professionals, gaming houses and passports, (6) the fines derived from the law courts, also ownerless property, and (7) special taxes, as it were tithes, for religious objects. In times of straitness there were also 'benevolences' exacted, but in theory only once, from the well-to-do. Under expenditure we understand without difficulty the maintenance of the sovereign and his court, the salaries which the Arthashastra (Chap. 91) carefully defines of the ministry and the vast army of minor officials and spies, religious provisions, the demands of the army and its equipment, including forts, the expense of mines, forests, etc., and of public works such as roads, irrigation, etc., which was regarded as the function of the state, the maintenance of the families of slain soldiers, officials dying during employment, and finally of helpless persons. We have here matter for the work of a large establishment and an elaborate clerical system; and we learn in fact from the Arthashastra (Chaps. 25-7) that the business of the Treasury was carefully and minutely organized, with distinctions of current, recurrent, occasional, and other expenditure and various checks. Moreover, both in town and country the various grades of officials maintained full registers both of property and of the population. Thus the bifurcating roots of a vast administration no doubt more effective in theory than in practice connected the individual taxpayer with the crown.

Another important minister was the sannidhatri, or Minister of Works, who had charge of storehouses, treasuries, prisons, armouries, warehouses and the like. An interesting item in his duties was the maintenance of a rain-gauge. We shall not dwell

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upon the pradeshtri, or head of the executive revenue and judicial service, or the prashastri, or Minister of Correspondence, who was responsible for the drafting of decrees and royal letters, nor, of course, upon the numerous adhyakshas, or superintendents, the Episcopi of the Greek writers, in charge of minor departments.

The other great officers of state were the dauvarika, Chamberlain or Master of the Ceremonies, the antarvamshika or Head of the Bodyguard, and the four indispensable chiefs who formed the inner cabinet, namely the mantrin, i.e. Diwan or Prime Minister, the purohita, or religious adviser, the senapati, or Commander-in-Chief, and the yuvaraja, or Heir Apparent. In the provinces were the various antapalas, or Guardians of Frontiers, and durgapalas, or Commanders of Forts, while the great empire of the Mauryas found a place also for the Viceroy (uparaja), no doubt attended by his own, minor, court.

The functions of ambassadors are clearly recognised, with distinctions of plenipotentiary, envoy, and instructed emissary, and rules for their behaviour are enunciated. The chief ministers were in many cases hereditary and, except in the instance of the Purohita, they would be more often of Kshatriya, than of Brahman, caste (Manu, VII, 54).

As regards the government of cities, we hear of the mayor (nagaraka), under whom as in the country districts are sthanikas and gopas, whose duties similarly include the keeping of registers of persons and property. All inns, hostels, serais, and places of entertainment are under surveillance, and reports are received concerning strangers and frequenters. Then there are the various superintendents of works and dues, of sales, weights and measures, of store-houses and so forth. According to Strabo many of these duties were discharged by boards of five (panchayats), and he enumerates six such boards, whose respective functions have already been described in Chapter XVI. No doubt the system varied from place to place, and it may have differed according as the city was capital or provincial, subject to a sovereign or independent (as according to Megasthenes most of them had at one time been). We may think of the difference between a royal borough and free town in our own middle ages.

The Military

Coming now to the military, we find that the native Indian accounts present a view of the case rather less simple than does Megasthenes. According to these accounts the military might consist of troops of different kinds, namely hereditary or feudatory troops, hired troops, gild levies, and forest tribes. In the first named, which were regarded as the most trustworthy, we may doubtless recognize the old Kshatriya division of society, connected by caste, and ultimately by race, with the king himself, such as in later times we find them in the quasi-feudal states of Rajputana.

In the second class also the Kshatriya element would probably predominate, though here there would be, no doubt, a career for any bold adventurer with a strong arm and a soldierly bent. As concerns the gild troops, which are plainly regarded as having a chiefly defensive character, there is some room for doubt: were they merely the ordinary trade guilds, as an organization for calling out the people for service in time of invasion, a sort of militia or landwehr? Or were they quasi-military corporations, such as the modern Brinjaras, whose business was to supply merchants and others with armed protection of a quasi-professional character? While refraining from a decisive pronouncement, we cannot but incline in the circumstances to the former alternative, for which the guilds of medieval Europe supply a fair analogy, and which is supported by the defensive character of the force. In any case the gild troops were regarded as in military value inferior to the men-at-arms. The forest tribes, employed like the Red Indians in the French and English wars of North America, or like other untrained auxiliaries in the armies of Greece and Rome,

were destined for the service of distracting or detaining the enemy rather than for the actual crises of campaigns.

The main divisions of the army were the elephant corps, the cavalry, and the foot : to which should be added the foragers and camp-followers. There was a scientific distinction of vanguard, centre, rear, wings, reserve, and camp, with elaborate discussions of formations on the march and in battle, attack and defence, and the value and employment of the several arms. Equipment was in considerable variety, including fixed and mobile engines, such as 'hundred-slayers'. Such instruments were, of course, familiar even to the early nations of Mesopotamia, as were also the construction and siege of forts.

The Indian forts were, as we have seen, systematically designed, with ditches, ramparts, battlements, covered ways, portcullises, and water-gates; and in the assault the arts of mining, countermining, flooding mines were employed no less than the devices of diplomacy. In short, the Indians possessed the art of war. If all their science failed them against Alexander, and against subsequent invaders, we may conjecture, in accordance with other aspects of Indian thought, the reason that there was too much of it. In the formation adopted by Porus, the elephants and chariots in front and the infantry in the rear, we may perhaps detect an agreement with the precepts of the books. As regards the ethics of fighting, the Greeks received an impression of something not unchivalrous; and here too we may recall the written precepts as to fair fighting, not attacking the wounded or those already engaged or the disarmed, and sparing those who surrendered.

Polity

It is in foreign policy that we find the culmination of the Indian genius for systematic exposition, the principles being those of Machiavelli. Policy has not large aims; the mainspring is the rivalry of kings and the much applauded desire for glory and imperial rule. Already we find worked out in pedantic detail the not unreasonable principle that the neighboring state is the enemy and the alternate one the ally. The varying circumstances decide in which of the six gunas, or situations, the monarch finds himself, whether aggressor, defender, or tertius gaudens, and to which of the four expedients, war, conciliation, bribery, or dissension, he must have recourse. Here the arts of treachery and overreaching attain a climax: even in war there is a whole science of sowing suspicion among allies, treason in armies, disaffection or revolt in kingdoms.

Of the polity which we have outlined, the only polity approved by Indian science, the keystone was the sovereign. Even in the Vedic age the prevailing system was monarchical. Nevertheless the Vedas afford evidence of tribes in which the chief authority was exercised by a family, or even, as in the case of the German nations described in the work of Tacitus, by a whole body of nobles, who are actually designated kings. Of such ruling oligarchies the age of Buddha furnishes, as is well known, a number of examples: such were the Mallas of Kusinara and the Licchavis of Vesali. To these oligarchical communities the growth of the great kingdoms proved destructive at the time of Alexander's invasion they had largely disappeared from eastern Hindustan, and in the Punjab also Porus was working for their subjugation. The Arthashastra (Chaps. 160-1) has even a policy of compassing their overthrow by internal dissension. Nevertheless, a number of them survived through and after the Maurya empire, and one of them, that of the Malavas, handed down to later India its first persistent era, the so-called Vikrama era, which is still the common era of northern India.

In the monarchies the king controls the whole administration, and by his spies keeps watch upon every part of it. He is recommended to check his officials by division and frequent change of functions. Nevertheless, the Indian king is no sultan with the sole obligation of satisfying his personal caprice. The origin of royalty is the growth of

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wickedness and the necessity of chastisement, the virtue of which the Indian writers celebrate with a real enthusiasm. It is as guardian of the social (including domestic and religious) order and defence against anarchical oppression that the king is entitled to his revenue; failing to perform this duty, he takes upon himself a corresponding share of the national sin. Educated in these precepts among a moralizing people, he would have been more than human had he escaped the obsession of this conception of his duties. Hence we seldom hear on royal, as well as on priestly, lips the expression that the king should be the father of his people.

His education is in philosophy, Vedic lore, business, and the science of polity he is also to receive the ordinary instruction in mathematics and literature. He must attain to complete control of his passions by consideration of the errors of famous men in the past. He must never be off his guard or lacking in force.

His occupations are mapped out with a minuteness which in the literature is a subject of humorous comment. The day and the night are divided by sundial or water-clock each into eight portions. Aroused by music at the end of the sixth nocturnal hour, he receives the salutations of his Purohita and others, and interviews the doctors and kitchen officials : then he reflects upon the principles of polity and forms his plans, after which he sends out his secret emissaries, and hears reports of his military and financial advisers. Next comes the hour for appearing in the Audience Hall or in the Law Courts, and considering the affairs of the public, which has free admission. After this the king retires for his bath and repast; and this is also the time for religious devotions. The interval passed, he receives those who bring gifts, interviews his inspectors, corresponds by letter with his ministers, and makes plans of espionage. The sixth hour having now arrived, he takes his ease and reconsiders his policy. In the seventh and eighth hours, the cool of the day, he inspects his horses, elephants, and arsenal, and consults with the Commander-in-Chief : at sunset he performs the usual religious ceremony. The first hour of night brings in the reports of spies. Then come the second bath and meal, followed by religious meditation. To the sound of music His Majesty retires for rest.

2.6 ASOKA'S DHAMMA

Ashoka's dhamma meant 'righteousness'. The concept of dhamma is well discussed in Ashoka edicts which were the oldest surviving documents of Indian history. The edicts found scattered all over the Indian subcontinent are basically official pronouncement of policy, and instructions of Ashoka to his officials and subjects. Ashoka is said to have underwent a complete change of heart after Kalinga war during his eight regnal year and thus visualized 'Dhamma'.

2.6.1 Need for Asoka Dharma

1. There was considered intellectual ferment around 600 B.C. healthy rivalry was apparent among the number of sects such as the Charvaks, Jains and Ajivikas, whose doctrines ranged from bare materialism to determinism. This intellectual liveliness was reflected in the elected interests of the Mauryan rulers. It was claimed by the Jainas that Chandragupta was supporter and there is evidence that Bindusara favored the Ajivikas.

Thus, the Empire of Asoka was inhabited by peoples of many cultures who were at many levels of development. The range of customs, beliefs, affinities, antagonisms, tensions and harmonies were galore. True, Magadha and the fringes of these areas. The north was in close contact with the Hellenized culture of Afghanistan and Iran. The far south was on the threshold of a creative efflorescence of Tamil culture. The ruler of such as Empire required the perceptions were addressed to the public at large. It is in these inscriptions that the king expounds his ideas on dhamma.

It appears, Asoka aimed at creating an attitude of mind among his subjects in which social behavior was accorded the highest place. The ideology of dhamma can be viewed as a focus of loyalty and as a point of convergence for the then bewildering diversities of the Empire. In a way, Asoka's dhamma was akin to the preamble in the constitution of India.

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2. A centralized monarchy demands oneness of feeling on the part of its people. The ethics of the dhamma was intended to generate such a feeling, comparable to the preamble of the Indian Constitution.
3. The Mauryan Society with its heterogeneous elements and with economic, social and religious forces working against each other posed the threat of disruption. Asoka, therefore, needed some binding factor to allow the economic activity to proceed on an even keel and thereby ensure the security of his state.
4. Also as the commercial classes gained economic importance and resented the inferior social status as per the sanctions of the Brahmins, they went over to Buddhism, which preached social equality. Their support to the Mauryan king was very vital for the peace and prosperity of the Empire. Asoka thought that he could attract them by the propagation of this dhamma by weaning them away from too closely identifying themselves with Buddhism.
5. Asoka felt that the aforesaid forces of contrary pulls would threaten the peace of the realm not in the general interest of his Empire. Asoka's dhamma therefore, was intended to serve a practical purpose.

The dhamma was not meant to be a religion but what behooves a man of right feeling to do, or what man of sense would do. Such being the nature of his dhamma, it is primarily an ethic of social conduct. Asoka's Moral code is most concisely formulated in the second Minor Rock Edict.

Thus Saith His Majesty

Father and mother must be obeyed; similarly respect for living creatures must be enforced, truth must be spoken. These are the virtues of the law of Duty (or "Piety". Dhamma) which must be practiced. Similarly, the teacher must be revered by the pupil, and proper courtesy must be shown to relations.

This is the ancient standard of duty (or "Piety") - leads to length of days and according to this man must act. The three obligations - of showing reverence, respecting animal life, and telling the truth - are inculcated over and over again in the edicts.

Besides, it was meant for all - Buddhists, brahmins, Jains and Ajivikas, In the way, it was the sara or the essence of the good principles of all religions. Also, while pleading on behalf of his dhamma, Asoka passionately appealed for toleration towards all religions and a reverence for each other.

Had this dhamma got anything to do with Buddhist principles, Asoka would have openly stated so in his edicts since he never sought to hid/his support for Buddhism. For that matter, Asoka did not incorporate any of the fundamental tenets of Buddhist faith such as the Four Noble Truths, the chain of causality the sacred eight-fold path, and the Nirvana. The omissions, also with repeated reference to the concept of svarga or heaven (a Hindu belief) show that his dhamma cannot be identified with Buddhism.

Since Asoka's dhamma was not intended for the cause of Buddhists during his dharmayatra, he not only visited various places of Buddhist importance, but also gave gifts to sramanas and Brahmins. Most of all, even after entrusting the propagation of dhamma to the Dharma Mahamatras, Asoka continued to style himself as the beloved of the devas, a Hindu concept, since there were no Gods in Buddhism at that time.

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2.6.2 Success of his Dharma

Asoka specifically states that his missions were sent to various places (Ceylon and various Western countries) and maintains that they were all successful. It is difficult to accept this claim because historical evidence shows that his officials overshot the mark. Definitely, there was resentment against their way of doing things. It is known from evidence that Asoka presumed that not only he was a seeker of truth but also he did reach the truth. Such convictions are always harmful. Most of all, it is important to note that there is no authentic proof that his missions were a success. Significantly, none of Asoka's successors continued the propagation of dhamma. Far worse is the fact that in the later ages, his pillar inscriptions came to be misunderstood as symbols of phallus.

Nature of Ashoka's Dhamma:

Till very recently historians were confused as to the true nature of Asoka's Dhamma. Some pointed that Buddhism and Asoka's Dhamma are one and the same. But after a deep analysis of Asokan Edicts on Dhamma it has been found there are two different things and one should not be confused with the other.

Indeed, Asoka embraced Buddhism after the Kalinga war.

- According to Romila Thapar, Dhamma was Asoka's own invention.
- In his Dhamma, Asoka had suggested a moral life that was convenient to follow.
- Dhamma incorporated a way of life that included a number of ideals and practices.
- Abstinence from killing, respect to elder moderation in behavior, etc. were the ideals that could be follow by all people.

No matter to what religion they belonged. In conclusion it may be said that Buddhism was the personal religion of Asoka while Dhamma was the way of life that he wanted, as a king, the people in general to follow.

- Ashoka's dhamma meant 'righteousness'.
- The concept of dhamma is well discussed in Ashoka edicts which were the oldest surviving documents of Indian history.
- The edicts found scattered all over the Indian subcontinent are basically official pronouncement of policy, and instructions of Ashoka to his officials and subjects.
- Ashoka is said to have underwent a complete change of heart after Kalinga war during his eight regnal year and thus visualized 'Dhamma'.

The traditional policy of territorial expansion was substituted by Dhamma. As mentioned in Ashokan edicts, Dhamma calls for certain virtues to be possessed and the negative traits to be abstained from. It gives a moral guidance to the subjects and stresses on social harmony and religious tolerance.

- **Respect to elders**, parents teachers; equal treatment to all religious sects, ahimsa, moderate accumulation of wealth and judicious spending etc, are dealt with in detail in the Major Rock Edicts VII and III respectively.
- **The major rock edict IX** condemns rituals as 'the source of ignorance' and Ashoka appeals for non-sacrifice of animals in ceremonies and food habits.
- **The Major Rock Edict V** speaks about the welfare activities undertaken and the appointment of Dhamma Mahavratas to propagate Dhamma. Ashoka strived for the moral and spiritual development of his subjects. He even undertook pilgrimages and sent his kith and kin as missionaries to propagate Dhamma abroad.

2.6.3 Propagation of Ashoka's Dhamma

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Asoka took many steps for the propagation of Buddhism. First of all Asoka Propagated Dhamma among his subjects by showing them spectacles of the various classes of gods, their heavenly palaces, celestial elephants, etc. These were shown in different 'Samajas' or amphitheatres where the people were entertained with shows.

Second, the other measure that Asoka took to foster Dhamma was to encourage 'Dhamma Yatra', that is to say, encouraging visit to places associated with the life of Gautama Buddha. In his Rock Edict VIII Asoka tells us that 'Vihara Yatra' that is, tours for pleasure and hunting were of no use.

Asoka himself visited the 'Bodhi Tree' the tree under which Gautama received Enlightenment. Third, Asoka himself undertook the work of preaching Dhamma. This had a profound impression on the mind of the people. Fourth, king, after all, was a single individual and it was impossible for him to approach all people.

Asoka, therefore, thought it necessary to appoint officers who would fulfill the work that he had started. Thus a new class of officials, called Dharmamahamatras, was appointed.

It was their duty to look to the spiritual as well as material good of the people. Fifth, Asoka categorically mentioned that he set up 'Dharma-stambhas for promotion of Dhamma.

It is pointed out by Dr. Bhandarkar that Dharma-stambhas should not be supposed as some material pillars, but to be taken as works of charity. In fact, Asoka dug wells, grew mango orchards, built rest houses, and all his was done with the intent that men may follow the practices of Dhamma.

Sixth, Asoka clearly stated that his missionary zeal for the propagation of Dhamma was not confined to his own empire, but extended to many other kingdoms. It is particularly interesting to note the wide range of countries over which Asoka carried on his missionary activities.

2.6.4 Asoka and Buddhism

In the beginning Asoka was a follower of traditional religion like his forefathers. But horrendous experience of the Kalinga War completely transformed him and provoked him to engage himself in the service of people. He realised that conquest, bloodshed and materialism were futile. He embraced Buddhism and believed in peace, Ahimsa and non-violence. However, the historians advance divergent opinions with regard to Asoka's personal religion. In fact, historians like Fleet, Senart argue that Buddhism was not personal religion of Asoka. However, a sizeable group of historians confirm that Asoka was a Buddhist and took exhaustive steps to proclaim Buddhism both in India and abroad. It is certain that Asoka turned a Buddhist immediately after the Kalinga war, but he became an active devotee of Buddhism only two and half a years after conversion. In fact, from the following evidence, there is a strong reason to conclude that Asoka was a Buddhist.

- (i) Asoka's inscriptions are direct evidence to prove that he was a Buddhist.
- (ii) According to Bhabru Edict, Asoka conferred his faith on Triratna, i.e., Buddha, Dharma and Sangha.
- (iii) Asoka visited the holy places of Buddhism like Bodhgaya, Lumbini. In fact, pilgrimage to the places associated with the life of Buddha confirm his faith on Buddhism.
- (iv) Buddhist texts like 'Dipavamsa' and 'Mahavamsa' mention that Asoka embraced

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Buddhism. Ceylonese Chronicles corroborate the same.

- (v) Asoka built many stupas. He convened the Third Buddhist Council in order to define the canons of Buddhism and settle the differences of different sects of Buddhism. He took active interest in spreading Buddhism both in and outside India. Accordingly, he despatched missionaries to propagate Buddhism. Even he deputed his son and daughter to Ceylon to proclaim Buddhism.
- (vi) His personal conduct and philosophy amply prove that he scrupulously followed the main gospels of Buddhism.

The unchallenging evidence, discussed above give inevitable conclusion that Asoka was a Buddhist who followed and practised its teachings sincerely and with single-minded devotion. However, he had no religious bias. He allowed other religions to exist and flourish in their own ways. He was a person of wide vision who believed in religious toleration. He wanted to uplift the humanity on the basis of morality, religion and ethics.

2.6.4.1 Action taken to Spread Buddhism

Asoka took the following steps to propagate Buddhism. In fact, in the history of Buddhism, Asoka is credited, for initiating missionary activities both in and outside India. In addition, he took several tangible steps to proclaim Buddhism and to make it popular among the masses.

Upon embracing Buddhism, Asoka became a changed personality. He gave up conquest and imperialism and wanted to win over people by love, mercy and non-violence. He adopted the policy of 'Dharma Vijaya' instead of 'Dig-Vijaya.' He stopped hunting and eating meat, prohibited animal slaughter, forbade luxury and merry-making in the royal palace. He initiated several sound steps to serve and uplift the people. His endeavour was based on truth, non-violence, love and religion. His spotless personal example greatly influenced the people to follow the new faith.

2.6.4.2 A State Religion

Asoka became an active devotee of Buddhism after the kalinga War. In pursuit of uplifting the causes of humanity, he embarked upon the policy of gaining the people by 'Dharma' or Piety. With missionary zeal, he decided to circulate the teachings of Buddhism from person to person and place to place. His sole object was to win the hearts of the people by Dharma, service and welfare. Hence, he left no stone unturned to propagate Buddhism so that the people could easily accept and practise the same for greater benefits. Aiming at its boundless Hourishment, he made Buddhism a religion of the state, engaged the officials to carry its message far and wide and utilised the state machinery extensively to attract the people.

2.6.4.3 Administrative Measures

Asoka took many administrative measures which ultimately helped Buddhism to steal a march over other religions. He issued several royal decrees from time to time which indirectly highlighted the teachings of Buddhism. He abolished animal sacrifice in rituals, religious ceremonies and ordered that none should kill any animal on 56 specific days of the year. He instructed the officials to engage sincerely to the service and welfare of the people All these measures adopted confirmed his anxiety to serve the people and to lead a value-based life. Well religious intention backed by state machinery greatly helped Buddhism to rally the people together under its banner and drag the religion ahead.

2.6.4.4 Wide Publicity

Asoka took exhaustive steps to propagate Buddhism. In that Endeavour he got the main

teachings of Buddhism engraved on the rocks, stone pillars, caves etc. Extensive public display of the religion helped the people to know the inner significance of Buddhism and come closer to it. In fact, wide propaganda and publicity produced desired effect on the people, and directly helped Buddhism to gain popularity.

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2.6.4.5 The Third Buddhist Council and Religious Exhibition

Asoka organised the Third Buddhist Council in Pataliputra in 252 b.c. under the Presidentship of monk, Moggaliputta Tissa. The Council was attended by about 1,000 Buddhist delegates from all over the country and the proceedings continued for about nine months. The council succeeded in removing many prejudices and differences between the varying sects of Buddhism and made it a forceful and reformed religion. It gave a strong impetus to the reinvigorated missionaries and Bhikshus to work unitedly for the greater cause of Buddhism. The Council deputed missionaries to different countries.

The Fourth Rock Edict reveals that Asoka organised religious exhibitions intending to step up the intensity of Buddhism and to draw the people close to the state-patronised religion. Various religious pictures were shown in the exhibitions explaining various facets of Buddhism so that the people could ungrudgingly accept the new faith. Again, religious discussions arranged from time to time abundantly helped to spread Buddhism.

2.6.4.6 Dharma Yatras or Pilgrimage to the Buddhist Holy Places

Upon embracing Buddhism, Asoka set out to the holy places where Buddhism either originated or nurtured. From religious angle, these places were considered to be highly sacred for a follower of Buddhist faith. Asoka accompanied by Upagupta visited Gaya, Lumbini Garden, Sarnath, Kapilavastu and Kusinagar. The King's visit to these places generated a lot of interest among the people. They were inquisitive to know about Buddhism. The king's active interest in a religion and visit to places spontaneously attracted the subjects to follow the new faith. Incidentally, at Gaya, Lord Buddha received the light. At Lumbini Garden, Lord Buddha was born. At Sarnath, Buddha first preached his sermon and at Kusinagar Gautama Buddha breathed his last. These places were, in fact, fountain-heads of Buddhism. The King's visit to these places, obviously enhanced importance and sanctity of the places. Simultaneously, it brought glory and recognition to the new religion.

2.6.4.7 Appointment of Dharma Mahamatras

Asoka created posts of Dharma Mahamatras to strengthen the administration and to propagate Buddhism. They were supposed to tour and see that Buddhism received due care, understood and accepted by the people. Indeed, untiring efforts of Dharma Mahamatras served the purpose and Buddhism received encouraging response from all quarters. In the 13th Rock Edict Asoka stated. "I have appointed Dharma Mahamatras for all the religious sects. They will look after all the religions and religious places."

2.6.4.8 Building of Viharas and Stupas

Asoka built a large number of Viharas or monasteries all over the empire for accommodating the Buddha Bhikshus. Sumptuous grants were given to the Viharas for the development of Buddhism. Buddhist scholars were awarded scholarships, students who believed in Buddhist faith were sanctioned stipends. In short, several incentives were thrown open to the people so that they might accept Buddhism voluntarily. Similarly, Asoka got several Stupas constructed in his kingdom. Some of his splendid stupas are still existing.

2.6.4.9 Inscriptions of Asoka

The Inscriptions of Asoka disclosed the inner meaning of the new religion. Asoka got the teachings of Buddhism engraved on rocks, pillars, caves and other public places. As

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a result, the people could come in close contact with the religion and learnt the principles of Buddhism. In fact, the Inscriptions were the important source of information about the religion and the king's attitude towards the people. Undenyingly, the Inscriptions played a vital role to proclaim Buddhism and inspired the people to rely on the new faith.

2.6.4.10 Defender of the faith

In many Edicts, convincing materials were available which proved that Asoka was the defender of the Buddhist faith. In the Bhabru Edict Asoka laid down certain rules for the monks and the nuns for strict compliance. They were to recite certain passages daily, attend to prayers, etc. The monks whose conduct and demeanour were not above board, who violated religious norms, monastic rules and set bad examples were suitably penalised. In this way, Asoka refurbished the image and streamlined Buddhism. Evidently, these reformative measures attracted the people to have reliance on Buddhism.

2.6.4.11 Works of public welfare

Adhering to the principles of Buddhism, Asoka undertook the task of public welfare in massive scale. His unprecedented achievements in public service and matchless dedication to uplift the causes of humanity produced spectacular result. The people realised the motto of the new religion and its influence on the king. Its service oriented activities for the good of the people deeply impressed the people of all walks of life. They appreciated the greatness of the religion and carried no bias to embrace such an enlightened religion.

Asoka constructed many new roads throughout the length and breadth of the country. For the comfort of the travellers he planted shady trees, dug wells, constructed rest houses by the side of the roads at regular intervals. He constructed hospitals for the people and hospitals for the treatment of animals. He also got medical herbs planted for medicine. In short, his selfless service to the people made him highly popular. Simultaneously, Buddhism gained equal popularity and firm footing since the people understood that the king was indulging in unlimited public welfare under the influence of the new religion. In short, all such progressive activities directly or indirectly helped to propagate and flourish Buddhism.

In the 7th Edict, Asoka mentioned as follow, "Banyan trees have been caused to be planted by me on the roads, so that they will offer shade to beasts and men. Besides, mango groves have been caused to be planted by me for the same purpose. And I have caused wells to be excavated at intervals of half kosa and rest houses have also been caused to be constructed by me. Moreover numerous watering sheds have been caused to be set up by me at different places for the enjoyment of beasts and men."

2.6.4.12 Foreign Missions

Asoka organised religious missions to proclaim Buddhism in his kingdom. But he was not contented to see prosperity of Buddhism in his empire alone. Therefore, he despatched several religious missions to Burma, Egypt, Ceylon, Nepal, Syria and Macedonia. They carried the messages of Buddhism and succeeded in making a lasting impact of the new religion on those countries. In fact, the mission sent to Ceylon and Himalayan territories proved very successful. The Buddhist Bhikshu Majjhima was given the task of preaching Buddhism in Himalayan countries. His missionary zeal to highlight the gospels of Buddhism received encouraging response. In fact, the spell-bound populace enthusiastically welcomed the new religion. About eight millions of them embraced Buddhism. Similarly, he sent his son Mahendra and daughter Sanghamitra to Ceylon carrying messages of Buddhism. Indeed, the outcome of the mission was extremely encouraging. King Tissa of Ceylon alongwith his ministers and a large number of people embraced Buddhism. The missions, wherever carried messages of Buddhism, had left a mark of Indian culture and thereby promoted a cultural fusion between India and other countries.

Broadly speaking, Asoka like a torch-bearer carried the teachings of Buddhism far and wide, home and abroad, elevated the same to its zenith and made Buddhism a world religion. In fact, instead of getting to suffocate it within the narrow limit of his empire, he succeeded in spreading Buddhism in several other countries across the seas. Today, Buddhism, is almost in moribund state in its birth-place, nevertheless, its dazzles are still undimmed in Ceylon, Japan, Indonesia, Thailand etc. For such a marvel Asoka the Great deserves the credit. His untiring effort, matchless dedication had placed Buddhism in the high pedestal in the history of the religions of the world.

2.6.4.13 Successor of Asoka

Asoka died in 232 B.C. after ruling about 37 years. Most of the scholars believe that Asoka's successor was Kunala. He was the Governor of Kandahar during Asoka's reign. He was blind and unable to discharge duties effectively. Therefore, actual power went into the hands of his son Samprati Kunala who ruled about eight years (232 B.C. to 224 B.C.). Asoka's other sons were Tivara, Mahendra and Jaloka. During Kunala's reign, an independent empire in Kashmir was founded by Jaloka, son of Asoka. He was famous in Kashmir history as a propagator of Jainism and persecutor of the Buddhists.

According" to Dr V.A. Smith, none of Asoka's sons succeeded him. Because, Tivara and Jaloka predeceased their father and Kunala was blinded during Asoka's life time. Thus Asoka was succeeded by his grandsons. The Mauryan empire was partitioned. Dasarathi ruled the eastern side. Pataliputra was its capital. Samprati got the western side and Ujjain became its capital. Indeed, a good deal of controversy has confused the actual lineage of Asoka. Different evidence advanced by scholars are far from fool-proof. Rather, such apocryphal clue has only complicated the matter. However, all said and done, the successors of Asoka were weak, inefficient and faineant. The eastern line of Pataliputra somehow held out till about 184 b.c. Brihadratha was the last of the Mauryas. He was uprooted by Pusyamitra, a Brahman who founded the Sunga dynasty. In Kalinga, the Mauryas were succeeded by the Satavahanas. Although, the Mauryan empire collapsed during the second century b.c. but the rulers of Magadha continued to rule small territories even up to the seventh century A.D.

2.7 THE MAURYAN ADMINISTRATION SYSTEM

The Mauryan administration system was efficient and monarchical. The king of the Mauryan government was the head of the Mauryan empire administration. The administration of Mauryan Empire was decentralized and the administrative powers were divided into convenient administrative units. Though the units were administered on common system, they were under a rigid central control.

The Mauryan administration can be discussed under the following headings:

- Mauryan Centralized Administration system (Mauryan centralized government)
- Mauryan Provincial Administration system (Mauryan provincial government)
- Mauryan Administration Revenue System
- Mauryan Judicial System
- Mauryan Municipal Administration System
- Mauryan Military Administration
- Mauryan Administration of Ashoka the Great

2.7.1 Mauryan Centralized Administration

The administration of Mauryan dynasty was controlled by the King. The king was the supreme and sovereign authority of the Mauryan Empire Administration. He had the

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supreme executive, legislative and judicial power and functions in the government.

As the head of the executive, the Mauryan king maintained social order by punishing the guilty. It was his duty to protect the life and property of his subjects. He appointed ministers and other officers of the royal administration. He was to collect report from the spies. He was too laid down the general lines of policy to be followed by his subordinate officials. He was to plan different campaigns and movements.

The Mauryan king was the head of the judicial department. It was his duty to ensure justice to the people and redress their grievances. The Mauryan Empire was vast and this vastness debarred the king from personally disposing of all the cases. But he was the final court of appeal and issued ready judgment. The Mauryan kings remained whole day in the court to hear appeals from the people and in this course he even never cared for these personal amenities. King Asoka made many reforms in the judicial system of the Mauryan Empire.

The king had the sovereign power of law making and also the power and right to supersede usage and equity. In addition to all these the king was the supreme commander of the army and head of the Military administration of Mauryan Empire. The King was also the ultimate authority of the bureaucracy. The king also controlled the Mauryan empire revenue system.

It is true that the Mauryan kings enjoyed huge power. But, still there were several limits upon the royal authority. We can summaries these limitations in the following manner:

Firstly, Mauryan Empire before Asoka was essentially Hindu State. According to the Hindu concept the Supreme Sovereign of the State was Dharma or law and the king was merely its guardian.

Secondly, the Mauryan king never dared to defy the ancient laws and usage.

Thirdly, the king was aided and advised by a Mantri Parishad. In ordinary times he could ignore the advice of his ministers. But in times of emergency it was obligatory on him to hear the individual and collective advice of his ministers.

Fourthly, the Brahmins had great influence over the king and even the later dared not to disobey them. Instead he always had to look for their support.

Fifthly, as the powers of the Mauryan government was was decentralized in nature, the provincial governor and provincial ministers had right to be consulted by the king especially in all provincial matters.

The Maurya kings were benevolent despots and they were always eager to do well of their people. It was essentially for this reason that the king dared not to do anything which make people unhappy and alienate them.

This is so far the power and position of the king is concerned. But he could not run this vast empire alone. So he had to depend on various officials and ministers. The Mauryan King had to depend on the council of ministers for the success of the Mauryan administration. The Council of Ministers of Mauryan Empire were known as the Mantri Parishad.

The number of its ministers in Mauryan administration system were not fixed and varied according to needs. Kautilya favored a large Council as per the need to the empire. The members of the Mantri Parishad had to qualify themselves and show their ability by passing tests of religion, love, fear and money. In times of emergency the king consulted with the Mantri Parisad and always guided by the majority decision of the Mantri Parishad. Even the absentee ministers were consulted by letter correspondence.

For efficient central administration of Mauryan government there was an efficient

and well organized hierarchy of bureaucrats who filled the central executive, judicial and revenue offices. The functionaries of the Mauryan empire administration system were conducted by several departments, each of which was headed by a Superintendent (Adhyaksha). In order to conduct the smooth function of the department the Adhyaksha was assisted by a band of clerks, accountants and spies etc. Possibly the Mauryan central government had not more than 30 Superintendents or Adhyakshas.

In addition to these posts of Superintendents there were two other posts of high officials in Mauryan Administrative System—the “Samaharta” and the “Sannidhata.” The Samaharta was the collector general of revenue for the whole of the Mauryan Empire. Eventually he had control over the expenditure of the revenue as well.

Probably the post of Sannidhata was meant for the officer-in-charge of the treasury and store. There were also other officers like Army Minister, Chief Priest, Governor of forts, etc.

2.7.2 Mauryan Provincial Administration

For the Mauryan provincial administration, the entire empire was divided into two parts, such as

- The kingdom under the direct rule of the king and
- The vassal states.

The Mauryan territory that was directly ruled by the king was divided into a number of provinces of Janapadas. Asoka had at least five provinces whose Capitals were Taxila, Ujjain, Tosali, Suvarnagiri and Pataliputra. Each province was subdivided into number of districts and each districts was again subdivided into number units.

However, in addition to these centrally ruled Mauryan territories which were almost in the nature of vassal states and enjoyed a great deal of autonomy.

The Mauryan provincial administration was similar to that of the central administration. The Maurya emperor directly ruled the central and Eastern part of the empire, whereas the other areas were ruled by the provincial Governors.

There were also the district officers, reporters, clerks, etc. who helped the smooth running of the provincial administration.

In the provincial administration, the village was at the lowest unit.

2.7.3 Mauryan Administration Revenue System

Kautilya, the greatest political thinker of ancient India laid greater stress on the treasury as the smooth and successful functioning of the government depends on finance. The main sources of Mauryan revenue were taxation and rent. The land revenue was the main source of revenue collection. Though theoretically the rate of land revenue was 1/6 of the total produce, yet in reality much higher proportion was charged varying with the economic and local conditions. From the writings of the Greek writers we came to know that the whole of India was the property of the king and no private person had any private land nor were they permitted to keep any land of their own. In addition to land revenue there were other sources of revenue of the state. These included excise duty, forest taxes, water taxes, mines coinage etc. Much of the state revenue was expended on paying the army, the officials of the royal government, on charities and on different public works like irrigation projects, road construction etc.

2.7.4 Mauryan Judicial System

As regards the judicial system, the king was the head of the judiciary and he himself was the judge. He was the highest court of appeal and personally listened to appeals from the people. He appointed many judges subordinate to him.

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Ordinary petty cases were generally adjudicated by the village headman. However during Asoka's time many reforms were made in the judicial system. Granting of pardon etc. was introduced from that time.

2.7.5 Mauryan Municipal Administration System

There were the Municipal boards. The Greek writer Megasthenes had given us an account how the city of Pataliputra was administered. The Municipal Board was a board of 30 members divided into six committees. Each of these committees had five members to manage the administration of the city. The six committees had the following duties respectively. They were industrial arts, to take care of the foreigners, to register the birth and death of the citizens of Pataliputra, to look after trade and commerce, to supervise different manufactures and to collect excise duties and custom duties.

2.7.6 Mauryan Military Administration

It is also learnt that the war office of Mauryas were managed by a board of 30 members. They were also divided into six committees, each of the committees having five members to look after –

- Navy,
- Transport and supply,
- Infantry,
- Cavalry,
- The war chariots and of War elephants
- Mauryan administration of Ashoka the great

King Ashoka, also known as Ashoka the Great, introduced innovations and reforms in the Mauryan Empire Administration System. Ashoka improved every sphere of administration, executive, legislative and judiciary. He had reformed many aspects of the provincial Mauryan administration. He appointed many new officers in Mauryan government to contribute the tasks of public welfare. The Dhamma Mahamatras were appointed by him to look after the material and spiritual well being of the people.

But the most outstanding reforms of Mauryan Administration during the rule of Asoka was in the realm of judiciary. In introducing these reforms he was guided by humanitarian and paternal sentiment. He introduced officers to preach the principle of Dhamma. Asoka appointed a special class of officers known as the Dhamma Mahamatras. The principles of uniformity of penalty and uniformity of judicial procedure were also enforced in Mauryan Government.

2.7.7 Economy

The most important feature of the Mauryan economy was the state supervision and interference in every economic activity. But in the pre-Mauryan period there is no evidence of such state intervention. State primarily restricted its functions in the protection of the life and property of its subjects.

Another important aspect of the Mauryan economy was to extract revenue from different economic activities. In fact, the Mauryas were the first to extract wealth by a network of administrative officers.

It has been clearly pointed out by Kautilya in his Arthashastra that it is through the collection of revenue that royal treasury is filled. And a treasury full of wealth was essential for the success of the king.

The Mauryan economy was an expanding economy and the state took a keen

interest in consolidating and promoting its economic gains. Therefore, it not only controlled and coordinated the activities of the peasant manufacturers and traders, but also directly participated in the production and exchange of different commodities. The state, in fact, very strictly regulated the economic activities of the state.

The political unification of India, the creation of a strong centralized government, restoration of law and order, opening up the Western trade-routes by Alexander, measures taken by the Mauryan state for the promotion of agriculture, trade, commerce, industries, and crafts gave impetus to economic development during this period. The use of iron facilitated the clearing of the jungles and furrowed the land more deeply so as to exploit fully the potential fertility of the Ganga-Yamuna valley. The spurt in agriculture resulted in the accumulation of the surplus food necessitating its exports which was facilitated by the natural water-way of the Ganga. The resulting trade and commerce led to the rise of gradual urbanization. The famous cities of Saravasti, Saketa, Varanasi, Champa, Rajagriha, Ujjain etc., grew around market places and attracted artisans from far and wide with the allurements of easy availability of raw-material and ready market for the disposal of their handiworks. With the consolidation of the markets, cities multiplied in number and became the storehouse of wealth. These famous cities were so much coveted and prized by the adventuring spirits that they became the capitals of the famous kingdoms of the sixth century B.C. mentioned in the traditional lists of Sixteen Mahajanapadas. These centres of trade, commerce and craft were interlinked by means of trade-routes:

The 1st linked Champa with Varanasi via Rajagriha, from then on to Taxila

The 2nd linked Varanasi with Saravasti via Saketa and Ayodhya

The 3rd joined Varanasi with Ujjain via Kausambhi

The 4th linked these northern centers with the Deccan via Ujjain.

From Champa, the merchants were going to Suvarnabhumi (Arakan in Burma), Tamraparni (Ceylon), and the other islands to the east of India and Taxila became a culture cum commercial distributing centre of 'Indian Wares' to Central and Western Asia and further to West Africa and Europe. The background had been fully prepared by these spanning trade routes and expanding agrarian economy resulting in gradual urbanization for the rise of imperial polity manifested by the Mauryas.

2.7.8 Agriculture

The mainstay of economy during this period was agriculture. The Mauryan state founded new agricultural settlements to bring virgin land under cultivation. People from overpopulated areas and prisoners of war were brought to these new settlements to work on the fields. These villages belonged to king and were looked after by government official called *sitadhyaksha* or superintendent of agriculture. Besides state farms, there were individual land holders who paid a variety of taxes to the state. The *bali* or land tax was the main item of revenue, levied at the rate of one sixth of the produce. Peasants had to pay many other taxes like *pindakara*, *hiranya*, *bhaga*, *bhoga* etc. Principal crops were various varieties of rice, barley, millet, wheat, sugarcane and most of the pulses, peas and oilseeds. The importance of irrigation to Indian agricultural conditions was fully recognized. In certain areas water for irrigation was distributed and measured. The *Arthashastra* refers to a water tax which was regularly collected wherever the state assisted in providing irrigation. One of Chandragupta's governors, Pushyagupta was responsible for building a dam across a river near Girnar in Western India. The construction and maintenance of reservoirs, tanks, canals, and wells were regarded as part of the functions of the government.

Cattle breeding in the peasant society had become an adjunct of agriculture, but there were still certain pockets which pursued pastoral economy. Herds were maintained

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not only by the state but also by wealthy individuals. Fishing and hunting were practiced as a means to livelihood especially by the tribes and practitioners of these occupations had to pay one-tenth of their catch to the royal storehouse. Ashoka stopped the indiscriminate killing of animals and introduced many measures for the welfare of people who practiced it.

2.7.9 Crafts and Industries

Under the Mauryas, the most important industry was that of mining and metallurgy and the state had a monopoly over it. It formed the base of political as well as economic power of the Mauryas. It was looked after by the superintendent of mines who was to be an expert on mining and metallurgy. He was to develop the old mines and discover the new ones. The ores of gold, silver, copper, lead, tin, iron and Bitumen were worked upon. Literary evidence suggests that working of iron was much more expensive than any other metal. Lohadhyaksha was the officer in - charge of iron working. The production of minerals and mining trade was the monopoly of the state. Thus, metals and mining were the most important factors in the Mauryan state policy. Kautilya points out that the origin of treasury is mining, and of force in treasury, and earth is acquired by means of treasury and force. It controlled everything from processing to refining. One of the more notable results of the political unification of the sub-continent was the security provided by a stable and centralized government which patronized expansion of various, craft guilds and trade.

The Mauryan state directly employed some of the artisans such as armours, shipbuilders, etc., who were exempted from tax but others who worked in state workshops were liable to tax. Craft activities were also a major source of revenue to the state. Artisans living in towns had to pay taxes either in cash or kind or work free for the king. Traders and artisans were organised in associations called srenis or guilds. The Mauryas were responsible for introduction of iron on a large scale in different parts of the subcontinent. They maintained a monopoly over production of iron, which was in great demand by the army, industry and agriculture. It was done through the official called loha-adyaksha.

The Mauryan Empire regulated trade and industry with the help of a number of superintendents.

- The superintendent of commerce was in charge of the market.
- The superintendent of weights and measures used to enforce correct weights and measures.
- The superintendent of ships looked after water communications and collected ferry dues.
- The superintendent of tolls collected customs on commodities for internal and external commerce.
- The superintendent of weaving looked after weaving industry mainly run by women laborers.
- The superintendent of liquor managed the state wine shops. State had the complete monopoly over the trade of salt and liquor.

2.7.10 State Control

The Mauryan state itself was a vast industrial and trading concern and employed in its service vast numbers of artisans and merchants. Hence, the state had to control its entire trade to safeguard its own interests. Regulating the relations between State concerns and private enterprise was a delicate task and the Arthashastra gives clear evidence

that the Mauryan state performed this task with considerable success. Apart from the incomes of the economic undertaking, the state also imposed a large number of customary and new taxes. Economy of Mauryan Empire witnessed a well organised tax system devised by Kautilya. A tax was levied on all manufactured articles and the date was stamped on them. The merchandise goods were strictly supervised. Various factors such as current price, supply and demand, and the expenses of production were considered by the superintendent of commerce, before assessing the goods. Land revenue was the major source of income for the government. Land was subjugated to regular assessments and an appropriate level of tax was levied. Industries and enterprises were also taxed. The main tax was the 1/6 of the production of the peasants as the royal share. The state also received 1/4 and sometimes 1/2 from the share croppers who received land and other agricultural inputs from it. The peasants also paid another tax known as the pindakara, imposed on the groups of villages. The old Vedic Tax bali, perhaps is now regarded as the religious tax. Kara was a tax received from flower and fruit gardens. Senabhakta was a tax received from the villagers in the form of supply of provisions to the army when it passed the villages concerned. Hiranya was known as payment in cash. The peasants had also to pay irrigation cases.

There were also customs and ferry dues. Taxes were also imposed on the guilds of urban artisans. Even those numerous taxes could not meet the mounting expenditure of the state. So, Arthashastra provides for large real emergency taxes. One such measure was the imposition of pranaya or the gifts of affection which was to be levied only once on peasants and which amounted to 1/3rd or 1/4th of their produce. Arthashastra also provided for compulsory raising of a second crop by the cultivators, a share of which went to the state. According to Patanjali and Kautilya, the Mauryan emperors also collected money by setting up images of Gods for worship. Jaina tradition also suggests that Kautilya issued 800 million karsapanas i.e. Kautilya debased silver coins to fill up the treasury. All such emergency measures enormously increased the income of the Mauryan State.

Thus the whole Mauryan economy was geared up to meet the financial requirements of the state. Most of these taxes were collected in kind. From the nature of the duties of the superintendent of mints, it appears that money economy under the Mauryas, made considerable progress. But the growth of money economy, at the same time, was retarded due to Mauryan policy of depositing half the amount in treasury, and not investing them for productive purposes. Moreover, taxes levied on all varieties of commodities also retarded the progress of money economy.

In spite of such limitations, the Mauryan age, witnessed significant economic progress with giant strides in the expansion of agriculture and mining industry. Development of transport and communications helped in expansion of inland trade and commerce.

2.8 MAURYAN ART AND ARCHITECTURE

The art and architecture of the Mauryan Empire constitutes the culminating point of the progress of Indian art. The period was marked by mature use of stone and production of masterpieces. In the Mauryan period stone culture dramatically emerged as the principal medium of Indian artist. Some evidence is put forward by John Irwin that Ashokan columns may be the culmination of the ancient pre-buddhist religious tradition in India of a cult of one cosmic pillar of axis mundi.

To say that a school of art fully matured and created lasting monuments in stone suddenly appeared is not believable. In all likelihood it could have been anilines importation. In particular the city of Persopolis of the Achaemenids influenced Mauryan sculpture

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and architecture.

The finest examples are those of Ashoka particularly his monolithic pillars. Each pillar consists of one piece of stone supporting a capital made of another single piece of stone. The stone is highly polished and gracefully proportioned while the polish was lustrous. Even this polish pales into insignificance before the high artistic merits of the figures that exhibit realistic modeling. The four lions on the Sarnath pillars and the smaller figures of animals in relief of the abacus exhibit remarkable beauty and vitour. The jewellery of the Mauryan period also exhibits a high degree of technical skill and proficiency.

The inscriptions of Ashoka were placed either in sacred enclosures or in the vicinity of towns. The most commonly found remains are the animal capitals of the pillars. They were generally cut from a single block of stone and stood in an enclosure, which was regarded as sacred.

Stones from the regions of Mathura and Chunar near Benaras were carried to different parts of the empire because of improvement in communications. Not only stones were sent but even craftsman accompanied them. The uniformity of style in the pillar capitals suggests that they were all sculpted by craftsmen of the same region. Only at Taxila, possibly the local craftsmen were employed.

Apart from the monolithic pillars, Ashoka built a large number of Stupas. Traditions puts their number as 84,000. Some of them were later enlarged and enclosed. Possibly the Stupa and Sanchi dates back to Ashoka. According to Sir John Marshall the oringinal birck stupa built by Ashoka was probably of more than half the present dimension. The present railing also replaced the older and smaller one.

A few Mauryan figure sculpture have come to light - identifiable by the Mauryan polished surface. Two headless metal torsos have been found at a site near modern Patna. They are the earliest known sculptures of Jain Tirthankaras.

Perhaps the figures of Yakshi and Yaksha found at Didarganj and Patna respectively belong to the Mauryan period. These figures seem to be emerging into reality from a melting volume of stone. They have smooth glossy faces, but they have meticulously carved details of jewels and fabrics. Some scholars think that they were the best of Mauryan products.

The last Mauryan / Sunga figure is that of the eight feet high image found at Parkham near Mathura. It is made out of cream sandstone. A bolt from Rampurva (2 feet in length and barrel shaped) is an excellent specimen of the copper-smiths' art.

A more important heritage of the Mauyas are the caves built out of Barbar caves. They were built for the Ajivika sect by Asoka. They are 19 miles away from Bodh Gaya. Smith records the art of of polishing hard stone was carried to such perfection that it is said to have become a lost art beyond modern powers. The two sites of Barabar caves are polished like glass mirrors. The two widely know wood-imitating chambers are the Lomas Rishi and Sudama caves. The details of these caves show a clear influence of wooden architecture. These rock-cut chambers mark the beginning of great tradition which would spent more than 1000 year in the history of Indian Art.

The earliest examples of the rock-cut method like some aspect of the Lomas Rishi caves in Barabar show that they were faithful copies of the stone structure of wood and thatch. The use of bamboo in roof construction is to be seen in the Gopi cave during the reign of Dasaratha.

Contemporary Greek writers refer magnificent halls in the capital city of Patliputara and regard them as the fines and grandest in the world. All of them have perished but in

recent times excavations have laid bare their ruins. The extant of architectural remains consists mainly of the rock-cut chaitya halls in Barabar hills and the neighboring localities in the Bihar Sub-division of Patna district. Although the caves were excavated from hardest rocks they are polished like glass.

Terracotta objects of various sizes have been found at Mauryan sites. The tradition of making mother-goddesses in clay, going back to the prehistoric period is revealed by the discovery of these objects at Mauryan levels at Ahicchatra. Many have stylized forms but technically they are most accomplished in the sense they have well defined shapes and clear ornamentation.

Also, a large number of terracotta's have been found near Taxila consisting of primitive idols, votive reliefs with deities, toys, dice, ornaments and beads. Toys were mostly wild animals, the elephant being a particular favorite.

Classification: The Mauryan period art and architecture, except that of the relics of the palace of Chandragupta Maurya at Pataliputra, is mainly Asokan. It can be classified into Stupas, Pillars, Caves, Palaces and Pottery.

Mauryan Stupas: The Stupas were solid domes constructed of brick or stone, varying in sizes. Samrat Ashoka built numerous stupas scattered over the country. But most of the stupas have not survived the ravages of time. The Ashokan stupas were constructed to celebrate the achievements of Gautama Buddha.

The Sanchi Stupa as a hemispherical dome, truncated near the top, surrounded at the base by lofty terrace to serve as gate for procession.

The special point of stupa architecture was the dome. Inside the stupa, in the central hall was preserved some relics of Buddha in a casket. The inner wall of the stupas was built either by terracotta bricks or by sun-burnt bricks. The top of the dome was decorated by a wooden or stone umbrella denoting universal supremacy of Dharma. There was a parikrama encircling the stupa.

One of the most notable and vast stupa was built at in Ceylon. The Amaravati Stupa was built in the Lower Krishna Valley in 200 A.D. Besides there were Nagarjunakonda, Ghantasala stupas built in later ages in South India.

Mauryan Pillars: The most striking monuments of Mauryan art are the celebrated Pillars of Dharma. These pillars were free standing columns and were not used as supports to any structure. They had two main parts, the shaft and the capital. The shaft is monolith column made of one piece of stone with exquisite polish. The art of polishing was so marvelous that many people felt that it was made of metal.

Some of the Pillars mark the stages of Asoka's pilgrimage to various centers of Buddhism.

The Sarnath: The Sarnath column has the most magnificent capital. It is a product of a developed type of art of which the world knew in the Third Century B.C. It has been fittingly adopted as the emblem of the Modern Indian Republic. It is seven feet in height. The lowest part of the capital is curved as an inverted lotus and bell shaped. Above it are four animals, an elephant, a horse, a bull, a lion representing the east, south, west and north in Vedic symbol. The four animals engraved on the abacus have been variously interpreted.

Mauryan Caves Architecture: The pillars are not the only artistic achievements to Ashoka's reign. The rock cut caves of Ashoka and that of his grandson Dasaratha Maurya constructed for the residence of monks are, wonderful specimens of art. The caves at Barabar hill in the north of Gaya and the Nagarjuni hill caves, the Sudama caves, etc. are the extant remains of cave architecture of the Mauryan era. The Barabar

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hill cave was donated by Asoka to Ajivika monks and the three separate caves at Nagarjuni hills were by Dasharatha to them. The Gopi cave was excavated in the reign of Dasaratha in a tunnel like fashion. The caves are chaste in style and their interior is polished like mirror. The pillars inside these caves appear to be superfluous. They perhaps are legacies of wooden architecture that preceded the stone or lithic architecture.

2.8.1 Trade Routes

From the Arthasastra, it is learnt that the ruler paid great attention to improve roads and market towns. From a reliable source it is confirmed that costlier merchandise were plentiful in the Himalayas. Consequently, route leading to the Himalayas was better and developed than those leading to the Dakshinapatha. However, from Kautilya's writing it is gathered that diamonds, conch shells, pearls, precious stones were plentifully available in the south. Hence, balance of trade gradually shifted to the south and internal trade increased considerably. Obviously, to cope up with the volume of trade and movements of cargo, better roads and communication facilities had to be evolved. The government controlled and maintained all internal roads and also sea routes. The royal highway connecting Pataliputra with the north-west province was important and kept opened throughout the year. It was popularly known as the Grand Trunk Road. Megasthenes states about sign, boards by the road sides indicating distances and turnings. It reveals that there were three main groups of routes from India to the west. First, a road ran from Taxila to Kabul, thence to Bactria and finally touched the southern area of the Caspian Sea and terminated to the Black Sea. This route was comparatively unimportant. The second group consisted of three routes, which connected Herat, Ekbatana, Kandahar, Susa and Seleucia via the Persian Gulf. The last was the sea route on the west coast of India touching the ports located in the south-eastern coast of Arabia. In fact, Broach and Sopara on the west, coast and Tamruk (Tamralipt) on the east coast were important ports.

2.8.2 Ship-Building

The Indian knew ship building and indulged in maritime trade right from the ancient days. Evidently, at the time of Alexander's retreat the Indian chieftains supplied a large number of boats and ships to the Greek conqueror. It reveals that the Mauryan rulers maintained ship building as a state monopoly. The ships were big, and could easily accommodate hundreds of passengers. The Pali books indicate that services of shore-sighting birds were utilised whenever required.

2.8.3 Trade and Commerce

Trade and commerce with the foreign countries were strictly regulated. Various ordinances were passed and passport system was introduced. India exported indigo, various spices like pepper, cinnamon, malabathrum, cotton, silk, rare woods and various medicinal substances. Brisk inland trade continued. Cargo were transported in carts and caravans. In addition to the land routes, there were inland river routes. However, bridges were unknown and instead, there were ferries and boats. Kautilya did not prefer water route to land route. He felt that water route was unable to provide immediate relief in case of danger. Secondly, it could not be used in all weather. He classifies sea-route into two. The routes lying along the coast belonged the first group. The routes connecting the foreign countries through the mid-ocean fell in the second category. However, he preferred the second group, as it fetched greater profit. Trade was organised in merchant-guilds. The chief of the guilds was called Setthi. There used to be a Mahasetthi who used to hear disputes among the guilds. The eighteen chief handicrafts such as wood-work, metal work and jewellery, etc. were organised in guilds. The President of each guild was called Pramukha.

2.8 .4 Textiles

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Textile manufacture was one of the major industries. The Malavas presented a vast quantity of cotton cloth along with other materials to Alexander. The Pali books highly speak of Banaras cloth and cloth from Sibi countries. Besides Kasi, Vanga, Vatsa and Mysore were famous for producing finest cotton fabrics. Silk and silk-cloth and gold embroidered cloth were abundantly manufactured. Well-to-do people used to use gold embroidered cloth on festive occasions. Hide and skin were major items of export. The Himalayan region was the premier in producing superior quality of hide and skin. Many eminent foreigners praised highly the skill of Indian leather-workers. Forest product and various superior quality of woods dominated the international market. In fact, wood-work and ivory carving reached a high level of efficiency. Chandana, agaru, sandal wood etc. had a good market. For ship-building, quality timber was abundantly available.

Stone cutting was another developed art and industry, in which the Mauryan craftsman made a mark. The excellent stupas, pillars with fine workmanship, surviving today unmistakably prove the progress of the art and enviable performance of the craftsmen of the times. The gigantic monolithic pillars and columns of Asoka's time with their fine and accurate engraving confirm high degree of engineering and technical skill attained during the time. Again, the hard stone walls of the rock caves were polished so skilfully that the walls shown like mirrors. Indeed, the art of polishing attained an extraordinarily standard, which is perhaps very rare even in modern days.

2.8.5 Mining and Metal Work

Kautilya leaves many details of metallurgical interest and discusses about manufacture of copper, lead, tin, bronze, iron, etc. Evidently, the Malavas gave Alexander a hundred talents of 'White Iron Steel.' The bell-shaped part of Asokan pillar of Ramapurva joined to the shaft by a bolt of pure copper of the form of a barrel, which is an excellent specimen of the coppersmith's art. Eloquent testimony is available that gold vessels, drinking cups, tables, chairs and ornaments fitted with emeralds, rubies, pearls and other precious stones were frequently used. Various types of pearl, necklaces and ornaments for the head, arms, feet and waist were avidly used. Kautilya has discussed about pearls, jewels, diamonds, coral from the standpoint both of the jeweller and trade. Undoubtedly, the art of jewellery highly developed and stole a march over several other contemporary arts.

2.8.6 Other Industries

Many other industries including dyes, gums, drugs, perfumes, potteries developed considerably. War armaments like swords, shields, armours, war-chariots and many jantrani (machine) were manufactured in large quantities. Many industries earned, high fame and distinction. Many craftsmen impelled by the impetuosity of specialisation and expertise bagged enviable reputation and recognition. However, manufacture of military equipments was a state monopoly.

2.8.7 State's Control on Industry and Trade

The state owned many industrial and trading units. A large number of artisans, merchants, workers were employed in these organisations. The state, therefore, had to adopt effective devices and means to safeguard the interest of the units. In addition, the state had to regulate the relations between the units owned by the state and the private enterprises. From the Arthashastra, it is crystal clear that the Mauryan state performed this delicate task with considerable success.

Every trader had to procure a trade licence. The Superintendent of Commerce fixed the wholesale prices of goods keeping a reasonable margin of profit. Speculation and steps to influence the price level were disallowed. The state used to control weights

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and measures. Import, export duties, octroi and excise duties on goods were prevalent. While regulating trade the state used to ensure security and protection to the trade and industries. The goods were guarded during the transit and in case of loss, it used to be made good by the state. Artisans and craftsmen were specially protected. Offences against them were taken seriously. Offenders were drastically penalised. Smuggling and adulteration were mercilessly dealt with.

2.8.8 Labour

The landless agricultural labourers used to work as domestic servants. They used to get free food and meagre wages in cash. Industrial labour included free labourers. They used to work in serfs on the basis of a wage contract. The Indian *dasa* was not similar with the Greek *doulos*. In fact, *dasas* in India could own land and property and earn for themselves. The slavery prevalent in Greece was entirely different. There, the slaves had no freedom and lived at the mercy of the masters. In some edicts of Asoka, reference of both categories of labourers are available. In fact, special emphasis has been given on treating them with kindness.

2.8.9 Currency

A horde of coins was found in Gorakhpur at the site of ancient Pataliputra. These are considered to be the earliest punchmarked silver coins, perhaps issued by the Nandas,. There after, punch-marked silver coins found all over India. Usually, on one side of these coins, different types of punch-marks of different times are available. However, it is difficult to unearth the meaning of the symbols and punch-marks. Specimens in copper are rare. These coins are either square or oblong, but seldom circular. The marks 'hill and crescent' and peacock generally distinguish the coins of the Mauryan era. Broadly, the coinage was improved in succeeding epochs under the Greek and Roman influence.

2.8.10 Social Condition

1. Varna or Casteism : Kautilya's Arthashastra and Megasthenes's accounts throw a flood of light on the society and social condition of the country under the Mauryas. Varna or the caste-system and Ashrama or stages of religious discipline, took a definite shape in the Mauryan period. The Brahmins were highly respected and considered to be a privileged class. They used to enjoy many special concessions. The Sudras formed the lowest class of the society. Accounts of the Greek writers reveal that none .was allowed to marry out of his own caste, and permitted to adopt any profession or art except his own. For example, a soldier could not become husbandman or an artisan or a philosopher. The rise of heterodox creeds, the influx of foreigners, perhaps, needed to enforce casteism rigidly. However, matrimonial alliance between the Indian rulers and foreign potentates were not unknown. According to the Greek writers, the old distinction between the Vaisya and the Sudras gradually diminished and languished in the limbo of oblivion. In its place, new distinct castes in shape of husbandmen, herdsmen and traders emerged. A new group of physicians and two new official castes namely the overseers and the councillors came into existence. Arguably, the councillors correspond to the *Amatya kula* described in the Pali text. According to Megasthenes, the Indian society was divided into seven classes, like philosophers, the husbandmen, the herdsmen and hunters, the traders and artisans, the soldiers, the overseers and the councillors.

Philosophers lived in simple style and devoted to serious studies and discourses. Some of them became wood-dwellers and subsisted on leaves and fruits and instead of using garments, wore robes made of the bark of trees. Needless to say, it corresponds to Vanaprastha of the Hindu caste-system or varna. The people generally led a simple and frugal life, devoted to religion.

2. Slavery: Slavery was an established institution. However, it was fundamentally

different from the slavery prevalent in Greece. From authentic source, it is gathered that buying and selling of women were very much in vogue. The care of the king's person was entrusted to women who were brought from their parents. Arrian states, "All Indians are free and not one of them is a slave." Strabo quoting Megasthenes states that none of the Indians employed slaves. But many scholars assert that Megasthenes might have been misled. Secondly, he could not critically study the system prevalent in various corners of the country. Asoka in his edicts has drawn a distinction between the slave and hired labourers and advises to treat them kindly.

3. Position of women : Women were not placed in high esteem. They hardly occupied a respectable position in the society. Polygamy was indulged in, especially in the ruling and nobility classes. Married women were denied the privilege of taking part in important ceremonies with the husbands. Women generally lived in purdah, and within the four boundary walls of their houses. It was generally accepted that the women should have no independence. But, that many accomplished royal ladies guided the affairs of the states is clearly evident. It is in record that a woman killed the king when the latter was drunk and as a recognition of her service, she became the wife of the successor. In royal families, the wives equally took part in rituals and ceremonies along with their husbands. The second queen of emperor Asoka took a prominent share in religious activities along with the emperor. It is also clear that many royal ladies steered the affairs of the states on behalf of their children. The care and security of the king's person was entrusted to women. Prostitution was permitted in the society. While selecting a sophist, caste bar was ignored. Bindusara, the Mauryan ruler requested his counterpart of Greece to send a sophist along with wine and other precious commodities. However, there were many women who were well-versed in dance, music, painting and other arts. The system of remarriage and divorce were in practice. Women were allowed to marry again under certain circumstances.

4. Food: The principal food of the people was rice pottage. Kautilya's narrative gives clear idea about food habits of the people. These were both vegetarians and non-vegetarians. Majority population used to take meat. Eatables like rice, vegetables, milk, meat, bread used to be sold in the market. Before Asoka embraced Buddhism, animals and birds used to be slaughtered in the royal kitchen. The people consumed wine on festive occasions. However, there was general restriction on drinking. It was condemned and considered to be an immoral act. However, culinary art greatly advanced in those days and the people appreciated delicacies.

5. Games and Amusements: Festivals and merry-gathings were common. The king used to encourage the participants by actively patronising such occasions. Hunting was a popular sport. Animal combat, fight between men and animals were important sports and amusements. In such a risky encounter, shedding of blood was not unknown. Wrestling, chariot races with teams of oxen and horses, horse racing, etc., were quite popular. Gambling was a source of enjoyment. There were many gambling houses, licenced and controlled by the government. Women played with balls, popularly known as 'Kanduk Kriya.' It was generally played in women's gardens. Besides singing, dancing, instrumental music were popular and encouraging means of recreation. There were many seasonal festivals like Vasantotsava, Dipawali, flower festival, etc. Some inscriptions of Asoka give a detailed account of Vihar yatra or the tours of recreation organised by the king. Samajas were often held in honour of a deity, e.g. Brahma, Pasupati-Siva or Saraswati. In such assemblies joust of arms was very prominent, in which wrestlers from various parts of the country used to participate.

Dice play was liked in many quarters though its evil was expressed and focussed from time to time. The Buddhist writers confirm about a game played on boards with

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eight to ten rows of square form. In fact, The hint corroborates the mechanism of chess play. The Jaina tradition also supports the chess play. It appears that it attained high popularity at the time of Bana, the composer of Harsha Charita, and Ratnakara, the author of the Haravijaya written during the ninth century a.d.

6. Conditions of the People

The people led a simple and unostentious life and were inspired by the sense of morality and idealism. In fact, Megasthenes's accounts leave an eloquent testimony on this count. Examples of honesty, bravery and truthfulness were not remote. The people were God fearing, religious and paid a tangible heed on sin, Punnya, Swarga, Narak and Parlok, etc. Theft was very seldom and crime was negligible. The people drank wine only on special occasions. The law were simple. The soldiers when not engaged in active service passed time in idleness and drinking. They had no suits about pledges or deposits, nor did they require seals or witnesses. An atmosphere of peace and security prevailed. The people could easily leave their houses and properties without any guard. A mutual trust and friendliness made life happy and conducive. The people never hesitated to confide in each other. In short, they broadly believed in purity, truth and ideal life. They adhered to a moral code of conduct and practised a value-based life.

2.8.11 Religious Conditions

The Vedic religion, Jainism and Buddhism were the main religions, flourished during the Mauryan Age. In addition, several minor religions including Ajivikas were also in existence. In the beginning the worship of the Vedic Gods like Indra, Varuna, and the Nature continued. The river Ganga, was worshipped, which is confirmed by many classical writers. Sacrifices were widely practised and the services of the philosophers were requisitioned for the purpose. Vaishnava reformers gave a new ethical meaning and thereby tried to spiritualise sacrifices. No doubt, Brahmanism received a setback due to the meteoric rise of Buddhism, but it witnessed revivalism during the reign of Pusyamitra Sunga. In fact, Brahmanism continued dominating. Kautilya's accounts are clear that the Brahmins enjoyed many concessions. They were placed in high esteem. They used to conduct religious ceremonies. In the second century b.c. Bhagavatism or Vaishnavism came to lime-light and made a dent in the society.

Chandragupta was undoubtedly a follower of the Vedic religion in the beginning. From the Jaina tradition, it is learnt that he embraced Jainism at a later date. Undenyingly, Jainism flourished at Mathura during the early centuries of the Christian era, along with the cult of the Nagas or Serpent deities like Dadhikarma. According to Megasthenes, the Brahmins of the mountains worshipped Siva, while the people of the plain worshipped Vishnu. Asoka worshipped the Lord Siva, before he converted himself to Buddhism. Kautilya advocates use of power of the state to check the tendency of the people to live as wandering ascetics. Perhaps, such a so-called asceticism was a pretext to avoid responsibility and hard duties. In fact, the government took steps to prevent persons from resorting to asceticism till they fulfilled all social obligations including suitable arrangements for the dependents. Pilgrimage to holy spots and dedication to Naga pratirnas was quite common.

Emperor Asoka after embracing Buddhism became its great patron. He made Buddhism a state religion and took exhaustive steps to popularise Buddhism. The simplicity, equality, etc., of Buddhism and its immunity from rituals and dogmas attracted the people in large number. Indeed, its moral and ethical code greatly impressed the people. In no time, it flourished far and wide and spread in many foreign countries. Brahmanism

received a setback and came to a moribund state. However, the influence of Buddhism did not last for an unlimited period. The revival of Hinduism in course of time ultimately elbowed out the Buddhism. Today, Buddhism is virtually non-existent in the land of its birth and origin.

The most remarkable feature in the religious horizon of the Mauryan period, is religious toleration. In fact, several strong and important religions existed side by side. Some rulers became the ardent patrons of the religion of their choice. They took numerous steps to propagate its gospels, utilised state machineries, deputed missionaries to distant places. Yet, none thought of persecuting the rival religions or their followers. In fact, prevalent religions mutually co-existed without hurting each other and each one flourished simultaneously in its own way adding to its lustre and glory. In this context, the Mauryan age had exhibited an extraordinary example and established a finest tradition in the religious world.

2.9 SUMMARY

The Asokan pillar at Sarnath from which independent India has adopted its state emblem is a major work of art. Asoka also constructed stupas or solid dome-like structures of rock or brick for preserving the relics of Buddha. Some of the stupas survive to this day. Mauryan art is also represented in caves built during the period. Caves were constructed out of hard, refractory rock and were used as assembly halls on religious occasions. It was in the Mauryan times that burnt bricks were first used in north-eastern India. Despite the extraordinary creations in the field of art and intriguing questions remains. The artist of Ashoka must have relied on a long history of artistic traditions. How is it then that we came explain the almost total absence of specimen of Indian art before 250 B.C. We have to wait for this answer to be provided by archaeologists. So far, there is no evidence that the art tradition of the Indus valley had any kind of impact on the Mauryan achievements. Indian artist of the Pre-Mauryan period possibly worked both on stone and wood. The stone art effects have not been excavated so far. We many suppose Indians first began to work on stones during the Mauryan period. The results of their endeavor to change from wood to stone are seen in the crude inferior pillars of Ashoka, while those which are excellent and highly finished were the works of foreign artists employed by the great emperor. According to this theory this trend continued long after Ashoka until a full-fledged Indian art was developed under the imperial Guptas.

2.10 KEYWORDS

Political Conditions in Ancient India: Political system is a social institution which deals with the governance of a state and its relationship with the people. Political system of a country denotes the structure of institutions that constitute the State and its Government. The Panchayat system used to serve since ancient times and at present it has become an integral part of Indian Administration.

Magadha Empire: Magadha Empire lasted from 684 B.C - 320 B.C in India. The two great epics Ramayana and Mahabharata mention the Magadha Empire. It is said that the Shishunaga dynasty founded the Magadha Empire. Some of the greatest empires and religions of India originated here. The Gupta Empire and Mauryan Empire started here. The great religions, Buddhism and Jainism were founded in Magadha Empire. Read on to know about the history of Magadh Empire.

Rise of Magadha: Between the sixth and the fourth centuries BCE, Magadha (in present day Bihar) became the most powerful Mahajanapada. The Haryankas: Magadha

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came into prominence under the leadership of Bimbisara (542-493 BC), who belonged to the Haryanka dynasty. He strengthened his position by marriage alliances.

The Sisunagas: Udayin was succeeded by the dynasty of Sisunagas, who temporarily shifted the capital to Vaishali. Their greatest achievement was the destruction of the power of the Avanti with its capital at Ujjain. This brought to an end the 100 years old rivalry between Magadha and Avanti.

The Nandas: The Sisunagas were succeeded by the Nandas, who proved to be the most powerful rulers of Magadha. So great was their power that Alexander, who invaded Punjab at that time, did not dare to move towards the east. The Nandas added to the Magadhan power by the conquering Kalinga from where they brought an image of the Jina as a victory trophy.

Haryanka dynasty: Haryanka dynasty founded the Magadha Empire in 600 BC, whose capital was Rajagriha, later Pataliputra, near the present day Patna. This dynasty lasted until 424 BC, when it was overthrown by the Shishunaga dynasty.

Shishunaga dynasty: The Shishunaga dynasty founded the Magadha Empire in 430 BC, whose capital was Rajagriha, later Pataliputra, near the present day Patna in India. This dynasty was succeeded by the Nanda dynasty.

Nanda dynasty: The Nanda dynasty was established by an illegitimate son of the king Mahanandin of the previous Shishunaga dynasty.

Maurya dynasty: In 321 BC, exiled general Chandragupta Maurya founded the Maurya dynasty after overthrowing the reigning Nanda king Dhana Nanda to establish the Maurya Empire. During this time, most of the subcontinent was united under a single government for the first time.

Sunga dynasty: The Sunga dynasty was established in 185 BC, about fifty years after Ashoka's death, when the king Brihadratha, the last of the Mauryan rulers, was assassinated by the then commander-in-chief of the Mauryan armed forces, Pusyamitra Sunga, while he was taking the Guard of Honour of his forces. Pusyamitra Sunga then ascended the throne.

Alexander's Invasion: In the fourth century B.C. the Greeks and the Iranians fought for the supremacy of the world. Under the leadership of Alexander of Macedonia the Greeks finally destroyed the Iranian empire. Alexander conquered not only Asia Minor and Iraq but also Iran. From Iran he marched to India, obviously attracted by its great wealth.

2.11 REVIEW QUESTIONS

1. What were political conditions in ancient India?
2. Explain about Magadha Empire.
3. Describe Alexander's Invasion.
4. Discuss about Mauryan empires
5. Explain Ashoka's Dharma
6. Describe in detail Ashoka's administration.
7. Define Ashoka's economy.
8. Explain art and architecture.

UNIT 3

POST-MAURYAN PERIOD IN NORTH INDIA

3.0 AIMS AND OBJECTIVES

1

At the conclusion of this unit you should be able to understand

- Description of Post-Mauryan period.
- About the political survey of Kushans, Guptas, Puswabuthi and Rajputs.
- Caste System and position of Women in Mauryan period.
- Description of Indian Feudalism Art.
- Description of Education, Literature, Philosophy, Science and Technology in Mauryan period.

3.1 INTRODUCTION

In the post-Mauryan era (200 B.C. To 300 A.D.) the economy moved at an accelerated tempo. Society witnessed structural reorientation as significant groups of foreigners penetrated into India and chose to be identified with the rest of the community.

3.2 POST MAURYAN PERIOD

Monetization of economy was a significant of the post Mauryan period. The Indo-Greek rulers issued gold coins. Menander was the last Indo-Greek king to issue gold coins. The Kushanas also called issued several gold coins. Gold mines existed in Sind as well as in Dhalbhum. Satavahanaa issued and copper coins.

The smaller republican dynasties issued silver and copper coins. The Nagas, Yaudheyas, Kunindas, Mitra rulers of Kaushambi, Mathura, Avanthi and Ahichhatra also issued their own coins. Many nigamas issued copper coins and bronze. Money had penetrated deep into the life of common man during the post-Mauryan period.

As trade expanded urban centres grew in the country. NorthWest India was urbanized due to the increased trade routes and traffic. Indo-Gangetic divide was an area of cultural transition where influences from India and the West mingled together. Khokra near Rohtak and Sunet near Ludhiana, both associated with the Yaudheyas, a series of mounds in Kurukshetra, Agroha and Sirsa near Hissar All proposed during the post-Mauryan phase.

In the upper Gangetic valley, Hastinapur, Indraprastha, Mathura, Sankisa, Ahichchhatra, Sateta-Ayodhya, Kausambi treasures. Mathura was both a religious centre as well as an important centre of trade and commerce. Ahichchhatra was an important township in the post-Mauryan period. Bhita situated near Kaushambi was a prosperous trade centre.

Varanasi was an important trade-mart and a commercial centre. These trade-routes met all this point. Sravasti was a nerve centre of commerce and a number of routes emerged from this place. It had routes for places like Saketa, Rajagriha, Kausambi,

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Varanasi, Alavi, Samkasya and Taxila. There were direct trade routers for Ujain, Mahismati, Pratisthana, Bharukachchha and Surparaka. Vidisha was an important craft noted for ivory, weaving and sharp swords. Pawaya and Unnain were other important cities in central India.

As India's Mediterranean trade developed the Gujarat coast attained a new stage of economic prosperity. The most important city in Gujarat was ancient Bharukachchha. It produced wheat, rice and cotton. The whole Indian subcontinent was dotted with urban centres during the post-Mauryan period. Trade was expanded leading to consequent growth of money. That led to a proliferation of craft production as well as better management of industrial production and procurement.

As far as iron is concerned Telangana region of Andhra Pradesh was the richest. Karimnager was a rural settlement where carpenters, blacksmiths, goldsmiths, potter lived in separate quarters. The seats of cotton industry were in Aparanta (Konkan) , Kalinga, Vanga. Vatsa and Mahisa.

Uddiyan was an important wool making centre. The ivory work, glass manufacture and bead making , coin-miniting were some other type of industries which developed during this period. The existence of merchant donors shows that they have prospered from the trade. Guilds played an important role in urban life including organization of production. It is presumed that the guild seems to have loosened the control of state over the industrial life of the country. There was considerable localization of trade and industry and different occupations became highly specialized. Due to this place were named after different kinds of craftsmen-Ivory carver street, carpenters, village and potters village. These guilds fixed the rules of work, quality of the product and their prices.

Economy: In the post –Mauryan period trade with central Asia begun. Ancient India had two internal land routes. They are Uttarapatha and Dakshinapatha. Uttarapatha connects northern and eastern parts of India with the north western fringes. Dakshinapatha, connected the peninsular India with the western and northern parts of India. This route connected north and south India.

It was further connected with Pratishtana that was the capital of Satavahanas. The Dakshinapatha was further connected with Pratishtana, the capital of the Satavahanas. More and more sea voyages were used from trading purposes. Important ports on the western coast were Bharukachchha Sopara, Kalyana, Muziris. From these ports ships sailed to the Roman Empire thorough the Red Sea.

Trade with Southeast Asia was through the sea. The well-known parts on the eastern Coast of India was Tamralipti (west Bengal), Arikamedu(Tamilnadu coast) . There was sea trade between Bharukachchha and the ports of Southeast Asia.

Trade survived between India and the west where the Roman Empire was carried out through land but later on the focus shifted to sea routes. Ship could move directly from Indian ports on Red sea and Persian Gulf. Romans required Indian products such as spices, perfumes, jewels, ivory and fine textiles like muslin. Spice trade with the Roman Empire was based in the South India. Several precious stones like diamond, carnelian, turquoise, agate, sapphire etc, besides pearls, indigo, sandalwood, and sterel were imported. Romans exported gold and silver to India. Other items of export from the Roman Empire wine. Western traders also brought tin, lead, coral and slave girls.

There was an immense increase in production of crafts. There were separate artisans working in gold, silver and precious stones. Ujjain was a bead making centre. Textile industry was also a major one. Mathura and vanga were famous for variety textiles produced. There are numerous inscriptions which refer to the donations made by artisans to monasteries.

Merchant communities were organized that was known as shreni or guilds that was headed by Sreshthi. Another type of commercial group was known as sartha which signified caravan trading corporation that comprised of traders from different regions. This was headed by Sarthavaha. All craft vocations were also organized into guilds each being headed by Jyestha. It includes weavers, corn dealers, bamboo workers, oil manufactures, and potters and so on. These guilds were associations of merchants and craftsmen following the same profession. They also served as banks and received deposits from the public on a fixed interest rate.

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3.3 KUSHANS

The Kushan Empire was an empire in South Asia originally formed in the early 1st century CE under Kujula Kadphises in the territories of ancient Bactria around the Oxus River (Amu Darya), and later based near Kabul, Afghanistan. The Kushans spread from the Kabul River Valley to defeat other Central Asian tribes that had previously conquered parts of the northern central Iranian Plateau once ruled by the Parthians, and reached their peak under the Buddhist emperor Kanishka (127–151), whose realm stretched from Turfan in the Tarim Basin to Pataliputra on the Gangetic Plain.”

The Kushans were one of five branches of the Yuezhi confederation, a possibly Tocharian, Indo-European nomadic people who had migrated from the Tarim Basin and settled in ancient Bactria. They may also have been of Iranian origin. During the 1st and early 2nd centuries CE, the Kushans expanded across the northern parts of the Indian subcontinent at least as far as Saketa and Sarnath near Varanasi (Benares), where inscriptions have been found dating to the era of the Kushan emperor Kanishka, which began about 127 CE. Around 152 CE, Kanishka sent his armies north of the Karakoram mountains. They captured territories as far as Kashgar, Khotan and Yarkant, in the Tarim Basin of modern-day Xinjiang, China. A direct road from Gandhara to China was opened which remained under Kushan control for more than 100 years. The security offered by the Kushans encouraged travel across the Khunjerab Pass and facilitated the spread of Mahayana Buddhism to China.

The Kushan dynasty had diplomatic contacts with the Roman Empire, Sassanid Persia and Han China. While much philosophy, art, and science was created within its borders, the only textual record we have of the empire’s history today comes from inscriptions and accounts in other languages, particularly Chinese. The Kushan control fragmented into semi-independent kingdoms in the 3rd century CE, which fell to the Sassanians who targeted from the west. In the fourth century, the Guptas, an Indian dynasty also pressed from the east. The last of the Kushan and Sassanian kingdoms were eventually overwhelmed by the Hephthalites, another Indo-European people from the north.

3.3.1 Political Survey of Kushans

The Kushanas were members of one of the five clans of the Yueh-chi tribe and were also called Tocharians. They followed the Parthians in the north-west of India and gradually extended their rule in northern India. They also displaced the Shakas in Bactria. The Kushana rule consisted of two successive dynasties.

The first dynasty ruled for 28 years from about 50 ad and had two kings-Kadphises I (Kujula Kadphises) and Kadphises II (Vima Kadphises). Kujula Kadphises took over Kashmir and Kabul by defeating the Parthians. Vima Kadphises, son of Kujula Kadphises, succeeded his father and expanded the territorial extent of the empire by annexing Taxila, Punjab and probably Mathura.

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The second dynasty began with Kanishka. It is not clear how Kanishka was related to the kings of the first dynasty. Kanishka's reign has been dated between 78-144 AD. Based on 78 AD an era called the Shaka Era has been attributed to Kanishka. Hsuan Tsang mentions Kanishka's capital as Purushapura (modern Peshawar).

Kanishka's territories extended from Candhara and Sue Vihar to Awadh and Banaras and also included Kashmir. Kanishka's rule lasted for twenty- three years and he was succeeded by Vasishka who had a short reign. Huvishka succeeded Vasishka, and he probably extended his empire to the west of Kabul.

The last great Kushana king was Vasudeva I. His last known date is 176-177 ad. There is no clear evidence relating to the exact limit of Vasudeva's empire, probably it was contained within parts of modern Uttar Pradesh.

No orderly account of his successors-Kanishka III (ruled for 30 years) and Vasudeva II (circa ad 210-230)-is available. The Kushan empire in Afghanistan and in the areas west of the Indus was supplanted in the mid- third century ad by the Sassanian power, which arose in Iran. But Kushan principalities continued to exist in India for about a century.

The Kushan authority seems to have lingered in the Kabul Valley, Kapisa, Bactria, Khorezma and Sogdiana in the third- fourth centuries. Many Kushan coins, inscriptions and terracottas have been found in these areas.

Especially at a place called Toprak-Kala in Khorezma a huge Kushan palace of the third-fourth centuries has been unearthed. It housed administrative archives containing inscriptions and documents written in Aramaic script and Khorezmian language.

3.3.2 Kushans Administration

Kushana administrative system stands between the Greek-Shaka-Pahlava system, on the one hand, and the Gupta system, on the other. Kushanas borrowed principles of governance from their predecessors and developed such principles and institutions which continued and were adopted by the imperial Guptas.

The Kushana kings, unlike the Mauryas, used grand eloquent titles such as maharaj, rajatiraja etc. Kujula Kadphises, the founder of the Kushana kingdom in India, is described as a small chief (yavuga), but later kings adopted bigger titles. Although, both the titles seem Indian in form, the title rajatiraja was derived from their Parthian predecessors.

The Kanishka group of rulers generally prefixed the title sahi to their names which appears as shaonano shao on their coin legends. The Kushanas adopted this title from their Shaka predecessors. This title appeared later in the Allahabad Prasasti in its sanskritized form as sahanushahi.

The Kushanas were also influenced by the Roman system. Kanishka adopted the title kaiser. But the imitation was restricted to the title only. In the field of provincial administration the Kushanas followed the kshatrapal system. The Sarnath buddhist image inscription of Kanishka refers to the rule of two kshatrapas: Vanaspara and Kharapallana.

Although the system of dual kingship prevailed before the Kushanas, they introduced the practice of dual governorship in a province, so that one could act as a check on the other. The kshatrapas exercised their powers through semi-military officers known as dandanayaka and mahadandanayaka. The lowest territorial unit was the village under the gramika and the towns were supervised by the nigama officials.

The nature of the early historical political scenario makes it amply clear that centrifugal forces were at work. To counter-balance this Kushanas proclaimed association of divine elements with the ruler. They tried to deify themselves by adopting the title of

devaputra and instituting the dead king's cult (devakula).

Before Kushanas, the Parthian kings had adopted the title devavrata i.e. devoted to god. Since the concept of deified king was alien to Buddhism (Kanishka's professed faith), its theoretical justification came immediately in the near contemporary Mahayanist Buddhist text, Suvarnaprabhasottamsutra.

The Kushanas derived the practice of setting up devakulas from the Romans, who in turn had borrowed this idea from the Egyptians. Apart from these two practices, the Kushana kings were also represented on their coins with the nimbus, aureole, clouds or flames. The idea of devaputra was adopted by the Kushanas from the Chinese who called their king the "Son of Heaven."

3.4 GUPTAS

The Gupta Empire was one of the largest political and military empires in ancient India. It was ruled by the Gupta dynasty from around 320 to 550 CE and covered most of northern India.

Origins

The origins of the Guptas are shrouded in obscurity. The Chinese traveller I-tsing provides the first evidence of the Gupta kingdom in Magadha. He came to India in 672 CE and heard of 'Maharaja Sri-Gupta' who built a temple for Chinese pilgrims near Mrigasikhavana. I-tsing gives the date for this event merely as '500 years before'. This does not match with other sources and hence we can assume that I-tsing's computation was a mere guess.

The most likely date for the reign of Sri-Gupta is c. 240-280 CE His successor Ghatotkacha ruled probably from c. 280-319 CE In contrast to his successor, he is also referred to in inscriptions as 'Maharaja'.

At the beginning of the 4th century the Guptas established and ruled a few small Hindu kingdoms in Magadha and around modern-day Uttar Pradesh.

The Guptas Ascendant

The Gupta dynasty ruled India north of the Vindhya Range during the 4th and 5th centuries. Though not as vast as Mauryan empire, The Gupta era left a deep and wide cultural impact not only in the subcontinent but on the adjacent Asian countries as well. We get plenty of information about this illustrious dynasty through coins, inscriptions, monuments and Sanskrit classics.

The Gupta rulers were great conquerors and good administrators. They checked the infiltration of foreign tribes like Sakas and Hunas and established political stability. Economic prosperity followed and led to cultural expansion.

Sanskrit language and literature were reached its peak during the Gupta era. Poets Kalidasa, Dandi, Visakhadatta, Shudraka, and Bharavi all belong to this period. Many puranas and shastras were composed and famous commentaries on sacred works appeared. Buddhist and Jain literature, which was produced earlier in Pali, Ardhamagadhi and other Prakrit languages, began to appear in Sanskrit. The practice of dedicating temples to different deities came into vogue followed by fine artistic temple architecture and sculpture. Of the twenty-eight Ajanta caves, most of them were constructed during this period. Gupta inscriptions, some of them on "victory pillars" provide first hand information not only about royalty but society in general.

Books on medicine, veterinary science, mathematics, astronomy and astrophysics were written. The famous Aryabhata and Varahamihira belong to this age. Overseas

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trade and commerce flourished. Hindu and Buddhist mythology, architecture, along with religion took root in Burma, Cambodia, Thailand, Indonesia and other countries. The Chinese monk Lui Kang who was in India and Sri Lanka between 399 and 414 noticed general prosperity and peace-loving nature of the people.

This period is regarded as the golden age of Indian culture. The high points of this cultural creativity are magnificent and creative architecture, sculpture, and painting. The wall-paintings of Ajanta Caves in the central Deccan are considered among the greatest and most powerful works of Indian art. The paintings in the cave represent the various lives of the Buddha, but also are the best source we have of the daily life in India at the time.

The Gupta established a strong central government which also allowed a degree of local control. Gupta society was ordered in accordance with Hindu beliefs. This included a strict caste system, or class system. The peace and prosperity created under Gupta leadership enabled the pursuit of scientific and artistic endeavors.

The Gupta Dynasty declined due to weak rulers and a series of invasions, but many of their cultural and intellectual achievements were saved and transmitted to other cultures and live on today. The Gupta period is considered something of a golden age, marked by great achievements in literature, music, art, architecture, and philosophy. Lui Kang wrote of beautiful cities, fine hospitals and universities, and described a content and prosperous people.

3.4.1 Main Gupta Rulers

Chandragupta

Ghatotkacha (c. 280–319) CE, had a son named Chandragupta. In a breakthrough deal, Chandragupta was married to Kumaradevi, a Lichchhavi the main power in Magadha. With a dowry of the kingdom of Magadha (capital Pataliputra) and an alliance with the Lichchhavis, Chandragupta set about expanding his power, conquering much of Magadha, Prayaga and Saketa. He established a realm stretching from the Ganga (Ganga) river to Prayaga (modern-day Allahabad) by 320. Chandragupta was the first of the Guptas to be referred to as 'Maharajadhiraja' or 'King of Kings'.

Samudragupta

Chandragupta died in 335 and was succeeded by his son Samudragupta, a tireless conqueror. He took the kingdoms of Shichchhatra and Padmavati early in his reign. He then took the Kingdom of Kota and attacked the tribes in Malvas, the Yaudheyas, the Arjunayanas, the Maduras and the Abhiras. By his death in 380, he had incorporated over twenty kingdoms into his realm, his rule extended from the Himalayas to the river Narmada and from the Brahmaputra to the Yamuna. He gave himself the titles King of Kings and World Monarch. He performed Ashwamedha yajna (horse sacrifice) to underline the importance of his conquest.

Samudragupta was not only a warrior but also a great patron of art and literature. The important scholars present in his court were Harishena, Vasubandhu and Asanga. He was a poet and musician himself. He was a firm believer in Hinduism and is known to have worshipped Lord Vishnu. He was considerate of other religions and allowed Sri Lanka's buddhist king to build a monastery at Bodh Gaya.

He was succeeded by his son Ramagupta, who was captured by the Saka Satraps (Kshatrapas) and was soon succeeded by his brother Chandragupta II.

Chandragupta II

Chandragupta II, the Sun of Power (Vikramaditya), ruled until 413. He married his daughter Prabhavatigupta to Rudrasena II, the Vakataka king of Deccan, and gained a

valuable ally. Only marginally less war-like than his father, he expanded his realm westwards, defeating the Saka Western Kshatrapas of Malwa, Gujarat and Saurashtra in a campaign lasting until 409, but with his main opponent Rudrasimha III defeated by 395, and crushing the Bengal (Vanga) chiefdoms. This extended his control from coast-to-coast, established a second (trading) capital at Ujjain and was the high point of the empire.

Despite the creation of the empire through war, the reign is remembered for its very influential style of Hindu art, literature, culture and science, especially during the reign of Chandra Gupta II. Some excellent works of Hindu art such as the panels at the Dashavatara Temple in Deogarh serve to illustrate the magnificence of Gupta art. Above all it was the synthesis of the sacred and sensual elements that gave Gupta art its distinctive flavour. During this period, the Guptas were supportive of thriving Buddhist and Jain cultures as well, and for this reason there is also a long history of non-Hindu Gupta period art. In particular, Gupta period Buddhist art was to be influential in most of East and Southeast Asia. Much of advances was recorded by the Chinese scholar and traveller Fa-hsien.

The court of Chandragupta was made even illustrious by the fact that it was graced by the navaratna, a group of nine who excelled in the literary arts. Amongst these men was the immortal Kalidasa whose works dwarfed the works of many other literary geniuses, not only in his own age but in the ages to come. Kalidasa was particularly known for his fine exploitation of the srngara (erotic) element in his verse.

Kumaragupta I

Chandragupta II was succeeded by his son Kumaragupta I. Known as the Mahendraditya, he ruled until 455. Towards the end of his reign a tribe in the Narmada valley, the Pushyamitras, rose in power to threaten the empire.

Skandagupta

Skandagupta is generally considered the last of the great rulers. He defeated the Pushyamitra threat, but then was faced with invading Hephthalites or "White Huns", known in India as Indo-Hephthalites or Hunas, from the northwest. He repulsed a Huna attack c. 455. But the expense of the wars drained the empire's resources and contributed to its decline. Skandagupta died in 467 and was succeeded by his son Narasimhagupta Baladitya.

3.4.2 Administrative System

The age of the Guptas has been regarded as the age of progress in India by all historians. Of course, Dr. Romila Thapar seems to be near the mark when she contends that when we accept the Gupta period as the classical age of ancient India we have accepted its limitations also.

That the living standard which reach 3d their peak were limited to upper classes alone and, further the classicism of the Gupta period was restricted to Northern India alone. With these limitations she agrees with others regarding the progress achieved during this period.

Majority of scholars agree with the view that it was die "Golden Age" of Ancient India. Dr. V.A. Smith writes, "The age of great Gupta Kings presented a more agreeable and satisfactory picture than any other period in the history of Hindu India.

Literature, Art and Science flourished in a degree beyond ordinary and gradual changes in the religion were effected without persecution." The empire of the Guptas was certainly less extensive than the empire of the Mauryas prior to them.

The great Gupta ruler provided political unity to a large part of North India for

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nearly two centuries. The political institutions of the Gupta Age were not original but were rather “founded the historical traditions of the past and improved and adapted to suit contemporary conditions.”

They were both imposing and benevolent. The imperial perfection was achieved in the hands of the Guptas and their administrations was better than that of the Mauryas.

I. The Central Administration**i) King**

Monarchy was the form of government which was in vogue during the Gupta Age. But it was the benevolent monarchy; the king was the head of the state as well as that of administration. The theory of the divinity of kings was popular during the Gupta period by which the royal power and prestige had increased.

The gupta's were fond of sounding titles and the whole administrative structure was saturated with designations and titles.

The Gupta rulers assumed a number of titles such as 'Raja-dhiraja', 'Maharaja-dhiraja', 'Paramaraja-dhiraja', 'Raja-dhirajashi', 'Eka-dhiraja', 'Pramdevata', 'Parambhattarka', 'Prithipala', 'Paramesvara', 'Samrat', and 'Chakravartin'.

Samudragupta is described as equal to the gods “Dhanda” or “Kubera”, “Varuna”, “Indra” and “Antaka” or “Yama”. Who was battle-axe of the god “Kritanta” or “Yama”, “Certainly, the establishment of a Vast empire had helped in increasing the powers of the rulers and divinity and assigned to the kings.

The Gupta Kings enjoyed a large number of powers. Those powers covered the political, administrative, military and judicial fields. Samudragupta, Chandragupta-II and Skandagupta personally led their armies. The Gupta Kings appointed all the governors and important military and civil officers. They were also responsible to the king. The governors and their officers had to work under the control and guidance of the King. The King was the source of all honours and titles.

All land in the empire was the property of the King who could give away the same to anybody he pleased. He could construct dams, give shelter to any one, impose, recover and remit taxes and impart the justice. Yet the Kings could not afford to be selfish despots. They had to ruled according to “Rajya Dharma” and with the help of their ministers.

In other words it is wrong to say that the Gupta Kings were autocrats. They shared their powers with ministers and other high officers. A large number of powers were delegated to the local bodies such as village Panchayats and town councils. The king was required to adopt all means to win popularity among the people by respecting their wishes and promoting their welfare. The King toured the country with a view to keep himself in touch with the people. The important matters were decided in the joint meeting. The king respected the advice given by his ministers.

The secret of the success of the Gupta rulers lies in the principle of succession to kingship which was based on sound principles. The old law of the primogeniture was not in vogue then. The usual practice was selection by the dying King of the best fitted prince from amongst his sons. Samudragupta represent this kind of selection.

The use of words “selected by the father in the Mathura inscriptions points to this in the case of Chandragupta-II as well. The personal life of the King was very simple. He took great interest in redeeming the poor from misery in protecting religion and in dispensing justice.

ii) Council Of Ministers

It appears that the Gupta rulers had their councils. Perhaps, it consisted of princes, high officials and feudatories. Kalidas refers to the “Mantri-Parishad” or council of ministers. Some officers the designation of “Kanchuki” or “Chamberlain” acted as an agent between the King and the council. Whatever decisions were taken by the council of Ministers were conveyed to the King through an “Amatya”.

It means that the matter was placed before the “Council of Ministers” and efforts were made to arrive at some conclusion then the decisions were conveyed to the King who was left to arrive at any conclusion he pleased. It was the duty of the “Council of Ministers” to advise the king but ultimately it had to obey the verdict of the King.

The emperor was assisted by a council of ministers of “Mantri-Parishad”. The prominent “Mantris” among whom was the “Prime Minister” of the state known as “Mantri Mukhya”. The portfolios of war and peace, the chief Councillorship, military forces and law and order were held by different persons respectively known as, ‘Mahasandhivigrahaka’, ‘Amatya’, ‘Mahabaladhikrita’ and ‘Mahadandanayaka’.

The provinces were called Desas or Bhuktis and were governed by Uparikas. The Uparika may represent the pradesikas of the Ashokan epigraphs and in the same as the Amatyas of the Satavahana provinces. The provinces were divided into districts, called Vishyas. Each vishaya was administered by a royal official, known as the Adhishthana Adhikarna. Ranabhandahi-Karana was the military exchequer. Dandaparsadhikarna, office of the chief of police. Vinayasthiti-Sthapaka, office of minister in charge of law and order.

Bhatasvapati, head of the infantry and cavalry. Mahapratikara chief chamberlain. Vinayasur, chief censor. According to Kalidas, there were three ministers foreign-minister, finance minister and the law-minister. The ministers were expected to be experts in their spheres of works. In many cases their office was hereditary.

The great secrecy was maintained with regard to the deliberations in the meetings of the ministers. Further, it appears that the Question of the succession to the throne was a function of the ‘Council of Ministers’.

iii) Civil Officers

The Guptas entire central government was under the direct control of the King. The most important officers of the royal court were known as “Mahapratihara” or “Receptionist”, “Rajamatya” or “Adviser to the king” and “Ajnasamchrikas” or courtiers.

The Gupta civil administration was a “bureaucracy of high- sounding officials like “Rajapurusha”, “Rajanayaka”, “Rajaputra”, “Rajamatya”, “Mahasamanta”, “Mahapratihara” and “Mahakumaramatya” etc.

iv) Revenue And Police Officers

The duties of revenue and police administration were not separate and were run by officials like ‘Uparika’, ‘Dashparadhika’, ‘Chauroddharanika’, ‘Dandika’, ‘Dandapashika’, ‘Gaulmika’, ‘Kottapala’ or ‘Kottupala’ ‘Angarakshka’ and ‘Ayuktaka-Viniyuktaka’, ‘Rajuka’ etc.

v) Military Officers

The military officers referred to in the inscriptions are the ‘Senapati’, ‘Mahasenapati’, ‘Baladhikrita’ ‘Mahabaladhikrita’, ‘Dandanayaka’, ‘Sandhivigrahika’, ‘Mahasandhivigrahika’, Gupta etc. They were the key functionary in the Gupta army.

The Gupta army had four wings such as- informatory, cavalry, elephant and the navy. The main weapons of war were bows and arrows, swords, axes and spears.

vi) Judicial Officers

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Inscriptions of Gupta's refer to such judicial officers as 'Mahadanda nayaka', 'Mahakshapatalika' etc. Probably, 'Mahadandanayaka' combined the duties of a judge and a general. The "Mahadandanayaka" was probably the "Great keeper of Records".

It appears that the "Kumaramatya" a "Bhondapashika" and the "Uparika" had each his separate "Adhikarna" or "court or office" where the transactions pertaining to land were decided. It is possible that judicial matters were also decided there.

According to Fa-Hien, punishments were very lenient and capital punishment was very rare. However, the testimony of Fa-Hien is not accepted and it is pointed out by the Kalidas, Visakhadatta that punishments were pretty harsh in the Gupta period-such as death, death by elephant etc.

Four kinds of ordeals seemed to have been employed to ascertain the guilt or innocence of a person. These are by water, by fire, by weighing and by poison.

ii. Administrative Divisions

A study of the Gupta inscriptions shows that there was an hierarchy of administrative divisions from top to bottom. The empire was called by various names such as "Rajya", "Rashtra", "Desha", "Mandala", "Prithvi" and "Avani".

It was divided into provinces which were called as, "Bhukti", "Pradesha" and "Bhoga". Provinces were divided into "Vishayas" and put under the control of "Vishaya Patis". "Vishaya" were divided in "Nagaras" and "Nagares" were divided into villages. A part of a "Vishaya" was called "Vithi". A union of villages was called "Pethaka" and "Santaka". Smaller units or divisions of a village were "Agrahara" and "Patta".

iii. Provincial Administration

The head of the provincial administration was known by various names and some of them were- "Uparika", "Gupta", "Bhogika", "Bhogapati" and "Rajasthaniya". In certain cases, the son of the King or "Rajaputra" was appointed the Governor. The minister in attendance on the royal Governor was called "Kumaramatya".

There are the references to various provincial officials such as- "Baladhikaranika" or "Head of the army or military"; "Dandapasadhikaranika" or 'Chief of the Police'; 'Ranabhandarika' or 'Chief Justice'; 'Vinayasthiti Sthapaka' or 'Minister of Law and order'; 'Sadhanika' or 'Officer to deal with debts and fines'; 'Hiranya-Samudyika' or 'Currency Officer'; 'Tadayuktaka' or 'Treasury Officers'; 'Audrangika' or 'Collector of the Udranga tax'; 'Aurna-Sthanika' or 'Superintendent of silk factories'; etc.

iv. District Or "Vishaya" Administration

The head of the "Vishaya" administration was the "Vishayapati" or District Magistrate'. The District Magistrate or "Vishayapati" was assisted in his work by the "Mahattaras" or "Village elders". "Gramikas" or "Village Headmen", "Saulkikas" or Collectors of Customs and tolls', "Gaulmika" or "officers in charge of forests and forts", "Agar harikas", "Dhruvadhikaranikas" or "Treasurers" etc. There were many clerks in the department whose duty was to write and copy out the records and documents. The writers were called "Lekhakas" and "Diviras". The officer-in-charge of the documents was known as the "Karanika".

v. City Administration

The head of the city administration was known as the "Nagara-Rakshaka" or "Purapala". "Purapala Uparika" was another officer who controlled the heads of the various cities. A city was governed by a "Parishad". In the city, there was a reference of "Avasthika", who was a special officer who acted as the "Superintendent of Dharamsalas."

vi. Village Administration

The village was the smallest unit of the administration. “Gramika” was the head of the village but there were other officials known as “Dutas” or “Messengers”, heads men, Kartri, etc. He was assisted by a village assembly but due to the lack of references, it is not possible to describe the exact duties and functions of the assembly. The administrative and judicial business of villages was carried on by the Gramikas.

He was assisted by a group of village elders, such as Kutumbikas, Mahamataras etc. The royal servant in the village was the Gram-Vridha.

vii. Source of Revenue

In order to meet the vast expenditure incurred on the maintenance of such a vast administration of the empire, the king levied different types of tax. Land revalue has always been an important source of income in an agricultural country.

Land revalue was one of the primary sources of the income of the Guptas and they helped in increasing agricultural production and provided security to the cultivators. Waste lands was brought under cultivation and pasture land was also protected and increased.

The government increased the man-made means of irrigation at both-capital and provincial levels. All this helped in the growth of agricultural and animal husbandry.

During the Gupta days “Uparika” or “land- tax”, which was levied on cultivators who had no property rights on soil, “Vata”, “Bhuta”, “Dhanya”, “Hiranya” or gold, “Adeya” etc. Perhaps, it was one sixth of the total produce.

Though there were other means of source of income like surplus or income tax known as “Bhaga”, customs, mint, inheritance and presents etc. In addition to these taxes, fines known as “Dasa-Paradha” from offenders and free labour due to the king known as “Vaishtika” formed the source of income.

On the whole, the Gupta administration was well organised. Peace and prosperity of the subjects and the progress achieved by them in practically all walks of their life was its proof. It is to be observed that the designation of Gupta officials continued even after the passing away of the Gupta empire.

The early Kala curiyas were the first to be influenced by the Gupta administrative system. Likewise the Chalukyas of Badami, the Rashtrakutas of Malkhed and the Western Chalukyas of Kalyani were also accepted the Gupta administrative system.

3.4.3 Socio Economic Conditions

From the pre- Gupta period and especially from the Gupta and post- Gupta periods, one of the most striking developments was the practice of making Land grants.

The Land grants was issued in both the field’s i.e. religious fields and secular fields. The religious land grants were given to Brahmins and it was a custom which was sanctified by the dharamshastras, Puranas and Mahabharata. Secular land grants were given to officers for their administrative and military services.

The historical records suggest that by the 400- 500 AD this developed in the region of MP, 700AD- Assam, 1000 AD- Kerala and eventually became a pan India phenomenon. The socio-economic impact of the land grants is to be perceived in the light of beneficiaries also. The system of the Land grants expanded under the Guptas. Guptas political system is characterised by the existence of feudatories or vassals known as Samantas.

These Samantas held a considerable part of empire which was beyond the directly administered area. The system acquired many new features in the course of time upto 1200 AD. Contemporary references suggest the practice of conferment of fiscal and administrative immunities on the beneficiaries, like the transfer of rights over mines and

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salt etc. Records also suggest various kinds of exemption and end of responsibility of paying taxes. The beneficiary's grants also enjoy the privileges like freedom from the entry of the royal forces.

Contemporary land charters and copper plates frequently mention the word "PARIHAR" which refers to different kind of exemptions. Certain powers were also delegated to them which were Administrative and judicial in nature. There is a reference of 10 specific kinds of offences, to be tried by the beneficiaries. This is suggestive of beneficiaries getting the power to punish criminals. References also suggest that they received the power to impose tax, collect tax.

The beneficiaries also have the control over the local population. The specific statement of the land charters was that "inhabitants of the concerned areas now to obey the orders of their new masters". This kind of development not only brought about change in Agrarian structure by establishing superior rights over the land but also gave rise to the trends of decentralisation.

This development was based on the concept of land and land rights which too provided background for feudal development and gave birth to feudal society. The land grant system becomes more pronounced from 750 AD onwards. The system acquired the hereditary tinge.

The references are regarding developments of property rights in about 800 AD. The system gave birth to new kind of land distribution characterised by unequal distribution of land and its produce. This established a pre-dominant role of dominant landlords enjoying superior rights. Acquisition of some other rights like "VISHTI". Development of the system of subbing foundation which eventually developed into a hierarchical pattern.

Establishment of superior rights over the land also established class of subject-peasantry, who were subordinated and hold subservient status. This shows the negation of their land rights, which gave rise to forced labour, a kind of serfdom. Land and land grants emerged as the centre of economy.

Growing importance of land and land influencing economic relations. Development of certain associated features i.e. trends of localism, trends of closed economy, and trends of growth of self sufficient village economy.

Gradually the entire socio-economic relations got affected by the system of land grants. The notion of land and land rights influenced society and gave it a feudal shape and land rights emerged as a new basis of social structure/ hierarchy, cutting across the Varna system. Acquisition of land and land rights established a new status irrespective of social origin.

Growth of land grants influenced all aspects of socio-economic life. In socio-economic field, influences are discernible in the growth of closed society, jajmani system – theory of self-sufficiency and autarky of villages based on a happy combination of crafts and Agriculture, which freed them from economic dependence from the outside world. This trend also gave an impetus to the process of peasantisation of Shudras.

3.4.4 Caste System

Origins of the Caste System: The Aryans had divided society into four occupational classes. Non-Aryans were considered outcasts and held the lowest jobs. By Gupta times, many additional cases and substances had evolved. As invaders were absorbed into Indian society, they formed new castes. Other castes grew out of new trades, occupations, and religions. By modern times, major castes numbered in the hundreds, with thousands of minor and local substances.

Brahmins, Kshatriyas, Vaisyas, Sudras, Dalit (Untouchables): Brahmin was a high caste and was purer and therefor moksha than someone with a lower caste. Caste rules governed every aspect of life, where people live, what they ate, how they dressed, and how they earned a living.

3.4.5 Status of Women under the Gupta's

Women enjoyed more freedom then they had in previous dynasties, they were taught to read and write. Some women became philosophers. They also worked as midwives (women trained to deliver babies)

Women had arranged marriages setup by their fathers. A father tried to build an attractive dowry for his daughter so someone would marry her. Widows were not allowed to remarry or inherit their husband's property; therefore women began to follow a tradition known as sati/suti/suttee.

This is when women commit suicide by throwing themselves on their husband's funeral pyre. This practice was believed to ensure the husband and wife 35 million years of happiness. Many widows preferred death instead of a life of poverty and servitude. In 1300 A.D. the law denying widows the right to their husband's property was changed and their social position in society improved. Sati continued as a basic practice of Hinduism.

3.4.6 Economic Conditions

As regards the economic condition of the people in the Gupta period, the country had greatly prospered during the Gupta period and without economic prosperity there can be no progress.

The Gupta's were benevolent monarchs and they established peace and order in the country. Without peace a country can never prosper. Agriculture trade and commerce greatly flourished and the Guptas too greatly encouraged them.

A. Agriculture

During the Gupta period, agriculture was the basis of economic life. The main characteristic of the "Agriculture", during the Gupta empire are given below:

I) Nature of Land-Ownership

It is stated by many scholars that the state was the exclusive owner of land. From the inscriptions of the Gupta period dealing with land, it is clear that it was not easy to secure any fallow, uncultivated land or unsettled land for charitable purposes such as in the "Paharpur Copper plate Inscription" of Budhagupta, it is stated that the emperor acquired wealth as well as spiritual merit, when he made land grants.

This shows that Budhagupta was the owner of the land. Indirectly, official procedure also furnished the indirect evidence of the ownership of land. Further, land grants clearly indicate that the king had the supreme ownership of land otherwise he could not transfer comprehensive rights to the recipients.

Even after the donation of land, the king reserved certain prerogatives over the land. The extent of intensive cultivation was so much that practically all land was brought under cultivation. The state provided security to cultivators. Waste lands was brought under cultivation.

Pasture land was also protected and increased. The grants of land consisted of small pieces taken from different plots in different village. Whenever, land was given to educational institutions, a provision was also made for labour and bullocks which were to be required for cultivation.

Thus it appears that though the land was, to all intents and purposes that of the peasants, the king claimed it theoretical ownership.

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Agrahara grants were restricted to Brahmins. These grants were meant to be perpetual, in heritable and tax-free.

The Nalanda and Gaya grants of Samudragupta are the earliest records that throw lights on the agrahara grants.

Devagrahara grants are concerned with donation to persons of various classes such as writers, merchants etc. for the purposes of repair and worship of temples. Subinfatuation Gupta grants from Bengal and eastern to alienate or grant his rents or lands to others.

But the Indore grants of Skandagupta in central authorises the grantee to enjoy the land, cultivate it and get it cultivated, so long as he observes the condition of the grants.

Illegitimate offspring of a Brahmin couple were counted as Shudras.

ii) Types of Land

From the references of the Gupta period, land was divided into the following categories: The first category of land was 'cultivated land' owned by the state and treated as "Crown land" or "Kshetra".

Second, category of land was 'fallow' or 'waste land' also owned by the state was called 'Khilaland'.

Third category of land was 'Jungle' or 'forest land' owned by the state was called "Aprahata" land also owned by state. Fourth, category of land was the 'habitable land', called "Vastu" and fifth category of land was 'pasture land' called as "Gapata Sarah".

During the Gupta period, certain land-grant inscriptions, recorded the certain specific land tenure terms such as "Nivi-dharma" means land endowment in perpetuity. This type of trusteeship was prevalent in many parts of North and Central India of the Gupta Empire.

"Nivi dharma aksayana" means that a perpetual endowment which a recipient could not alienate but could make use of the income accruing from it eternally. "Aprada dharma" means that a recipient has all rights to enjoy such a property but had no right to make a further gift of the same.

He can only enjoy the interest and income from the endowed land but not administrative right.

"Bhumichchhidanyayana" means rights of ownership as are acquired by a man making waste or barren land cultivable for the first time. He was free from liability to pay rait for it.

"Nividharma aksayan", "Aprada dharma" and "Bhumichchhidanyayana type of trusteeship were probably followed mainly in Eastern part of the empire. Therefore, they are very frequently mentioned in the inscriptions from Bengal.

From these trusteeship it is clear that in matters of the transfer of property, state sanction was always required. Even the endowments by private persons required the sanction of the state for validity by means of a royal charter which was granted according to the rule of "Bhumi Chchhidra" or Bhumichchhidanyayana". The administration of the religious or charitable endowment being well organised.

iv) Measurement of Land

During the Gupta period land measurement is evident from the 'Poona of Prabhavati Gupta' and many other contemporary inscriptions. The land was measured by the "Padavarta" or "the turning round of a foot", which determined the land assessment.

Location, and boundaries of individual plots were very carefully marked out and

measured by the record-keepers and influential men of the locality as revealed from the “Paharpur Copper Plate”, “Ustapala” an officer who maintained the records of all land transactions in the district and village account and preserved the records of land.

v) Transaction of Land

During the Gupta period we have about ten references in Copper Plates related to the transaction of lands. It is a matter of surprise that the purchase of a piece of land were followed by certain procedure like these days. First, the application was sent to the headquarters of district where the land was situated, i.e. to the “pustapala.”

On the receipt of the application for purchase, the leading men and head of families (sailing and purchasing) apparently of the localities or village were informed. Possibly to enable them to offer their objections if any.

If there were no objections and after receiving the permission of the “Vishyapati” or District head, the “pustapala’s” department which was granted according to the rule of Bhumichhidra” land was sold.

vi) Grants Of Land

During the Gupta period, there were two types of land grants such as- (A) Religious grants and (B) Secular grants.

A) Religious Grants

There are two types of religious grants such as -

- a) “Agrahara” grants were restricted to the “Brahmans”. They were meant to perpetual, hereditary and tax free, accompanied with the assignment of all land revalue e.g. the Nalanda and Gaya grants of Samudragupta.

The main condition of these grants was that the revalue paying tenants should not be admitted to the privileged villages to harm the king’s revalue. These grants were declared to be liable to resumption for breach of certain such as no treason against the ruler not guilty of offences of thefts, adultery etc.

The king could terminate such grant any time usually it was not done so because that would have offended the grantees who were either influential “Brahmans” who commanded respect in the society. Thus, the “agrachara” grants underlined the privileged position of the Brahman.

- b) “Devagrachara”: grants were those grants which were granted to the secular parties who administered them for religious purposes.

The records of the “Maharajas” of Uccakalpa dynasty of Central India shows that while one of their known land grants was made in favour of a Brahman, all the rest are concerned with donation to persons of various classes such as writers and merchants for the purposes of repair and worship of temples.

B) Secular Grants

The epigraphic evidence of land grants made to officers for their administrative and military services is lacking but such grant cannot be ruled out because certain designations of administrative official such as ‘bhagika’ and ‘bhogapatika’ and administrative units of the Gupta period suggest that land revenues were granted for remunerating government services.

The Uccakalpa dynasty made such land grants even independently to secular parties e.g. two villages were bestowed as a mark of favour, in perpetuity with fiscal and administrative right upon a person called Pulindabhatta who seems to have been an

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aboriginal chief.

vi) Beginning of Sub-In-Feudation

The Gupta's land-grants from Bengal and Eastern India do not authorise the beneficiary to alienate or grant his rents or lands to others. But during the reign of Skandagupta, Indore grants in Central India authorises the guarantee to enjoy the land, cultivate or get it cultivated, so long as he observes the conditions of the grants.

This leaves scope for creating tenants on the donated land. Perhaps, this provides the earliest epigraphic evidence of sub-in-feudation in fifth century A.D.

(vii) Position of Peasants

The recipients of land grants in central and Western India were given the right to punish the thieves and maintain law and order from the fifth century A.D. onwards. With these rights fiscal rights obviously led to the oppression of peasants and other inhabitants of the village.

In Gujarat, Central India and even Orissa inscription from the sixth century A.D., mention that the peasants were often required to remain on their land even when it was granted to others.

Thus the position of independent peasants was undermined and they were reduced to serfs or semi-serfs. Peasants were also exploited by the right of such in feudation granted to recipients of land grants.

This practice of sub in feudation reduced permanent tenants of the position of tenants "at- will". The position of tenants was also declined on account of the imposition of forced labour and several new taxes.

There are abundant references to agriculture and its every aspect in the sources of the Gupta period. An encouraging and co-operative nature of Gupta rulers greatly helped the expansion agriculture. Apart from the state and individual cultivators, "Brahmans", "Buddhist" and "Jaina", "Samghas" brought waste lands under cultivation, when these were denoted to them as religious endowments.

Both "Narada" and "Brihaspati" understand the importance of agriculture. They laid down the rules for drastic punishment for the guilty of either damaging crops or stealing food grains. Cultivators was also asked to fence and protect their fields properly.

viii) Land Holdings

During the Gupta period the agricultural holdings were probably small and were cultivated by the owner with the help of his family members. But, according to reference of "Gunaigarh plate", indicated the eleven "patakas" of land-holding, where the owner hired the labour for its cultivation.

"Narada" and "Brihaspati" laid down the rules to govern the relations between land-owner and the hired labour. These rules were essentially meant to safeguard the interests of both the parties concerned.

ix) Crops

Mostly agriculture depends upon the rains. "Brihatsamhita" of "Varahamihira" deals elaborately with meteorological observations providing guidelines to cultivators. According to him, there were three harvests at least in some

3.4.7 Art

The glorious of the Gupta age proper (C. 350-650) have been made permanent through the visible creations of its art. Different forms of art, e.g. sculpture painting and terra-cotta attained a maturity balance and naturalness of exoression that have for ever remained

unexcelled. Some of our most beautiful monuments representing the very acme of India's artistic achievement among which the immortal Ajanta murals take precedence constitute the cultural heritage of the Gupta period.

It is contended that during the Gupta period the proto-type of Hindu temple came into existence. It is rather unfortunate that many of the temples were destroyed by the iconoclasm of Muslims in the first few centuries of the second millennia. Whatever that remains of the Gupta temples the practice of keeping the principal image in the Garbhagriha (womb-house) began from this period. The structure itself was enclosed by a courtyard which in the later period housed a complex of shrines. Also it is from the Gupta period that temples came to be largely built in stone leading to the evolution of the monumental style in Hindu architecture.

This practice of free standing temples was not taken up by the Buddhists. They continued to excavate hills. Some of their caves are richly adorned with paintings like those of Ajanta. In the field of art the Gupta age witnessed classical levels in music. Architecture, sculpture and painting. The Gupta sculptures exhibit a gracious dignity never to be repeated again in Indian sculpture. Plain robes flowing over the bodies appear as though they are transparent. Transparent drapery is used not to reveal the charms of the flesh but to conceal them. If the schools of Bharhut, Sanchi and Mathura are marked by a sensual earthiness and that of Amravati by vital excited movement the Gupta sculpture suggests serenity and certitude.

It is however in the field of sculpture that classical heights were reached in the Gupta period. The Buddha images at Sarnath reflect serenity and contentment mirroring the religious atmosphere of the age. This practice of carving images was picked up by Hinduism also. Since Hinduism created the image as a symbol the images are not representational just like those of Buddhism. The Hindu gods of the Gupta period were primarily incarnations of Vishnu.

The Gupta sculptural style probably grew out of the Kushan style that survived at Mathura. In early fifth century a distinctive icon was created. It is represented by a red sand-stone figure of a standing Buddha with an immense decorated halo. The tension which activated earlier tranquility, a spiritual otherworldliness which is the hallmark of the Gupta Buddhist.

According to authorities the Mathura style was refined and perfected at Sarnath. A great number of Buddhist sculptures were unearthed here. One unique group is known as the 'wet Buddhas' because the sculptures look as if they have been immersed in water. The Mathuran string fold motif is omitted and the sheer Muslim Sanghati appears to cling to the body and reveal its basic form.

A great example of Gupta sculpture created at Sarnath is that of the seated Buddha preaching the Law, carved of Chunar sandstone. This piece harmonises refined simplicity and Indian love of decoration. This particular image influenced India and also had a significant and lasting effect on Brahminical art. In this sculpture the Buddha is seated as a yogi on a throne and performs the Dharmachakra mudra.

From the end of the fifth century on first under the onslaught of the Huns and later with the advent of Islam, many of the products of the Gupta art, both Buddhist and Hindu were destroyed.

A remarkable piece of Gupta metal-casting found at Sultanganj in Bihar is nearly feet high. Another metal figure but of a smaller size in bronze was found in U.P.

A group of small ivory images of Buddhas and Bodhisattavas founding the Kashmiri

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area are prime examples of late Gupta art from about the eighth century.

Now for brahminical art. Even during the Kushan period sculptures of Hindu subjects such as the Sun God Surya and of Vishnu were produced at Mathura and elsewhere. During the Gupta period a major group of brahminical sculptures appeared dealing with the various aspects of Vishnu. In the Udaigiri rock-cut shrine near Bhopal Vishnu is presented as the cosmic boar Varaha. The figures of Yakshi were also culled in the Udaigiri shrine. They now appear as river deities. This transformation can be clearly seen in a figure from the doorway of a Gupta temple at Besnagar nearby. It appears to represent the sacred river Ganga. The goddess stands in the classic tribhanga.

Paramount among Hindu sculptures of the Gupta period are the reliefs on the exterior walls of the ruins of the Dasavatara Temple at Deogarh near Jhansi. Vishnu is shown asleep on the coils of the giant multi-headed serpent Ananta. Brahma is depicted separately seated on a lotus blossom. In the upper reaches of the relief deities including Indra and Shiva are represented. At the base of this sculptural relief there is a panel depicting events from the epic poem the Ramayana.

Also it is interesting to note that the earliest surviving examples of painting in Ajanta Caves belong to the Gupta period. In Cave 1 we see Gupta architecture wrought from solid stone. This cave is also a virtual museum of Buddhist art. From every part of the cave we see paintings depicting the rich and complex Buddhist world of the late fifth century. The subject matter of the paintings is the various lives and incarnations of the Buddha as told in the Jataka tales. The Bodhisattava Padmapani in the tribhanga pose of sculpture holds a blue lotus. This figure expresses remote calm. The absence of shadows suggests an unworldly light. This light is present in all the paintings of Ajanta and is partly the result of the techniques used by the artists.

Another elegant Bodhisattava figure in Cave 1 is shown surrounded by his queen and ladies of the court. It recreates an episode from the Jataka story. In cave 19 we have a fully developed Chaitya façade to Gupta style. It has over-abundance of Buddha images.

General Estimate

The characteristic features of Gupta art are refinement or elegance simplicity of expression and dominant spiritual purpose. An ensemble of these characteristics give Gupta art an individuality. In the first place this art is marked by refinement and restraint which are the signs of a highly developed cultural taste and aesthetic enjoyment. The artist no longer relies on volume to give an impression of grandiose but focuses his attention on elegance which is not lost in the exuberance of ornaments. The keynote of his art is balance and freedom from the dead weight of conventions. The dictum is at once apparent if we compare the standing life-size figure of the Gupta Buddha of Yasadinna with the colossal standing Bodhisttava in the Sarnath Museum both from Mathura and in red sand stone.

Another characteristic of Gupta art is the concept of beauty for which we have a very appropriate term *rupam* used by Kalidasa. The men and women in this art-loving age applied themselves to the worship of beautiful form in many ways. But aesthetic culture did not weaken the strong structure and stamina of life or bedim its supreme objective of yielding to the riotous worship of the senses. Art was worshipped in order to deepen the consciousness of the soul and awaken it to a new sense of spiritual joy and nobility. Kalidasa the supreme genius and poet of this age has expressed this attitude of life devoted to beauty in a sentence addressed to Paravati the goddess of personal Charm by her consort Siva: 'O fair damsel the popular saying that beauty does not lead to sin is full of unexceptional truth'. The path of virtue is the path of beauty this appears to be the guiding impulse of life in the Gupta age. To create lovely forms and harness

them to the needs of higher life this was the golden harmony that made Gupta art a thing of such perpetual and in-exhaustible attraction.

3.4.8 Architecture

The Guptas focused on temples, unfortunately most of them were destroyed by invaders. A few still survive and are living examples of the architectural standards of the era. The temples of the Gupta period brought the new concept of installing statues of Gods in temples, a practice that did not take place earlier. The temples were constructed on top of a high base which was accessible by stairs that were located on all four sides. The roof and pillars of the temples were artistically decorated but the interior of temple was left undecorated. There was also move towards the use of stone in construction instead of the earlier brick or wood. With the advent of image worship there were changes in the concept of temples. It was no longer considered appropriate to house deities inside caves, and hence the concept of a free standing structure became prevalent. This gave artisans a much greater scope in design and style and Hindu architectures began advancing. In time the temples grew more and more majestic with rich sculptures and ornamentation. The main deity was soon surrounded by several other 'helper' deities. An interesting development was the creation of manuals which described how temples were to be constructed and apparently these manuals were faithfully followed.

Sculpture: The Gupta period developed a form of sculpture that was wholly Indian, the foreign influences that had crept in the Gandhara and Mathura schools of arts disappeared. Most sculptures focused on religious and spiritual themes, like the Buddha or Hindu Gods like Vishnu and Shiv. The art had been highly developed and the sculptures were exquisite. They had well balanced proportions and were usually shown wearing close-fitting transparent garments. The artists focused on developing the poses and gestures of the figures. The artists were also able to perfect the technique of making the outer appearance reflect the inner spirit, they were able to create images that actually imparts the emotion it depicts. During the Gupta period the image of the Buddha was refined further. Two prominent types of Buddha sculptures that developed were the Standing Buddha of Mathura and the Sitting Buddha of Sarnath.

Painting: Painting made great advances in the Gupta period. The most famous painting of the Gupta period are the caves of Ajanta. These painting are known as frescoes. In the caves of Ajanta the artists observed a particular technique for doing their work. The rock walls of the cave were first covered with a mixture of clay, cow dung and smashed rock. On top of this a thin coat of lime plaster was applied. It was then smoothened and kept damp. On this surface the outline of the design was first sketched in dark colors like dark brown or black. After this was done it was filled in, using a variety of colors like white, red, blue, dull green and brown. The theme of these paintings was from the Jataka tales, a collection of stories about the life of the Buddha. The paintings depict the Buddha in various stages of his past and present lives.

Art and Culture

The Gupta period witnessed a tremendous progress in the field of art, science and literature and on account of this it has been called "a golden age". A few scholars even call this period of renaissance.

But it should be remembered that there was no dark period before the Gupta rule. Therefore the cultural progress witnessed during the Gupta period may be called the culmination of Indian intellectual activities.

Art and Architecture

In the history of Indian art and architecture, the Gupta period occupies an important place. Both the Nagara and Dravidian styles of art evolved during this period. But most

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of the architecture of this period had been lost to foreign invasions like that of Huns. Yet, the remaining temples, sculptures and cave paintings provide an idea about the grandeur of the Gupta art.

The temple of Deogarh near Jhansi and the sculptures in the temple at Garhwas near Allahabad remain important specimen of the Gupta art. There was no influence of Gandhara style. But the beautiful statue of standing Buddha at Mathura reveals a little Greek style. The Buddha statue unearthed at Saranath was unique piece of Gupta art.

The Bhitari monolithic pillar of Skandagupta is also remarkable. Metallurgy had also made a wonderful progress during the Gupta period. The craftsmen were efficient in the art of casting metal statues and pillars. The gigantic copper statue of Buddha, originally found at Sultanganj now kept at Birmingham museum, was about seven and a half feet height and nearly a ton weight. The Delhi iron pillar of the Gupta period is still free from rust through completely exposed to sun and rain for so many centuries.

The paintings of the Gupta period are seen at Bagh caves near Gwalior. The mural paintings of Ajantha mostly illustrate the life of the Buddha as depicted in the Jataka stories. The paintings at Sigiriya in Sri Lanka were highly influenced by the Ajantha style.

The Gupta coinage was also remarkable. Samudragupta issued eight types of gold coins. The legends on them throw much light on the achievements of that marvelous king. The figures inscribed on them are illustrative of the skill and greatness of Gupta numismatic art. Chandragupta II and his successors had also issued gold, silver and copper coins of different varieties.

Literature

The Sanskrit language became prominent during the Gupta period. Nagari script had evolved from the Brahmi script. Numerous works in classical Sanskrit came to be written in the forms of epic, lyrics, drama and prose. The best of the Sanskrit literature belonged to the Gupta age.

Himself a great poet. Samudragupta patronized a number of scholars including Harisena. The court of Chandragupta II was adorned by the celebrated Navratnas. Kalidas remain the foremost among them. His master –piece was the Sanskrit drama Shakuntala. It is considered one among the “hundred best books of the world”. He wrote two other plays- the Malavikagnmitra and Vikramorvasiya; His two well-known epics are Raghuvamsa and Kumarasambhava. Ritusamhara and Meghaduta are his two lyrics..

Visakadatta was another celebrated author of this period. He was the author of two Sanskrit dramas. Mudrakshasa and Devichandraguptam. Sudraka was a renowned poet of this age and his book Mrichchakaktika is rich in humour and pathos. Bharavi’s Hritarjuniya is the story of the conflict between Arjuna and Siva. Dandin was the author of Kavyadarsa and Dasakumaracharita. Another important work of this period was Vasavadatta written by Subhandhu. The Panchatantra stories were composed by Vishnusarma during the Gupta period. The Buddhist author Amarasimha compiled a lexicon called Amarakosa.

The Puranas in their present form were composed during this period. There are eighteen Puranas. The most important among them are the Bhagavatha, Vishnu, Vayu and Matsya Puranas. The Mahabharata and the Ramayana were given final touches and written in the present form during this period.

Science

The Gupta period witnessed a brilliant activity in the sphere of mathematics, astronomy, astrology and medicine. Aryabhatta was a great mathematician and astronomer. He

wrote the book *Aryabhatiya* in 499 A.D. It deals with mathematics and astronomy. It explains scientifically the occurrence of solar and lunar eclipses.

Aryabhatta was the first to declare that the earth was spherical in shape and that it rotates on its own axis. However these views were rejected by later astronomers like Varahamihira and Brahmagupta. Varahamihira composed *Pancha Siddhantika*, the five astronomical systems. He was also a great authority on astrology. His work *Brihadsamhita* is a great work in Sanskrit literature. It deals with a variety of subjects like astronomy, astrology, geography, architecture, weather, animals, marriage and omens. His *Brihadjataka* is considered to be a standard work on astrology.

In the field of medicine, Vagbhata lived during this period. He was the last of the great medical trio of ancient India. The other two scholars Charaka and Susruta lived before the Gupta age. Vagbhata was the author *Ashtangasamgraha* (Summary of the eight branches of medicine).

3.4.9 Education

The Gupta period is known for the great importance that was given to education. The Guptas founded and patronized several universities of higher learning. The universities had such a high standard of education, that India soon became a centre for learning, and students from across the world came to study in these universities. Some of the prominent ones of the period were Nalanda (which being a large one offered a variety of courses), Takshila (the oldest one, it specialized in medicine), Vallabi (religious learning, law and medicine amongst others), Ujjain (astronomy), Ajanta (art, architecture and painting) and Sarnath (study of the Buddhist religion). We shall take a closer look at two of these universities, Nalanda and Takshila.

Nalanda: This University was established during the reign of the Guptas and became a major centre of learning. Nalanda covered a vast area of about 1280 square meters. The central college building had eight large halls and about three hundred apartments attached to it. There were good library facilities. Nalanda had excellent infrastructure which included a great complex of hostels, lecture halls etc. Nalanda had a student community of about nine thousand and a teaching community of about one thousand. This gave the university the amazing 1:9 teacher to student ratio which speaks volumes of the quality of education imparted. Nalanda was a premier university and only twenty percent of applicants were able to secure a place. Students were provided free of cost education and complete board and lodging as well as other essentials like clothes and medicine. There were several subjects and it was a comprehensive curriculum. Although examinations were held, a student was only allowed to return home once his teachers were completely satisfied with his progress. The mode of instruction was largely verbal, and the students would use the library for reference purposes. Debate and discussion formed an important part of the learning process. Nalanda had extensive library facilities, boasting of three excellent libraries. They were known as *Ratna-Sagara* (sea of gems), *Ratnaodahi* (ocean of gems) and *Ratnaranjaka* (collection of gems).

Takshila: Takshila has the distinction of being one of the first centers of higher learning in the world. It was established many years before the arrival of the Guptas, evidence indicates that it may have existed in 300 BC, when Alexander the Great entered India. One of its most famous pupils was Chandragupta Maurya, the founder of the Mauryan Dynasty.

Takshila was organized differently from Nalanda, it was not a formal college or university. Instead there were renowned teachers who taught various subjects like medicine, astronomy, astrology, commerce accountancy, law, magic, music, painting, crafts, archery and the study of the Vedas. Students would come to Takshila and take up education in their chosen subject with their teacher directly. Students sought admission

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when they were about 16. Unlike Nalanda they were supposed to pay for their expenses. However, if a student was unable to pay then he could work for his teacher.

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3.4.10 Science and Technology

During the Gupta age many achievements were recorded in the field of mathematics and astronomy were cultivated. Illustrious figures like Aryabhatta and Barahamihira flourished during this age. Aryabhatta wrote his treatise *Aryabhatiyam* in 499 A.D., which was the first to treat mathematics as a separate subject dealing with arithmetic, geometry, algebra and probably trigonometry. He was the first Indian astronomer to discover that the earth was a sphere and rotated on its axis. His calculation of the size of the earth was very near to modern estimation.

In his famous book *Suryasiddhanta* he explains that the lunar eclipse was due to the shadow of the earth falling on the moon. His unique contribution to the world of science was to place the value of numbers from 1 to 9 and the use of zero and the consequent evolution of the decimal system. Hence, it is no wonder that the first Indian satellite sent to the space was named after him.

Another astronomer and natural scientist was Barahamihira. He divided astronomy into three branches - *Tanta* (astronomy and mathematics), *Hora* (horoscope) and *Samhita* (astrology). His work, *Brihat-Samhita* is an encyclopedia on astronomy and *Brihatjataka* and *Laghujataka* works on astrology. Aryabhatta and Barahamihira were well acquainted with the contemporary Greek astronomy and their works clearly contain many Greek technical terms.

Latadeva was a well-known scientist and a disciple of Aryabhatta. He wrote *Paulisa* and *Romaka Siddhanta*, Brahmagupta was another famous astronomer and mathematician who anticipated Newton by declaring that "all things fall to the earth by law of nature, for it is the nature of the earth to attract and keep things." His *Brahmagupta Siddhanta* was a great work.

The period showed a keen interest in medical science. The earlier works *Charaka Samhita* of Charaka and *Susruta Samhita* of Susruta were considered guidebooks on medicine and surgery. The *Ashtanga-Samgraha* by Vagbhata was a systematic summary of Charaka and Susruta. The *Navanitakam* was another medical work on recipes, formulas and prescriptions. Palakapya was the author of *Hastayurveda*, a treatise on veterinary science dealing with diseases of elephants.

Chemistry and metallurgy made striking progress during the period. The rustless Iron Pillar of Mehrauli in Delhi shows the progress of metallurgy during the period. The pillar even with huge structure of (24 feet height and 40 C.M. diameters) has withstood the voyages of time for more than 1500 years. A number of bronze and copper images of Buddha have also survived. Hieun Tsang reports that he saw a 25 meter high copper statue of Buddha.

3.5 RAJPUTS

Post-Mauryan period in North India

Rajput (from Sanskrit raja-putra, “son of a king”) is a member of one of the patrilineal clans of western, central, northern India and some parts of Pakistan. They claim to be descendants of ruling Hindu warrior classes of North India. Rajputs rose to prominence during the 6th to 12th centuries. Until the 20th century, Rajputs ruled in the “overwhelming majority” of the princely states of Rajasthan and Surashtra, where the largest number of princely states were found.

The Rajput population and the former Rajput states are found spread through much of the subcontinent, particularly in north, west and central India. Populations are found in Rajasthan, Gujarat, Uttar Pradesh, Himachal Pradesh, Haryana, Jammu, Punjab, Sindh, Uttarakhand, Madhya Pradesh and Bihar.

Rajputs (Rajaputra) are a sub-group of Hindu Kshatriya varna. They have a Hindu Jati (an endogamous group within the Hindu social system). Rajputs are literally sons-of-kings. They are divided into 36 major clans, names of which are recorded in several texts including the Kumarpala Charita of Jayasimha, and Prithviraj Raso of Chandbardai.

The Rig Veda is the first and most important of the four Vedas and Rajput rishis (rajrishi) are mentioned in it. To each of its hymns the name of the seer or Rishi to whom it was revealed is prefixed. It thus becomes evident on the authority of these very names (such as Vasishta, Viswamitra, Agastya, etc.), all of which belong to men born in various manvantaras, that centuries, and perhaps millenniums, must have elapsed between the dates of their composition. The Gayatri, the most sacred hymn of the Rig Veda, is taken from the third of the ten cycles of hymns, the cycle of the Rajaputra Sage Viswamitra.

Rajputs are one of the major Hindu Kshatriya groups in India. After the death of Harsha, northern India disintegrated completely. This period was marked by the ascendancy of the Kshatriya clan, Rajputs. Under their rule several small kingdoms sprang up. These small provincial kingdoms, however, were continuously at war with each other. This period has been conveniently termed as the Rajput period by the historians. Though the origin of the Rajputs had not yet been discovered, the historians have opined that there were several dynasties belonging to the Rajput house proper. The Pratiharas and the Chauhans rose in ascendancy in the Rajput Period. The Rajputs were the warrior clan and during this period they captured the whole of northern India under their supremacy. The victory in the Tripartite Struggle established the suzerainty of the Pratiharas in northern India. However, the Pratihara supremacy declined under the successors of Mahipala Pratihara. The Rajput power again revived under Prithviraj Chauhan.

Vedic literature mentions that Rajput is derivative of the concept of the word ‘Rajaputra’ meaning the “Son of a King”. According to the then social structure the Rajputs were the assimilation of 36 “royal races,” or ‘raj kuls’. They were considered to be migrants to India from Central Asia who mingled with the aboriginal tribes and were given Kshatriya or warrior status by the priests. Even the Huns were also commonly listed as one of the ‘raj kuls’.

Among the different Rajput tribes there are Suryavanshi Rajputs, Chandravanshi or Yaduvanshi Rajputs that deserve special mention. Apart from these there are the Agni-kuls. According to the evidences, the generally acknowledged Agnikuls are the Chauhans, Parmars, Chalukyas, and the Purihars.

The Rajputs are a community that hailed basically from northern India and Gujarat. The main centres of the Rajputs were Rajasthan, Uttar Pradesh and Madhya Pradesh but their clans have had a long and significant presence in other states. In Madhya

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Pradesh Rajputs are the major Hindu caste and their dominance exists in Bihar, Uttarakhand, Himachal Pradesh and Gujarat as well. The Rajputs of India encompass many different tribes and they were praised for their valour and chivalry in battle.

The main feature of the Rajput kings was that they were reckoned as warriors and as influential rulers. They played a significant part in materialising the modern-day society in northern India. Apart from this they showered patronage on art and architecture and the Rajput rulers were also prolific builders of beautiful palaces. As per the archaeological evidence and contemporary texts, the Indian society had achieved significant prosperity during the Rajput rule. During their ruling period in India the spread of literacy attained great heights. Indian literature had reached to its zenith during this period and the literature in Sanskrit and in Apabhramshas which constitutes a large segment of the classical Indian literature. The Rajputs allowed intermarriage among the different Rajput clans that interlinked different regions of India and this made the trade and scholarship easier to flow from one part of the country to another. Though the majority of Rajputs practice Hinduism but they also practiced Shaivism, Vaishnavism, Shaktism and occasionally Jainism as well. They had strong support for Buddhists, Zoroastrians and Sufi traditions including Sikh panth as well.

The Rajputs maintained a strong social hierarchy and the Brahmins received good support from them. The Rajputs also patronised art and culture. The Rajput chiefs ruled much of northern and western India from 7th to 12th centuries until they were subdued by Muslim invaders in 1200 AD. During this time, many Hindu Rajputs were employed in the Mughal army. Even the Rajputs also joined the sepoy forces of the East India Company as infantry and cavalry from an early period. Prior to the Indian Mutiny of 1857, the Rajputs and Brahmins from Bihar and Oudh became the principal recruits sought by the Bengal army and also by Bombay army.

The Rajputs followed a traditional life style which was also the representation of martial spirit. They celebrate the festival of Rakhi and as per the belief of the Rajputs the bracelets would avert evil in battle. The dressing style and tradition of the Rajputs also carry their chivalric grandeur and ethnicity. As leaders of a primarily feudal society, they played the role of protectors. Affluent and powerful, they wear garments made of fine fabric, with elaborate designs and a high degree of ornamentation. The Rajput men, who were essentially warriors and farmers, always present a distinctly masculine appearance. The rajput men wear aristocratic dresses that are quite elaborate Court-dress and consists of pagadi, angarkhi, churidar pyjama and a belt called the cummerbund. The angarkhi is a long upper garment, worn over a sleeveless close fitting vest. It has an asymmetrical front with a yoke and is open, down its length at the centre-front and is fastened with cloth ties at the shoulder and at the centre-front waist. Other upper garments worn by royalty include the 'jama' and the 'shervani'. Lower garments include the 'salvar', a pair of shaped-trousers and the 'churidar-pyjama', which is a fitted pair of trousers. The dhoti is also worn, though styles differ from region to region. The tevtava style is most commonly worn in the Thar Desert region, while the other regions use the tilangi style. An interesting variation used by some older men is a semi-structured dhoti in which both the edges are stitched together. The Jodhpur-coat worn with Jodhpurs is a popular and typical combination worn by the Rajput men.

The costumes of the young Rajput girls include an upper garment called 'puthia' which is made up of cotton fabric in colours of yellow, pink and white and may be either plain or printed. The young girls wear a loose pyjama called 'sulhanki'. The married women wear 'kanchli', 'angia' and 'kurti' as upper garments that are made of satin or fine cotton in red, magenta, green or yellow. The 'kanchli' is heavily ornamented with gota in floral designs. The 'kurti' is a short sleeveless tunic with a deep neckline, which

is worn over the 'kanchli' and reaches a little below the waist. The women wear 'angia' at the time of marriage and the fabric and design of the 'angia' is almost the same as for the 'kanchli'. Widows and unmarried women of the Rajput community wear 'polka', which is a half-sleeved bodice that ends at the waist. Moreover the 'ghaghra' of the Rajput woman is a voluminous gored skirt of line satin, silk or organza. The 'ghaghra's are decked with gold or silver embroidery that display the affluence of the wearer. Rajput women wear three styles of 'ghaghra' namely Kalidar, 'charpau' and 'kalipatti'. One of the most important parts of the women costume is the 'odhna' which is woven in brocade and is worked in silk thread on a bright base, like pink or violet. The Rajput women wear different types of 'odhnas' depending on different occasions. The Rajput women prefer to wear jewellerys and these jewellerys are exquisite in style and design. Rakhdi is a head ornament; 'machi-suliya' is worn on the ears. Their necklaces are the 'tevata', the 'pattia' and the 'aad'. The 'rakhdi', 'nath' and the 'chuda' are symbolic of a woman's married status. Ornaments for the feet include the 'jod', 'rimjhol' and the 'pagpan'. The footwear of both men and women are very similar called 'juti' and is made of leather with dense embroidery on the surface.

The Rajputs are the groups that carry a distinct style in their traditional costumes. The men and women of this community prefer to embellish themselves with various jewellerys and ornaments.

The Theory of Foreign Origin

The propounders of this theory advocate that the Rajputs are the Kushans, the Sakas, the Hunas and the Gurjaras, who came to India and eventually settled in India. In course of time, they married Indian women, accepted local culture, gradually lost their original identity and mingled in the mainstream. They became an integral part of India, its populace and culture. They were brave, hardy and imbibed with the spirit of self-respect and sacrifice.

They defended the country with courage and manliness and identified themselves as the Rajputs. Their soldierly qualities, chivalry and sacrifice were universally recognized. However, among them, who failed to gain prominence were better known as Gurjaras, Ahirs and Jats.

This theory has gained considerable support from many quarters. Colonel James Tod, the author of "the Annals and Antiquities of Rajasthan" is a strong supporter of this theory.

1. The Theory of Foreign origin is based on the following points

- i) First there was no mention about the Rajputs anywhere in the ancient Indian literature prior to the invasion of Hunas. In fact, if the Rajputs had existed anywhere in India in ancient days, it would have been mentioned in the Vedic or other ancient literature.
- ii) Secondly, the custom of worshipping fire by the Rajputs was taken from the foreign invaders especially, the Hunas and the Sakas.
- iii) Thirdly, like the foreign invaders, the Rajputs were brave, war-loving and formidable.
- iv) Fourthly, like the foreign tribes, they followed the practice of sacrifice, Yajnas, Asvamedha Yajnas, etc.
- v) Lastly, many other customs and manly bearing of the Rajputs resemble more of the foreign tribes than Indian.

Dr. V.A. Smith has observed as follows

I have no doubt that the ruling families of both the Sakas and the Kushans when they become Hinduised were admitted to the rank of Kshatriyas in the Hindu caste

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system but this fact which can be inferred by analogy of what is ascertained to have happened in later days, cannot be proved.

Eminent historians like Crooks and Bhandarkar also support this view.

2. Lunar or Solar Origin Theory

A large number of Indian scholars do not approve the foreign origin theory. On the contrary, they argue that the Rajputs are pure Aryans and belong to the 'Suryavansi' and 'Chandravansi' dynasties of the Kshatriyas. They argue that ethnologically an inevitable conclusion automatically comes to light that the Rajputs are descendants of the Aryans, but not from the stock of the foreign invaders.

The inscriptions of the Chalukyas and Sisodias reveal that the Rajputs are the direct descendants of Lord Rama and Lord Krishna.

They further have got close resemblance with those of the Aryans. Their physical stature, soldierly bearing, love for honour, self-respect and sacrifice, etc., clearly indicate that they are originated from a highly advanced race, like the Aryans. The customs of worshipping fire of the Rajputs was taken from the Aryans and not from the foreign invaders. In fact, the practice of worshipping fire was prevalent in the Aryan society much before the foreign invasions. Similarly, the Rajput inherited the spirit of fighting and sacrifice, the ideas of Asvamedha Yajnas and many exercises, etc., from the Aryans. They assert that the word 'Rajput' is derived from 'Rajputra' and it has been frequently used in the Mahabharata. In 'Virata Parva' in the Mahabharata, Draupadi has been called 'Rajputri'. The present Rajput rulers of Rajasthan are proud of their descent and heritage from the ancient Aryans. Finally, several inscriptions of the ninth and tenth century show that the Rajputs firmly believed that they were the true descendants of the Suryavansi, founded by Lord Rama and the Chandravansi founded by Lord Krishna, both the incarnations of God.

Scholars like Veda Vyas, Vaidya and Gouri Sankar Ojha are the vehement supporters of this theory.

3 The Agnikula Theory

Many Rajputs believe that they belong to Agnikula. They claim that four of their ancestors emerged from a sacred fire kindled at mount Abu. Each of them founded a Rajput clan named the Pratiharas, the Parmaras, the Chauhans and the Chalukyas. This theory was propounded by Chandrabardai in his book captioned 'Prithviraj Raso'. It reveals that Parshurama destroyed all the Kshatriyas and there was none to protect the Brahmans. At that juncture, the Brahmans kindled a sacred fire at Mount Abu and performed a Yajna lasting forty days. They sincerely prayed to the God for a warrior class for their protection. The Creator responded to their prayer and finally four heroes came out of the fire pit. These heroes are the founders of the four Rajput clans. Needless to add, this theory has not received universal approval of the scholars of standard authority. They feel that it is purely an imagination tampered with mythical conjecture. All said and done, on the very outset, the theory of emergence of human beings from the fire appears to be absurd.

4 The Theory of Descent of Kshatriya Heroes

Some scholars suggest that the Rajputs, especially, living along the Vindhya hills, are descendants of the original inhabitants of India. In support of their argument they cite that the Chandela Rajputs of Bundelkhand originated from the Gonds. Rani Durgavati also belonged to the Gond class. In fact, the Gonds are one of the original inhabitants of India. But this theory is not generally accepted. Indeed, on the basis of presumption that the origin of the Rajputs was from the inhabitants of Bundelkhand is hard to rely without

any other corroborative evidence.

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5 The Plausible Theory

Analysis will reveal that none of the theories, is conclusive. In fact, the historians opine that the Rajputs were neither purely Indians nor purely foreigners. They were, in fact, a mixed race. Dr. V.A. Smith asserts that the Rajputs were descendants of the foreign invaders, known as the Kushans, the Sakas and the Hunas. In addition, a sizeable population of them belonged to the ancient Kshatriya classes of the ancient Indians. In the beginning the Rajputs, irrespective of the Indian and foreign elements were essentially an occupational group. They were fond of fighting, could wield swords efficiently and possessed martial habits. They were courageous, proficient in warfare and took pride in identifying themselves as the Rajputs. In course of time, the enmity between the foreign elements and the Indian members disappeared. A remarkable fusion between the two and a homogeneous culture developed. Thus the professional group attained the characteristic of an independent social group.

Dr. V.A. Smith has further added that the term 'Rajputs' has no connection with race, meaning descent or relationship by blood. It merely denotes a tribe, clan, seat or caste of warlike habits. Indeed, the Rajputs emerged from the most diverse descent. Many of the clans were descents of the foreigners who had entered into India during the 5th and 6th centuries and the rest descended from the indigenous tribes of India.

Iswari Prasad has also asserted that the foreign tribes who settled in India made a fresh re-arrangement of social groups with the ancient Kshatriyas and their Brahman advisors and made a mark for courage and chivalry, honour and spirit of independence and eventually identified them as the Rajputs.

Examining pros and cons, most of the scholars have generally accepted the theory of the mixed race. Finally, whatever may be the correct position, the soldierly bearing of the Rajputs, their courage, spirit of independence, etc., have indisputedly distinguished them. Their unprecedented sacrifice and lofty examples of heroism to defend the country against the rapacious invaders have placed them in high esteem and enviable position of the Indian history.

3 The Gurjara Pratiharas

Historically, the Pratiharas were the most important of the Rajput clans. They are identified as one of the descendants of the four fireborn clans, i.e., the Agnikula Rajputs. They are also believed to be of Gurjara. The dynastic lists of Gurjara rulers, however, do not take us beyond 500 A.D. They are first mentioned in the Aihole Inscription 634 A.D. of the time of Pulakesin II and in the Ban's Harshacharita.

The Gurjara Pratiharas ruled from the eighth century A.D. to the beginning of eleventh century. They claimed their descent from Lakshmana, the brother and Pratihara of Rama. It appears that Gurjaras were a mobile tribe who settled in different places of Rajputana and some parts of the northern India. It is also confirmed from the Rashtakuta records that the pratiharas belonged to the Gurjara stock. According to Dr. R.C. Mazumdar, the Gurjara Pratiharas of Kanauj was the sub branch of the Gurjara Pratiharas of Ujjain branch.

Nagabhata I was the founder of the line. He claims to have destroyed the armies of a powerful mlechha king. In fact, the mlechha king, perhaps, was Muslim ruler in Sindh. However, from 756 A.D. to the close of the tenth century, as good as twelve Pratihara rulers existed and ruled. The fourth king of the line was Vatsaraja (775-800 A.D.), a grand nephew of Nagabhata. He led an expedition against Bengal. But he was defeated and exiled temporarily by 'Rashtrakuta' king Dhruva. He also was repulsed by Dharmapala of Bengal who installed Chakrayudha at Kanauj.

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Nagabhata II succeeded Vatsaraja and ruled from 800 to 833 A.D. He drove out Chakrayudha from Kanauj and made the latter his capital. But he lost Malwa to Govind III of the Rastrakuta dynasty. However, he achieved some military successes in the north.

Mihira Bhoja: Mihira, the grand nephew of Vatsaraja earned laurel and ruled about half a century from 840 to 890 A.D. He was better known by his title Bhoja. He had also other titles, named Prabhasa and Adivarsha. During his reign, the north-western bounded of the Kanauj was the Sutlej, the south-western boundary was the Narmada, which had separated the Rashtrakuta territory. The eastern border was separated by the boundary of Bihar and Bengal. In the south, the territory of the Chandels of Jejakabhukti (Bundelkhand) which perhaps accepted Bhoja's suzerainty. Perhaps, Bhoja successfully invaded Bihar and Bengal. However, he had reverses in the hands of Samkaravarman of Kashmir.

The reign of Mihira Bhoja was glorious and famous. He was an enterprising ruler of the Pratihara dynasty. He consolidated the empire inherited and further strengthened by conquests. Apart from subduing Bundelkhand, he brought Rajputana under control. The Pratapgarh Inscription confirms that Mihira Bhoja ruled over the southern part of Rajputana. Kalhana's 'Rajatarangini' speaks that Mihira Bhoja ruled over Karnal region of the Punjab. The Una copper plate and the inscriptions discovered at Gwalior and Devgarh reveal that the western and the Central India also remained under the control of Mihira Bhoja and his representatives governed the Central India. He maintained an efficient army and a fine cavalry. His administration was progressive. Dr. R.C. Mazumdar has remarked that Bhoja was a strong ruler, ably maintained peace and defended the kingdom against external attacks. He stood as a bulwark of defence against Muslim aggression and left his task as a sacred legacy to his successors.

He was not only a conqueror but also a great lover of art and literature. He was a great patron of men of letters. He encouraged persons of literary taste. Post Rajashekhara adorned his court. He was a great devotee of Lord Vishnu and Shiva. Dr. R.S. Tripathy has remarked. "The kind Bhoja stood forth as the champion of indigenous culture and maintained a large army so as to ensure the safety of the citizens against both external and internal dangers".

Mahendrapala (890-908 A.D.): Mihira Bhoja's son Mahendrapala succeeded and ascended the throne. He annexed Mahadha and the northern Bengal. Perhaps, he achieved victory over Saurashtra. He brought Kurushetra, an important place of the Punjab under his control. Perhaps, he received a setback in the north.

He was a patron of scholars and profusely honoured his guru (teacher) Rajashekhara, a famous Sanskrit scholar, a dramatist and critic of the time. Rajashekhara wrote many famous books named, "Karpuramanjari", "Bhavana Kosha", "Harvilasa", "Bal Bharat", etc.

After his death a war of succession took place which substantially weakened the power, prestige of the dynasty. Several small states surfaced taking advantage of the feeble successors. Finally, Mahipala ascended the throne defeating his elder brother Bhoja II in 910 A.D. and ruled till 940 A.D.

Mahipala: Mahipala was an able and a brave king. But he had to face several odds. In 916 A.D. Indra III of Rashtrakutas attacked Mahipala with a strong force and took Kanauj. However, after some time Mahipala regained his lost territory and established his authority again over Kanauj with the aid of the Chandel kings. He also expanded his authority over the Doab, Benaras, Gwalior and probably, over Kathiawar. However, in 916 A.D., Kathiawar was lost to the Chalukyas. Subsequently, the Chandels and the

Chedis became independent in the region between the Jamuna and the Narmada. Rajashekhera designates Mahipala, the “Kind of Aryavarta”. However, it is certain that the Pratihara kingdom did not fully recover from the blow received in the hands of the Rashtrakutas. Undoubtedly, it showed a clear trend towards decline. Dr. R.C. Mazumdar has remarked, “But the prestige of the Pratiharas suffered a severe blow from which they never completely recovered”.

Rajyapala: He was the last important king of the dynasty. Meanwhile, the Pratiharas lost Gujarat to the Chalukya kingdom of Anhilvara in 961 A.D. Munja (974-995 A.D.), the Paramara ruler of Dhara, also became independent.

When Sultan Mahmud of Ghazni with his army entered Kanauj in 1018 A.D., Rajyapala out of fear and confusion fled away from Kanauj. The act of cowardice was resented by the Rajputs who killed the king and enthroned his son, Trilochanpala. Subsequently, Sultan Mahmud invaded Kanauj and defeated Trilochanpala.

Therefore, the dynasty fast lost its valour and supremacy and went to obscurity. Perhaps, the remnants of the empire survived here and there in shape of petty principalities.

The Pratiharas played a significant role in defending the country against the Arab invasion. The historians agree that from the days of Junaid (725 A.D.) till attack and plunder let loose by Mahmud of Ghazni, the Pratiharas deserve the credit of defending the northern India against the onslaught of the Muslim invaders. It may be noted that the Muslim invaders in India was comparatively slow. In other words, the Muslim invasions subdued other countries of the Asian continent, virtually in double quick time. Nevertheless, surprisingly, the progress of their conquest in India was slow, toilsome and uncertain. Often it remained hanging in balance and had to be suspended temporarily because of obstinate resistance mustered by the Hindu kings. Evidently, the Pratiharas’ powerful arms debarred further advance of the Muslims beyond the Sindh for about three hundred years from the first Muslim conquest and the fall of Sindh. This was the significant contribution of the Pratiharas which helped to uphold the independence of the country. Undoubtedly, their heroic deeds has added a glorious chapter in the history of India.

3.5.1 The Gahadvalas

Origin of the Gahadvalas: Origin of the Gahadvalas is obscure. The historians advance various theories to pinpoint their origin. A school of scholars feel that the Gahadvalas was a sub-branch of the Rashtrakutas. Others, however, feel that it was an independent dynasty. The name of Gahadvalas has not been mentioned in the list of 36 Kshatriya dynasties described in Kalhana’s ‘Rajatarangini’. In Vishnu Puran, ‘Gahwar’ and ‘Giri’ were used for the persons who used to live in forests. Shri B.N. Rai remarks that the ‘Gahad’ has been used in the sense of Balram and the Gahadvalas were as brave as Balram. Shri C.V. Vaidya writes that the Gahadvalas used to live in the province of Gahad in the Deccan. Subsequently, they extended their authority and established their rule in the northern India. however, Col. Tod has mentined Gahadvalas as a separate dynasty and belonged to the Kshatriya caste.

Many scholars refer that King Yashovigraha was the founder of the dynasty. But others differ and, therefore, it is difficult to pinpoint as to who was the real founder of the dynasty. However, it is correct to conclude that during the latter half of the tenth century, taking advantage of the decay of power and authority of the Pratiharas, a new imperial authority named Gahadvalas emerged in the political horizon of the northern India. Towards 1090 A.D. Chandradeva, the third king of the Gahadvalas clan captured Kanauj and extended his power and authority right up to Ayodhya and Banaras. The dynasty flourished and gradually attained the imperial status. It continued prospering till it was invaded by Shihab-ud-din in 1194 A.D. Chandradeva adopted the titles of ‘Maharajadhiraj’, ‘Prabhatarak’ and ‘Parameshwar’. In fact, the dynasty by virtue

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of its supremacy and imperial status had to face the Muslim invasion the Inscriptions of the dynasty mention about a levy called 'Turushkadanda'. The levy indicates about meeting cost of the war against Muslim or for paying tribute to them.

Govindachandra, the grandson of Chandradeva, was perhaps the greatest king of the line (1104 to 1155 A.D.). He reigned more than fifty years. In his time, Kanauj assumed extra-ordinary importance. Several coins of the period confirm about the exalted position of Kanauj. Evidence shows that the king worshipped Sun, Siva and Vasudeva and made rice oblations in the fire. He was generous to the Buddhist monks and scholars. Once, the king donated six villages to the congregation of Sakaybhikshus living in the monastery of Jetavana. He displayed remarkable ability as a soldier and an administrator. He repulsed the Muslim attack. Perhaps, he saved Varanasi from the attack of the Muslim invaders. The Sarnath Inscription refers to the achievements of Govindachandra against the Muslim invasion. His performance was eulogized and lauded and he was given the title of Hari Bhagwan for protecting the holy city Varanasi.

He undertook the policy of conquest and annexation. He defeated the Kalachuris and captured some of their territories. He also conquered some territories in the south of the Jamuna river. The inscriptions of Lara and Manera reveal that he had extended his hold over Muddagiri. However, other sources confirm that his possession over Muddagiri (Bihar) short lived.

An Inscription discovered at Chhattarpur reveals that Govindachandra defeated the Chandela king Jayavarman and established his control over the place. From the inscription of Madanvarman it comes to light that the Chandelas succeeded in re-establishing their authority over Chhattarpur soon.

The eastern Malwa was under the control of Paramara king. Govindachandra defeated the Paramara king and captured the region. On the day of the victory, his grandson was born, who was named Jaichand.

He maintained friendly relation with Jai Singh, the ruler of Kanayakubja and with the ruler of Tanjore. He sent his representative to the Council of Kashmiri scholars.

His accomplished queen Kumaradevi was a descendant, on her mother's side, of the Palas of Bengal. Her father was a king of Pithi, probably, Pithapuram of the Godavari region. She was an ardent Buddhist. Govindachandra being an orthodox Hindu married a woman from the Buddhist faith. It, therefore, unambiguously proves his religious tolerance and liberality. It also proves that matrimonial alliance between the Hindus and Buddhists was prevalent in those days.

During his regime, literature flourished substantially, Lakshmidhar, one of his ministers wrote a famous book on Naya (law) which is known as "Kratykalpataru". The famous books like 'Yavahara – Kalpataru', 'Devakalpataru' and 'Vivad-Kalpataru' were also written.

3.5.2 Vijaichandra

Vijaychandra son of Govindachandra succeeded his father. Like his father he was equally powerful. He repulsed the attack of the Muslims and maintained the integrity of his dominion.

Dr. R.S. Tripathi has pointed out, "Like his father, Vijaichandra also stood as a bulwark against the Muslims".

He defeated king Lakshman of Gauda and defeated the king of Timura dynasty and annexed the Timura Kingdom.

Meanwhile, the Chauhan dynasty came to prominence, which correspondingly reduced power and importance of the Gahadvala empire. Bisaldev of the Chauhan

dynasty imposed his authority and control over Delhi in and around 1164 A.D. Taking advantage of internal squabble the Muslims attacked Delhi and simultaneously crushed the Gahadvala empire.

3.5.3 Jaichand

King Jaichand, grand son of Govindachandra succeeded his father. He is popularly known in Hindi literature as Raja Jaichandra. His daughter Sanyogita was carried away from the Swayamvara by king Prithviraj Chauhan of Ajmer. This story is mentioned in “Prithviraj-Raso” by Chand Bardai. However, such a romantic story is not accepted by many historians. They feel that it was a wishful thinking of the court poet with a view to pleasing the master. However, it is believed that this sordid episode generated rancorous relationship between Jaichand and Prithviraj.

The Muslim historians identify him as the king of Benaras. Muslim invader Shihab-ud-din defeated his army with heavy slaughter at Chandawar, near the Jamuna in the Etawan district. In the battle, the king was killed. The invaders ransacked Benaras and carried away a sumptuous booty, loaded on 1,400 camels. The Chandela princes of Mahoba took the place of the Gahadvalas in Kanauj. Thereafter, eight generations ruled. But details of their rule are hardly known.

Many historians assert that Jaichand nursed grudge against Prithviraj as the latter eloped his daughter. Hence, to avenge humiliation, he invited Shihab-ud-din Muhammad Ghor to attack Prithviraj’s kingdom. The first attack of Muhammad Ghor was repulsed by Prithviraj. At that juncture, Jaichand, instead of helping the Chauhan chief against the foreign enemy remained aloof. However, during the second attempt Prithviraj was defeated. The fall of Prithviraj made Jaichand happy. But his jubilation was illusory. Soon, the Muslim invaders attacked Jaichand, defeated him, plundered his capital and mercilessly killed the people. Torrent and might of Muslim invasion crumbled the Gahadvala empire. Dr. R.S. Tripathi rejects this view, as it is not corroborated by any contemporary Muslim historians. It is felt that the whole episode is based on loose imagination and there was an attempt to malign Jaichand.

The Rathors of Jodhpur claim descent from Jaichand through a boy who survived the massacre. It is not ruled out that the Gahadvala clan migrated to the desert of Rajputana after the fall of Kanauj.

Harishchandra was the last ruler of the dynasty. He ascended the throne after the death of his father Jaichand. With him, pomp and grandeur of Kanauj and its dynasty came to an end.

Dr. R.S. Tripathi has observed ‘Kanauj which had held preeminence in the Northern India for nearly six centuries and had been the centre of many a proud dynasty, ceased to exist as an independent Hindu state and soon sank into insignificance’.

3.5.4 The Chauhans

Origin

From 700 A.D. the Rajput chiefs of the Chauhan family had established their dynasty in Sambhar (Sakambhari) near the lake Sambhar situated north of Ajmer. However, the other branches of the family were ruling in other parts of the Northern India. The Chauhans were very much like the Gurjaras, if not directly connected to them. Dr. Bhandarkar is of the opinion that Chauhans were the sons of the Gurjara tribe. From some records it is gathered that the Chauhans were the Kshatriyas of Suryavansa. Incidentally, Chand Bardai refers to the theory of Agnikula, which reveals that one of the warriors came out of the sacred fire kindled at Mount Abu by Brahmants. In Bijolia Inscription it is mentioned that the Chauhans were the sons of the Brahmans of Vastar Gotra. Some of this clan were subjects to the governor of Ujjain under the Gurjara Mahendrapala II. The Chauhans

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of Broach were vassals of Nagabhata I.

Vigraharaja IV

Vigraharaja IV one of the important rulers of the dynasty ruled in the middle of the twelfth century. He was a ruler of remarkable ability and distinction. He expanded his empire considerably by conquests. In those days, Delhi was under the rule of Tomara chieftain, a descendant of Anangapala. He conquered Delhi and the region lying between the Yamuna and Sutlej. He attacked the Paramara king and burnt Jawalapur. He established a vast empire and assumed the title of 'Maharajadhiraj' and 'Parameshwara'. He removed the iron pillar of Chandra from Mathura and set it up in 1052 A.D. on its present site.

He was a poet and an author of considerable repute. He authored several books and wrote a drama captioned 'Harikeli'. His court poet, Somdeva wrote a popular drama named 'Lalitavigraha', Indeed, he mastered the sword and the pen equally. During his rule, the Chauhan dynasty reached its zenith.

Someshwar

Upon death of Vigraharaja IV, kind Prithviraj II son of Vigraharaja IV succeeded. But he ruled for a short time. Thereafter, Someshwar was enthroned in 1169 A.D. During his reign Ajmer and Delhi were united. Someshwar annexed Hissar, Sarhind in the west and Gwalior, Kanauj in the east of his kingdom.

Prithviraj III

Prithviraj, son of Someshwar, succeeded to the throne at the age of 15. He was a daring soldier who defeated Muhammed Ghori with heavy loss. He is also well-known in the history for his-romantic abduction of Sanyogita, the not unwilling daughter of Jaichand of Kanauj. Chand Bardai the court poet of Prithviraj has written a short poem of 5,000 verses called "Prithviraj Raso". It was enlarged and stretched to 1,25,000 verses during Akbar's time.

Prithviraj was a invincible hero who defeated the Chandella king Parmal and took his capital Mahoba in 1182 A.D. He invaded against his cousin Nagarjiva, the son of Vigraharaj IV. He invaded Gujarat and forced the Chalukya kind to surrender. Because of his military strength he was considered to be the most powerful ruler of the Northern India in those days. He exercised control over Ajmer, Sambhar, Delhi, Bundelkhand, etc.

In 1191 A.D., Prithviraj organised an effective resistance against Shihab-ud-din or Muhammad of Ghor and gave a crushing defeat to the invader in the battle field at Tarain lying between Thaneswar and Karnal. Muhammad Ghori was mortally wounded and his army took to their heels. The prestige of Ghori was badly undermined. He retreated with humiliatin, but made himself determined to wreak vengeance at earliest opportunity.

In 1192 A.D. the Muslim invaders again met the Rajput hero on the same battle field. In the sangunary second battle of Tarain, Prithviraj was disastrously defeated. He was captured and executed. The city of Ajmer was sacked. The citizenry were either put to sword or enslaved. Indeed, the second battle of Tarain was a decisive contest which ultimately triumphed the Muslim invaders and gave them a political foot-hold on Hindustan. It was Muhammad Ghori that laid the foundation of Islamic rule in India.

Dr. Ishwari Prasad has praised Prithviraj in following glowing terms "Like the valiant knights of the Mediaeval Europe, Prithviraj took delight in war and obtained victories which made his name remembered from one end of the country to other. He was the last flower of Rajput chivalry". True, Prithviraj was a valiant soldier and a matchless general, but he failed to form a strong confederacy against the Muslim invaders.

He failed to outwit the enemy by diplomacy and collective military strength. Perhaps, victory in the first battle of Tarain made him complacent. He failed to anticipate coming events and remained indifferent to make adequate military preparation to face the enemy's renewed vigour.

His military ability was added to its luster by his strong attachment to art and literature. He encouraged the men of letters and ungrudgingly patronized art, education and literature. Chand Bardai was his court poet. Illustrious personalities like Janardan, Vidyapati, Ashadhar and many others adorned his court. The composition of "Prithviraj Raso" and 'Prithviraj Vijay' confirms his love for literature and learning.

3.5.5 Fall of the Chauhan Dynasty

From some literary sources it is gathered that Hariraj Chauhan succeeded Prithviraj III. He was the brother of Prithviraj. But according to the Muslim historians, Muhammad of Ghori appointed a son of Prithviraj to rule Ajmer. When Quth-ud-din Aibak led an expedition to Ajmer the ruler instead of boldly facing the enemy, out of dejection and perplexity, burnt himself and his family members in the fort of Ajmer. Thus, a powerful dynasty fast decayed and abolished from the ruling house of the northern India.

3.5.6 Solankis or Chalukyas of Gujarat

The Solankis or Chalukyas were one of the five fire born Rajput clans of the legend. They ruled in Anhillapura from 974 A.D. to the beginning of the thirteenth century. They were great patrons of Jainism.

Mulraja was the founder of the dynasty who ruled from (974-995 A.D.). He was a great warrior and a dynamic ruler. He forced the clans of Mount Abu to submit. He conquered Saurashtra, and fought many battles against the contemporary Rajput rulers.

Mulraja was contemporary of the Chauhan King Vigrahapala II. The Chauhan king attacked Mulraja and occupied some parts of Gujarat. Perhaps, he reached up to the bank of Narmada. Mulraja was killed in a battle against the Chauhans.

3.5.7 Chamundaraja

Mulraja's son Chamundaraja succeeded his father. He won victories in 996 A.D. against Sindhuraja, the Paramara ruler of Dhara. He was a brave King who fought several decisive battles. In this old age he abdicated the throne in favour of his nephew, Bhimadeva I and took to peaceful life.

Bhimadeva I

He ascended the throne in 1022 A.D. He defeated King Bhoja of Dhara. The most significant event of his reign was the attack of Sultan Mahmud of Ghazni. Though Bhima was an able ruler but failed to resist the Muslim invaders with courage and determination. Hearing Sultan Mahmud's advance he lost all presence of mind and fled away. The invaders in absence of any contest, easily overpowered the Hindus and marched towards the famous Somnath temple. They sacked the temple razed it to the ground and carried away all its wealth and valuables.

However, after the departure of the invaders, Bhima returned and again re-established his rule. But his power and prestige had already been shattered. He reconstructed the temple of Somnath destroyed by Sultan Mahmud. He defeated King Bhoja of Dhara. Finally, he abdicated the throne in favour of his son Karna and retired.

The reign of Karna was not so important. He fought against the Paramaras and the Chauhans.

3.5.8 Jayasimha Siddharaja

Bhimadeva's grand minor son ascended the throne after Bhima's demise. His mother

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looked after the government so long he was a minor. On attaining maturity, Jayasimha firmly held the rein of the government. He waged war against Yasovarman of Dhara. However, his success was short-lived. In fact, King Yasovarman succeeded in reconquering the lost territory after some times. He compelled the Chandelas to show allegiance. He added the entire Saurashtra to his dominion by defeating the Amirs of Saurashtra. By marrying his daughter with king Arnoraja, of the Chauhan dynasty, he established friendly relationship with the Chauhans.

He was equally proficient in holding the sword and the pen. He was liberal in religious affairs. Himself being an ardent devotee of the Lord Shiva, he generously encouraged the Jaina writer Hemachandra. He organised discussions on religion and philosophy and invited a galaxy of outstanding personalities to take part in discussion. He planned to proclaim a liberal religion. Akbar's pragmatic religious philosophy in later days was almost similar to that. It is remarkable that he could anticipate the idea of a progressive religion five centuries before the Din-Ilahi promulgated by Akbar the Great. He constructed several magnificent temples. He erected a pavilion at Mount Abu, where he set up the statues of seven of his ancestors mounted on elephants. Prithvipala, a doyen of the time, was his minister. He also founded several educational institutions in his dominion to uplift education and learning.

Kumarapala (1145-1172 A.D.) was the son of a courtesan. He was adopted into the royal family for his virtuous and outstanding bearing. He was a daring soldier and a man of extraordinary qualities. It is believed that succession of Kumarapala was not smooth. He had to fight his immediate contender for ascending the throne. He was extremely courageous and an enterprising personality. Arnoraja, king of the Chauhan dynasty took the cause of this rival and led a campaign against Kumarapala. However, in the bloody context, the arms of Kumarapala triumphed. Subsequently, he improved his relation with the Chauhan king and gave his daughter in marriage with Arnoraja.

He attacked Malwa and established his authority over the province. In that pursuit, he entered into an alliance with Yashodhabai and diplomatically isolated the king of Malwa. Vikram Singh, King of Abu and the King of Saurashtra revolted against him. But he ably suppressed the revolts.

The cordial relationship between Kumarapala and Arnoraja of the Chauhan dynasty did not last long. Kumarapala had to march against the Chauhans for the second time and succeeded in humbling the Chauhans.

In the beginning, he was a sincere devotee to the Lord Shiva. Subsequently, he embraced Jainism. He imposed Ahimsa strictly and prohibited animal sacrifices. The butchers had to close their stalls on receipt of indemnity for three years.

Because of prohibition of animal sacrifice, the ascetics no longer got skins of antelopes for their use. The hunters of Girnar became jobless and died of hunger. Alcohol, dice and combat of the animals were forbidden. The scholar Hemachandra also embraced Jainism and asserted his religious influence on the King. Kumarapala assumed the title of Paramarhata.

3.5.9 Ajayapala (1172-1176 A.D.)

After the death of Kumarapala the Saiva and Jaina followers came to a conflict about selecting the successor to the throne. The Saiva party exerted their influence and placed Ajayapala, a nephew of Kumarapala, on the throne. The Jaina followers took up the cause of Pratapamalla, son of a daughter of Kumarapala. An ill-feeling and strife on this issue continued. Eventually, the Saiva followers mustered strength. An unprecedented upsurge took place and hundreds of Jaina monks were massacred. Their temples were defiled and destroyed. The king in the long run faced an ignominious death. He was

stabbed to death by one of his disloyal servants.

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3.5.10 Mulraja II

A minor son of Ajayapala, ascended the throne. The widow queen firmly held the rein of the empire and administered on behalf of the minor son. She was brave and a lady of virtuous disposition. She organized the army to face the Muslim invaders. It is believed that Mulraja II defeated Muhammad of Ghor when he attacked Gujarat. The invaders were compelled to retreat.

3.5.11 Bhimadeva II

Succeeded his brother Mulraja II. From his Inscriptions dated from 1199 to 1238 A.D, it is understood that he fought against the Muslim ruler of Ghazni in 1178 A.D. In 1195 A.D. he fought against Qutb-ud-din and pushed him back as far as Ajmer. However, on the following year Anhilvara fell to the Muslims and Qutb-ud-din plundered the city. Around 1240 A.D. the Vyaghrapatis or Vaghelas seized the throne and ruled upto the end of the century.

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3.6 THE CHANDELAS AND THE KINDS OF CHEDI

Origin

Like other Rajput clans, the origin of the Chandelas is obscure. Many argue that the Chandelas were Chandravamsi, originated from the moon. From some legends it is gathered that the Chandelas were born of a Brahman girl, Hema Vati and the Moon.

Dr. V.A. Smith writes that the early Chandela Rajas were petty Gond chiefs in the territory, now called the Chhattarpur state, in the Central provinces. However, it is generally accepted that they were related to the Gonds or Bhors, and recognized as Kshatriyas. They reigned in the areas, now known as Bundelkhand. The principal towns were Chhattarpur, Mahoba, Kalnjara and Khajuraho.

A strong controversy had generated as to who was the actual founder of the dynasty. A group of scholars assert that in 831 A.D. Nannuka carved out a principality for himself near Chhattarpur at the cost of Pratiharas. In pursuit of empire building, he was aided by the rulers of Kanauj who were also Pratiharas.

An Inscription of Khajuraho reveals that Vakapati was the son of Nannuka and he succeeded his father. He fought many battles and extended his empire considerably. Vakapati's son Jaya Sakti ruled for several years. He was a brave king. The sixty king of the line was Harsha. He assisted Mahipala to recover the lost throne of Kanauj in 916 A.D. The Chandelas gradually gained strength and extended the boundary of their kingdom right up to the bank of the Jumuna and declared themselves independent. The valleys of the southern tributaries of the Jumuna and the northern offshoots of the Vindhya are generally identified as the place of Chandelas, better known as Bundelkhand.

3.6.1 Yasovarman

Harsha's son Yasovarman greatly enhanced power and prestige of the Chandelas. Devapala of Kanauj was compelled to hand over the historic image of the Lord Vishnu to be enshrined in a temple built by him at Khajuraho. He attacked the Pala king Gopala II and established his supremacy on the areas of Ganda and Mithila. He occupied Kalanjara and placed himself in envious position. He defeated Siyak, a chief feudatory of Rashtrakuta ruler and brought Malwa under his control. He also defeated the ruler of Kuru and forced the Khas king. Chawduraj to accept his suzerainty.

He assumed the title of "Maharajadhiraj". His conquests confirm that he was militarily very strong. Historians have praised him for his repeated military success. Indeed,

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he increased power and prestige of the 'Chandel dynasty' considerably. He ruled upto 950 A.D.

3.6.2 Dhanga

King Dhanga, son of Yasovarman ascended the throne after his father and ruled for a long time (954-1002 A.D.). He was the most illustrious ruler of the dynasty. Several magnificent temples at Khajuraho were built by him. In 990 A.D. he joined the confederacy of the Hindu kings and was defeated by the Muslim conqueror Sabuktigin. Dhanga's kingdom extended from the Jumuna to Chedi and from Gwalior to Kalanjara. Dhanga freed himself from the supremacy of Pratiharas and established an independent rule. He was an ambitious and powerful ruler. He defeated the rulers of Kosala, Sinhala, Krath, Kuntala, Kanchi, Andhra, etc. Dhanga breathed his last in 1002 A.D. It is believed that either he burnt himself at the funeral pyre in Sangam or drowned himself in Prayag.

His son Ganda joined the confederacy organised by king Anandapal of the Punjab against Sultan Mahmud of Ghazni and suffered defeat.

3.6.3 Vidyadhar

Vidyadharadeva son of Ganda succeeded his father. He was a strong and powerful ruler. The Chandel kingdom reached its pinnacle during his reign. Sultan Mahmud after defeating Trilochanpal attacked Vidyadhar. According to the Muslim account the Hindus fought desperately till evening. Thereafter realizing that the success was remote they fled away. The rapacious victors let loose slaughter, rapine and plunder. They devastated the territory of the vanquished foe. However, Vidyadhar escaped and saved his life. About the final result of the battle, the historians are advancing varied opinions. Cunningham writes as follows, "He was doubtful of the result and like a prudent general, he went back to Ghazni to return with a large force". After four years Sultan Mahmud re-appeared in the scene. On this occasion Vidyadhara failed to defend Kalanjara.

He defeated several Indian Kings and forced them to accept his supremacy. Bhoja, king of Malwa, Gangadeva the king of Kalachuris submitted to Vidyadhara. He attacked Rajyapala of Kanauj for ignobly accepting authority of the Muslims. The reign of Vidyadhara was colourful and lustrous. Indeed, his rule was significant among the Rajputs.

3.6.4 Vijaipala

Vijaipala succeeded his father in 1030 A.D. But details of his activities are not known. Thereafter, a series of kings ruled lackadaisically whose reigns are hardly known. Perhaps some of them accepted the suzerainty of Gangadeva and Karna of the Chedi clan.

3.6.5 Kirtivarman

It was Kirtivarman, the thirteenth king of the line came to prominence in 1054 A.D. He defeated Chedi Karna and restored the authority of the Chandelas. Kirtivarman ruled up to 1100 A.D. The famous dramatist Krishnamisra the author of 'Prabodhachandrodaya' adorned his court.

3.6.6 Paramardideva

Paramardideva the last important ruler of the dynasty, ruled from 1165 to 1203 A.D. He was defeated by Prithviraj Chauhan of the Chauhan dynasty in 1182 A.D. Qutb-ud-din attacked Chandela kingdom and captured it in 1203 A.D. The invaders plundered the fort. Ferishta says that Paramardideva was killed by his diwan Ajaideva for surrendering the fort to the enemy and war continued even after the death of the king.

The fall of the Kalanjara fort was the signal decay of the Chandelas. The kingdom thereafter survived in moribund state under lacklustre kingship until it was added to Delhi

Sultanate in 1310 A.D.

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3.7 THE PARAMARAS

Origin

The scholars hold divergent opinions about the origin of the Paramaras. However, the most accepted view is, that the Paramaras were a branch of 'Rashtrakutas'. It is also believed that they existed as a feudatory power under the Rashtrakutas of Deccan. The dynasty was founded by Pendra or Krishnaraja early in the tenth century. Dhara was the capital of the Paramaras.

After the death of Upendra, several kings of the dynasty ruled but their tenure was not significant. However, among the rulers of the dynasty Munja was important. He is mentioned in many recognized literature and described as the hero in numerous anecdotes narrated in the 'Prabandhachintamani' of Merutunga. Munja was a poet of considerable repute whose verses are preserved in anthologies. He patronized many Sanskrit scholars. He also distinguished himself as a soldier.

He was equally efficient in war and diplomacy. He repulsed the attack of the Hunas and fought successfully against the king of Chedi. He invaded the kingdom of Chalukya king Taila II six times. But on the seventh attempt he was captured and put in prison by king Taila. Subsequently, he made a futile attempt to escape from the prison, but was caught and executed in 995 A.D. Perhaps, he led an expedition against the Kalachuris of Tripuri. He defeated the Chauhans of Naddol and established his control over Abu region. Perhaps, he appointed his son Arnayraj, as the Governor of Abu region.

3.7.1 Sindhuraj

He ruled during the intervening period of Munja and Bhoja. He established matrimonial alliance with the Nagas. He married a princess of the Naga dynasty. He defeated Chalukyas and tried to extend the limit of his empire.

3.7.2 Bhoja

Bhoja was the son of Munja's brother Sindhuraj. He ruled more than 40 years (1018-1060 A.D.). He was a competent and loveable king earned laurel in war and peace. He fought against the Hunas and the Chalukyas of Kalyani. He advanced against the Kalachuris of Tripuri for avenging the defeat and forced the king Gangadeva of Kalachuri to submit. He also defeated king Indrararth of Orissa and king Kirtiraj of Lata.

He attacked the Chauhans of Shakumbhari and Naddul. But his success was partial. He advanced towards Bundelkhand but was defeated by the Chandela ruler Vidyadhar. He waged war against the rulers of Gujarat and Gwalior. He conquered Thanesar, Hansi, Naga-kot. He also defeated a Muslim ruler of the northern India. Indeed, repeated successes of Bhoja roused jealousy and enmity of his enemies. To check Bhoja, they combined and formed a confederacy and attacked Bhoja's dominion. Bhoja faced the combined enemy and fought bravely. But he was killed in the battle field. The victors sacked the capital of Bhoja.

Constant warfare drained Bhoja's treasury and worn out his army. His enemies mustered courage, joined against him and delivered a deadly attack. He died in 1050 A.D. leaving behind a vast kingdom and substantial wealth.

He was a versatile personality. He wrote many books on astronomy, poetics and architecture. He established a Sanskrit college located in a temple of Sarasvati. Unfortunately, its site is now occupied by a mosque in Dhara. He got the famous Bhojpur lake excavated near Bhopal, M.P. It covered an area of more than 250 square miles. It

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helped to soften the dry climate of the area and prevent the famine. In the fifteenth century its massive embankments were cut by the order of Hoshang Shag (1405-1435 A.D.). The bed of the lake is now a fertile plain intersected by a railway.

With the fall of Bhoja, the Paramara dynasty lost its fame and strength. The mighty dominion reduced to several petty principalities and continued to be ruled by the imbecile successors. Till the beginning of the thirteenth century, the trace of the Paramaras lineage is available. Thereafter it gradually decayed and languished in the limbo of oblivion.

The last Paramara ruler Subhatvarman succeeded to the throne in 1193 A.D. and ruler up to 1210 A.D. He was disastrously defeated at the hands of Yadav king. Eventually, the Tomaras took their places and thereafter followed by the Chauhans.

3.7.3 Flourishment of Art, Literature and Learning

King Munja was a great patron of art and literature. He patronized great poet named Padma Gupta, who wrote “Navasahasanka”, Dhananjaya the great scholar completed his work captioned. ‘Dasharupka’ during the reign of Munja. He was also a great lover of architecture. He got several stone tanks excavated. The Munja Sagar a famous tank near Dhara was his brain-child. Dr. Iswari Prasad writes about him in the following words. “Himself an accomplished scholar, Munja patronized men of letters and some other were recipients of his liberal bounty”.

Bhoja is described as ‘Kaviraj’ in Udaipur Prasasti for his love of education and literature. He took untiring effort to step up education and learning. He also extended royal patronage to the scholars and learned persons. His wife, Arundhati was a renowned scholar of the time. Scholars like Dharmapala, Solhara, poetess Sita received due recognition and royal patronage.

He was a devotee of Lord Shiva. He built several temples in his kingdom and dedicated those to Lord Shiva. However, he was very liberal in religious matters. Jainism flourished in his time. He convened several religious conferences and invited the outstanding scholars to participate in deliberations. In this regard K.M. Munshi’s apt remarks are quoted below, “Bhoja was a poet scholar and a patron of learning. Kingship and conquest were to him subsidiary activities”. He was extolled for his conquests, efficient administration and boundless literary and religious activities.

3.7.4 Civilization and Culture of the Rajputs

From the seventh century to the twelfth century A.D. the Rajputs dominated the political development of the northern India. their prolonged rule, continuous warfare and internecine quarrel greatly influenced the political, social and religious life of the north. The Rajputs, no doubt, brave and are guided by patriotic spirit but failed to combine and consolidate themselves to fight against the common enemy. Their exemplary courage, chivalry and sacrifice make a fascinating reading. Nevertheless, the doleful story of their mutual jealousy, infighting and domestic feuds indirectly helped the Muslim invaders to emerge I the political scene, capture political power and succeed in ruling the Hindustan during the next six hundred years. The failure of the Rajputs is, indeed, a tragedy in the indian history. Nevertheless, scary ordeals, the contributions of the Rajputs, in all walks of life are by no means negligible.

3.7.5 Political Condition of India or Political Organisation of the Rajputs

Feudal system dominated the political organization of the Rajputs, Land was distributed and given to the feudal lords against payment of fixed revenue and military services whenever needed by the king. This archaic system suffered from inherent defects. First, the ruler had to depend on the lords for military assistance at the time of crisis, which often proved inconvenient and loathsome. Secondly, it gave handle to the feudal

lords to indulge in domestic discords, show their strength and take sides of the political contestants. Thirdly, the insolent feudal chiefs lured by the ambition of gaining powers and independence often revolted and let loose unrest, trauma and bloodshed. Fourthly, at the hour of actual test, military assistance was either inadequate or half-hearted. Lastly, dependence on the feudal chiefs for such crucial matters was suicidal. It made the ruler weak and powerless. In fact, the rulers were often unable to assert and neutralize the disruptive forces with consummate firmness.

Indeed, disunity and distrust, family pride and vanity, mutual jealousy and rivalry hindered the Rajputs to fight for a common national cause. Rather, these short-coming indirectly encouraged the enemies to muster strength, invade India and build an empire. The war-loving Rajputs had deep passion for warfare. As a result, often they misused their time and energy in unproductive and unrewarding contests. Again, the Rajputs lacked foresight and political wisdom which often acted against their success. Hence, in spite of their courage and chivalry, the ultimate success remained hanging in balance, as they failed to show equal proficiency in war and diplomacy. Broadly, certain norms and straight forwardness observed and followed by the Rajputs were often detrimental to the interest of war and ultimate triumph. The methods, tactics and strategies of warfare adopted by the Rajputs had already outlived their purpose. Obviously, these were far from effective and capable of deterring the enemies. Moreover, back-dated weaponry, training failed to keep pace with the time. The use of elephants sometimes was contrary to the interest of the master. Finally, the Rajputs were deficient in civil administration. Therefore, in spite of their sincere desire, they often failed to pull their weight. In short, it is no use denying that the Rajputs possessed many sterling qualities, yet politically they were not free from several innate drawbacks. Lack of political sagacity, archaic outlook, backdated methods of warfare, etc., had paled the significance of the great warrior-race.

3.7.6 Social Condition

The Rajputs were intoxicated with their insane family pride. Every one claimed his origin from high descent. Some feel that they originated from the sacred fire or from the Sun or the Moon. Others feel that they belonged to the Kshatriya caste and the Epic heroes Rama or Krishna were their forefathers. In fact, the controversy of their origin has only increased exasperation and indirectly helped to create social and political rifts. The Rajput women were highly honoured and placed in pompous esteem. They received education and learning and displayed bravery in riding, using weapons and scaring away the enemy. They were spirited and conscious of self-respect. Their loyalty and attachment to husbands were proverbial. They preferred death to humiliation. They liked to jump into the fire, i.e. Jauhar and perish themselves instead of being dishonoured by the victorious enemy. Widow marriage was not so common. However, there was no 'Purdah' system. Women enjoyed adequate social liberty. The 'Sati', sacrifice was in vogue. In short, women enjoyed high recognition in the society.

The caste-system was an odious blot. Its obnoxious rigidity gradually took upperhand in the society and ruined the greater cause. Untouchability and its galling effects really degenerated the Rajput society. In fact, in the vortex of mundane and infamy of untouchability the life of the well-meaning people became well-nigh unbearable.

The Kshatriyas used to take part in warfare. In fact, the people belonging to other castes were generally indifferent to political upheavals. As a result, at the time of common crisis, it was difficult to mobilize the support of the majority of the population. However, the people were honest, trustworthy and believed in moral and social values the hospitality of Rajputs was unparalleled. In addition they were hardy, industrious and faithful. The people were happy and satiated. Agriculture was one of their major professions. As

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rainfall was inadequate, especially in Rajputana, they had to put hard labour to grow food. Though they were generally vegetarians, still meat eating was not unknown. The Rajputs of the richer class used to indulge in luxury, drinking and gambling. Unfortunately, the Rajputs were found of opium. In fact, opium was next to the lives of the Rajputs. Concubinage was not considered a spotty custom for a Rajput, if one could afford it. In fact, the above bad habits had besmirched the brave and dauntless character of the Rajputs.

3.7.7 Religious Condition

Hinduism, Jainism and Buddhism were flourishing in India in those days. The Rajputs were the followers of Hinduism. In fact, Hinduism under their care and patronage continued progressing. The Rajputs worshipped Shiva, Vishnu, Goddess Durga and other deities of Hinduism. However, worshipping the Shiva Linga was very popular among the Rajputs. Several munificent temples were constructed where Hindu God and Goddess were worshipped with great solemnity. In addition, religious ceremonies, festivals, in keeping with traditions of the legends and religious directives, etc, occupied a prominent part of religious life. Religious festivals like Dussehra, Diwali, Holi, etc., were directly connected with the sentiments of the Hindus. Celebrations of these festivals was a stimulus to lead a pure, honest and virtuous life. The Holy books of the Hindus, like the Vedas, the Gita, the Ramayana and the Mahabharata were read and listened to with great respect. The matchless heroic deeds and sacrifices profoundly inspired the Rajputs to follow the path of truth and sacrifice, ideals of self-respect and patriotism. The Rajput women were fond of hearing the stories of the Ramayana and the Mahabharata. The supreme sacrifice of the Kshatriya heroes, examples of courage and manliness were sources of marvellous impetus to them. Indeed, Hindu religion substantially inspired the entire Rajput community to practice a virtuous and self-respected life. The Rajputs were fond of warfare. They believed in lofty Kshatriya ideals 'protect the helpless, fight for the righteousness, eradicate the evils and annihilate the bad'. In that pursuit, it was not possible to follow the punctilious path of 'Ahimsa'. Therefore, the ideals of Jainism and Buddhism, had no influence on the Rajputs. They needed 'Sakti' for the fulfillment of their political goal and to satisfy their chivalrous bearing and heroic pride. Evidently, Jainism and Buddhism were unable to meet their requirements. Hence, Hinduism triumphed. Consequently, Jainism and Buddhism declined and gradually lost ground during the Rajput ascendancy.

3.8 RAJPUT SOCIETY

Rajput society most of the Indian traditions and customs are followed. Anybody who commits a punishable offence is not exempted, even if it is a Brahmin. There are limits defined within which corporal punishment is permissible for Brahmins. The general view is that one is not to be blamed for killing a Brahmin but it holds good only when it is impossible to save one's self and not otherwise.

Though we hear of "Swayamwara" in Rajput times, which give an impression of adult marriages, in reality, the age of marriage was much earlier, as per the tenets of Manu Smriti, and child marriages were rampant. During the Rajput period the women were given a much better position as compared to their position in the other ages. As regards the position of the wife, she should be guarded not only against physical but also against mental torture for the sake of her offspring. Practice of polygamy was common.

The Brahmanic authors, poets and bards have not only glorified "Sati", they have glorified "Jauhar" also, which was a mass suicide in order to escape ruination at the hands of a victorious enemy. They were made to believe that this was worse than death.

There are examples in Rajput history when women entered the fire to save their honour.

Agriculture was the main profession of the upper classes. While the poor toiled as free labour for temples, forts, palaces construction and also reservoirs, tanks, wells and canals erection in time of famine and drought. Trade and commerce flourished during the Rajput period. Big cities were linked up with roads. The people were wealthy and prosperous. The upper castes lived in grand buildings and enjoyed all kinds of appeasements. There were festivals and fairs throughout the year. Music, dancing, drama, dice, hunting, chess, etc. were favourite hobbies.

Caste system was rigid during the Rajput period. Though this was not so initially, it came on gradually. Brahmans played the most important part in bringing about this caste-based division. They stopped marrying among themselves. During this period a large number of new castes, sub-castes came into existence. Many new occupational castes such as weavers, smiths, fishermen, brewers, cow-herds and carpenters came into being. A new caste known as that of the Kayasthas also appeared its main function being clerical. Rajputs supported Brahmans as scholars and priests. However, they had their own family priests, known as Purohites. The high standard of living, which prevailed among the upper classes in the preceding period, was maintained during these centuries. The rigidity of the Caste system is the legacy of the Rajput period. The women were given a better position during this though all malpractices were not done away with. The standard of living prevalent among the upper classes was fairly high reaching a level of incomparable magnificence among kings.

3.8.1 Art, Literature and Education

(i) The Rajput rulers were great patrons of art, architecture and literature: The constructed several impregnable forts like, Chittoor, Ranthambhore, Ambar, Jodhpur, etc. The gigantic forts made of rocks and their strategic locations are indeed, unique. Inside the forts, lofty towers, splendid temples, beautiful buildings, etc., strongly confirm the superiority of the Rajput art and architecture. The wondrous Chittor fort, marvellous victory tower built by Rana Kumbha. The royal place at Udaipur, The Hava Mahal, at Jaipur, etc., still excite the visitors. The Rajput rulers founded many beautiful cities and build many excellent places and buildings. The pink city Jaipur, the capital of Rajasthan at present, highlight refined taste and the building capacity of the Rajput rulers. The spectacular the Mahadeva temple at Khajuraho, the Lingaraj temple at Bhubaneswar (Orissa), the Tejapala temple at Mount Abu, etc., bear eloquent testimony of the superiority and munificence of the Rajput art and architecture.

Architecture has been considered as the matrix of civilisation and it is a major record of man's intellectual evolution. The Rajput rulers had an artistic sense due to which many temples of architectural importance were built during that time. Each great cultural movement has made its own particular contribution to the art of building. In India the basic principle of architecture has been its spiritual content. The principles of Bhakti developed in this period and it is found in the temples that were built in the seventh century and there onwards. The temple architecture received its most pronounced perfection during the prime of Bhakti movement in the ninth and twelfth centuries.

Throughout major parts of India, the sanctuary is known as the Vimana, of which the upper and the tapering portion are called the Sikhara that means tower. Inside that there is a small dark chamber called garbhagriha. In front of this is the Mandapa which is the pavilion for the assembly of the devotees. There are various other subsidiary structures.

It was an epoch of Bhakti to that wave of passionate building which swept over India in the middle ages. The religious motive was predominant in the temple architecture.

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Style has been highly emphasised though as a whole art of building was based on certain common fundamental principles. There is a standard artistic and structural procedure, which implies that the master masons were working by means of some comprehensive and well-established technical code. This was brought about by the guilds of craftsmen with their canons of art. The Indian masons showed strict adherence to the laws of gravity, an appreciation of the grandeur of mass and rich value of shadows.

Some of the important temples built during this period were the rock temples at Ellora, Elephanta, the temples of Tanjore and Madurai. In Northern India, the Khajuraho temples in Central India are a class apart. Then the famous temples of Orissa, the Jagannath temple at Puri and the remains of the temple of the Sun at Konark are illustrious examples of exquisite temple architecture during that period. The Lingaraja temple ranks as one of the finest architectural productions of the country. There are many shrines and chapels around the main temple. The most impressive is the great tower of the Sri Mandir. The greatest and grandest achievement of the Eastern school of architecture is the Temple of the Sun at Konark. The temple is dedicated to Sun. The masons tried to represent the traditional description of the sun-god as given in the Vedas visualizing the deity standing in winged chariot with his team of seven horses, with which he blazes his way through the heavens. The temple marks the evolution of Tantrism in Orissa.

The Khajuraho temples most refined and finished manifestations of Indian architecture is visible. They are distinguished by their elegant proportions, graceful contours and rich surface treatment. The halls are abundant in sculpture. They are dedicated to Lord Shiva, Lord Vishnu and to the Jain deities.

There are various dismantled and fragmentary temples in northern India owing to the onslaught of the Muslim rulers. Many temples survive in these places. Maha-Mandir of Jodhpur and Eklinga temple of Udaipur can be cited as examples. On Mount Abu besides other Jain temples, there is the temple of Vimala which was built during this period. Practically every surface is elaborated with sculptured forms. Very less original fabric of Somnath remains there so as to speak of its architecture. In the Deccan there are a number of temples of this period like Ambarnatha in Bombay Province, the Sas Bahu Mandir in Gwalior district and the Gondeswara temple at Sirnar in Nasik. There are temples with multiple roofs as in Kashmir.

There is the art of Kashmir which is distinctive from the designs and styles so far seen and resembles both the Gandhara School and the Gupta School. Kashmir developed its artistic genius during the rule of Lalitaditya and Avanti-Varman in the eighth and the ninth centuries respectively. The best style is that of the Sun temple of the Sun at Martand. It is a central structure standing within a rectangular courtyard. In a skilful manner all its parts are adjusted and treated in such a way that it gives the temple its supreme aesthetic and architectural character.

(ii)Literature:Literature flourished leaps and bounds during the Rajput period. Many Rajput rulers were authors of high repute. They ungrudgingly patronized the scholars, poets and writers. Raja Munja was a gifted poet. Raja Bhoja of Dhara has written books on medicine, astronomy, grammar, religion, etc., Prithviraj Chauhan was a prolific scholar and patron of the learned persons. Chand Bardai was his court poet who composed 'Prithviraj Raso', Many poets, dramatists and historians have glorified the Rajput period for contributing rich literature on many important subjects. The eminent scholars like Rajasekhara, Jayadeva, Kalhan, Somadeva and a galaxy of many renowned authors have enriched the literature of the Rajput period. The famous drama 'Karpuramanjari' authored by Rajasekhara, lyrical poem 'Gita Govinda' composed by Jayadeva, chronicle, 'Rajatarangini' written by Kalhan, etc. are the unique literary creations of the Rajput era.

Many eminent philosophers, religious preachers were born in this period and left unprecedented mark for the uplift of knowledge, religion and learning. Reformers like Kumarila Bhatt and Sankaracharya left unparalleled contributions in the social and religious fields.

In addition, astrology, astronomy, mathematics, etc., went ahead and developed considerably. The 'Man-Mandir' constructed at Jaipur corroborates the progress in astronomy and mathematics.

Education also progressed considerably under the patronage of the rulers, Nalanda, Vikramashila, Kasi, Ujjain, etc., became centres of learning. Pupils from outside India used to come and get admitted in the famous universities to get higher education. The people took much interest for the study of Sanskrit and religious literature. In short, during the Rajput regime, the northern India had witnessed an unprecedented progress in the field of art, architecture, literature and learning.

3.9 SUMMARY

The smaller republican dynasties issued silver and copper coins. The Nagas, Yaudheyas, Kunindas, Mitra rulers of Kaushambi, Mathura, Avanthi and Ahichhatra also issued their own coins. Many nigramas issued copper coins and bronze. Money had penetrated deep into the life of common man during the post-Mauryan period. Romans required Indian products such as spices, perfumes, jewels, ivory and fine textiles like muslin. Spice trade with the Roman Empire was based in the South India. Several precious stones like diamond, carnelian, turquoise, agate, sapphire etc, besides pearls, indigo, sandalwood, and sterel were imported. Romans exported gold and silver to India. The Kushana kings, unlike the Mauryas, used grand eloquent titles such as maharaj, rajatiraja etc. Kujula Kadphises, the founder of the Kushana kingdom in India, is described as a small chief (yavuga), but later kings adopted bigger titles.

3.10 KEYWORDS

Post Mauryan Period: Monetization of economy was a significant of the post Mauryan period. The Indo-Greek rulers issued gold coins. Menander was the last Indo-Greek king to issue gold coins. The Kushanas also called issued several gold coins. Gold mines existed in Sind as well as in Dhalbhum. Satavahanaa issued and copper coins.

Kushans: The Kushan Empire was an empire in South Asia originally formed in the early 1st century CE under Kujula Kadphises in the territories of ancient Bactria around the Oxus River (Amu Darya), and later based near Kabul, Afghanistan. The Kushans spread from the Kabul River Valley to defeat other Central Asian tribes that had previously conquered parts of the northern central Iranian Plateau once ruled by the Parthians, and reached their peak under the Buddhist emperor Kanishka (127–151), whose realm stretched from Turfan in the Tarim Basin to Pataliputra on the Gangetic Plain."

Kanishka's Administration: Very little is known about the administration and style of functioning of Kanishka's government. From the Sarnath inscription, we learn that Kanishka divided his vast empire into several provinces and put them under the charge of Kshatrapas or Governors. These officials were carefully selected, lest they resort to revolt and challenge the king's authority. Utmost attention was paid to maintain law and order and peace.

Trade and Commerce: Under Kanishka trade and commerce flourished encouragingly. The empire was vast. In the north-west its boundary was touching the Roman empire,

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Chinese empire, Parthian empire. On the south, it touched the Andhra state.

Guptas: The Gupta Empire was one of the largest political and military empires in ancient India. It was ruled by the Gupta dynasty from around 320 to 550 CE and covered most of northern India.

Administrative system: The age of the Guptas has been regarded as the age of progress in India by all historians. Of course, Dr. Romila Thaper seems to be near the mark when she contends that when we accept the Gupta period as the classical age of ancient India we have accepted its limitations also.

Caste System: The Aryans had divided society into four occupational classes. Non-Aryans were considered outcasts and held the lowest jobs. By Gupta times, many additional cases and substances had evolved.

Crops: Mostly agriculture depends upon the rains. “Brihatsamhita” of “Varahamihira” deals elaborately with meteorological observations providing guidelines to cultivators.

Architecture: The Guptas focused on temples, unfortunately most of them were destroyed by invaders. A few still survive and are living examples of the architectural standards of the era. The temples of the Gupta period brought the new concept of installing statues of Gods in temples, a practice that did not take place earlier.

Sculpture: The Gupta period developed a form of sculpture that was wholly Indian, the foreign influences that had crept in the Gandhara and Mathura schools of arts disappeared. Most sculptures focused on religious and spiritual themes, like the Buddha or Hindu Gods like Vishnu and Shiv. The art had been highly developed and the sculptures were exquisite.

Education: The Gupta period is known for the great importance that was given to education. The Guptas founded and patronized several universities of higher learning. The universities had such a high standard of education, that India soon became a centre for learning, and students from across the world came to study in these universities.

Science and Technology: During the Gupta age many achievements were recorded in the field of mathematics and astronomy were cultivated. Illustrious figures like Aryabhata and Varahamihira flourished during this age. Aryabhata wrote his treatise Aryabhatiyam in 499 A.D., which was the first to treat mathematics as a separate subject dealing with arithmetic, geometry, algebra and probably trigonometry.

Rajputs: Rajput (from Sanskrit raja-putra, “son of a king”) is a member of one of the patrilineal clans of western, central, northern India and some parts of Pakistan. They claim to be descendants of ruling Hindu warrior classes of North India. Rajputs rose to prominence during the 6th to 12th centuries.

3.11 REVIEW QUESTIONS

1. Explain in detail political survey of Kushans and their administration.
2. Define Kanishka’s conquest.
3. Discuss art and architecture during the Kanishkas period.
4. Explain Economic, social and art and architecture during guptas period.
5. Discuss about Rajputs their literature, art and architecture.

UNIT 4

A BRIEF POLITICAL SURVEY OF SOUTH INDIA

4.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Brief description of Sangham age.
- Description of Satavahanas and Pallavas.
- Empowerment of Cholas-chalukyas and Rashtratas.
- About Kakatiya and Vijayanagara administration.

4.1 SANGAM AGE

The Sangam Age in India witnessed the rapid development of literary works in the southern regions. The literature that was created during this time came to be known as Sangam literature. The great poets, writers, etc. of this age have left behind invaluable accounts of brilliant literature that continue to enthrall historians and scholars. The earliest literary work dates back to 200 B.C. Read more about the history of Sangham Age in India.

The word Sangam has most likely been derived from the Indo-Aryan word Sangha, which means an assembly. This word was usually used for Buddhist and Jain monks. Roughly around 470 C.E an academy called Dravida Sangha was established by a Jain called Vajranandi. The members of this academy had much interest in literature and Tamil language. In early Sangam age poems, one finds the mention of Jain cosmology and mythology.

During the Sangam Age, the three empires that ruled the South of India were that of Pandyas, Cholas and Cheras. Though there were constant wars among the different kings for dominion of states and territory, they were all promoters of literature and other classical literary works. Under their rule, Indian art and culture flourished like anything. The early Sangam literature mentions the kingdom of the Pandyas. It is said that the kingdom became insignificant before emerging again during the 6th Century.

With the rise of the Chola dynasty, the dynasty of Pandyas again declined. They were in constant conflict with the Cholas and fought for their part of territory. However, the Pandyas found reliable allies in the form of the Cheras and the Sinhalese and left no opportunity to disturb the Cholas with them. By the late 13th Century, the Pandyas were able to revive their position and gain back their lost territories and riches.

One of the earliest written scriptures in Tamil grammar is known as Tolkappiyam. Another work known as Ettutogai or Eight Anthologies is considered to be a fantastic product of the Sangam Age. Many poems were composed during this age and some of the famous ones are Manimekhalai, Shilpathikaram, Akananuru, Purananuru, etc. These poems speak about the political, social, cultural and traditional aspects of life during the Sangam age. Some poems also mention the fact that the Cheras formed a vital trading center with Rome. Some of the great poets who deserve a mention are Avvaiyar, Kapilar, Mamulanar, Paramar, Gautamanar, etc.

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Administration During the Sangam Age

The Sangam literature provides details regarding the administration during the Sangam Age. Monarchy was the system of government during this period. The king is called as Vendan, Ko and Iral. The local chieftains were known as Velirs. The law of succession was practiced and the eldest son had enjoyed the right to succeed his father.

King and His Duties

During the Sangam period, the powers of the king were unlimited. He was considered as the representative of God. The term Irai signifies this theory. At the same time, the king was responsible for the welfare of the people. He was the protector of the law. In his Court the king met the people, heard their grievances and delivered justice. According to the Sangam verses, the rulers of the Sangam Age like Karikalan. Manu Needhi Cholan and Porkai Pandyan were known for their impartiality in delivering justice.

Officials

In the Sangam Age, there were two councils to assist the king in his day-to-day administration. They were known as Iymperumkuzhu (Committee of the great five) and Enperayam (Council of the great eight). There were also other officials to run the administration efficiently.

Army

The King's army consisted of four divisions, namely, infantry, cavalry, elephants and chariots. Swords, spears, bows and arrows were some of the weapons used by the soldiers. The forts in the capital cities had been highly protected by moats and trenches.

Revenue

Land revenue and custom duties were the chief sources of income to the government. One sixth of the total produce was collected as land tax. Tolls were also collected. The local chieftains paid tributes and gifts to the king and this income constituted significant part of the government revenue.

Local Administration

Each kingdom in the Sangam Age was divided into many administrative divisions. These divisions were called as Mandalam, Nadu, Valanadu and Koottram. The council of elders looked after the administration of the villages during the Sangam period. These councils were called as Manram, Podiyil, Avai and Ambalam. Thus the Sangam administration had been efficiently organized. The later Cholas and Pandyas had followed some of its features.

Social Life

In the Sangam Age, the Tamil people had a common language and culture. But, they lived in five different natural landscapes. These natural landscapes or geographical regions were known as Thinais. The five Thinais referred to in the Sangam literature were Kurinji, Mullai, Marudham, Neydal and Palai. Each Thinais was geographically distinct from the other. Moreover, each of these regions had reflected their own social characteristics.

Kurinji

The Kurinji Thinais refers to the hilly region. The people in this region were called Vettuvār and Kuravar. Hunting was their primary occupation. They also cultivated fruits and vegetables and gathered honey. They worshipped Murugan or Seyon.

Mullai

It is a forest tract with green pastures. The people of this region domesticated animals.

The people of the Mullai region were called as Kovalar or Ayar. Being shepherds, they produced dairy products like milk, curd and ghee. Their chief deity was Thirumal or Mayon.

Marudham

The region Marudham refers to fertile and cultivable lands. Most of the people in this region were called as Vellalars because they practiced agriculture. They cultivated paddy, sugar cane and a variety of fruits like mango, plantain and Jackfruit. Irrigation methods were also known to them. Their chief deity was Indra or the rain God.

Neydal

Neydal was the coastal region. The people of this region known as Parathavar or Meenavar. Fishing was their natural occupation. They were also famous sailors. A few people of this region produced and sold salt. They were called as Umanar. The God of the Neydal region was Varunan or the God of the sea.

Palai

The term Palai refers to the desert region. But, there was no desert in the Tamil country. Therefore, it could be said that whenever there was drought due to failure of rains, that region was called as Palai. The people of this region were called as Maravar or Kalvar. They were forced to live as robbers due to poverty. Maravar were also known for their heroism. These people worshipped the Goddess Kotravai or Kali.

We have already studied about the pre society in the Tamil country. The Sangam age was the continuation of the pre-historic period. As in the pre-historic period, the life of the people in the Sangam age had remained simple and natural. The Sangam Tamils had chosen their occupation according to their natural environment. Although they lived in five different regions, there was a close interaction between them. This interaction had resulted in the development of a common language and culture in the Tamil country.

Status of Women in Sangam Age

The Sangam literature describes the position of women in ancient Tamil society. In the Sangam Age, women were treated with special consideration. The natural feminine qualities such as Achcham, Madam and Naanam were insisted in the Sangam literature. Their most important virtue was chastity. The heroine of Silappathigaram, Kannagi had been hailed for her chastity and worshipped by the people. The women were given freedom to choose their life partners during the Sangam period. The concept of love had been elaborately discussed in Agananuru.

Women treated their husbands as equivalent to God during the Sangam period. They were not permitted to remarry and inherit property Sati or the custom of self-immolation at the death of one's husband was not generally prevalent during this period. However, some women from the royal family indulged in the practice of Sati. According to the Sangam literature, a woman had to play different roles in the family such as a dutiful wife, responsible mother and an ideal hostess to guests. Women's education was also insisted during the Sangam Age. We come to know a few women poets like Avvaiyar, Kakkai Padiniyar and Nachchellaiyar, whose verses are found in the Sangam literature. Sangam women were also known for their courage. However, from the post-Sangam period, there was a decline in the status of women.

Economy, Religion and Culture of the Sangam Age

The Sangam Age in Tamil country is significant and unique for its social, economic, religious and cultural life of the Tamils. There was an all round development during this period. The Sangam literatures as well as the archaeological findings reveal these developments

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Social Divisions

The Tamil society during the Sangam period was broadly divided into several groups. In the beginning of the Sangam Age, the Tamil society was not organized on the basis of the Vedic caste system, namely Brahmanas, Kshatriyas, Sudras. However, the earliest of the Sangam literature, Tolkappiyam refers to the four divisions prevalent in the Sangam society namely, Anthanar, Arasar, Vaislyar and Vellalar, it may be said that this classification roughly corresponds to the Vedic Social division.

Another Sangam work, Purananuru mentions the names of ancient Tamil tribes such as Thudiyar, Pannan, and Kadamban. These divisions indicate the complex social structure prevalent in the Sangam Age.

Food and Hospitality

Rice was the staple food during the Sangam period. The food-habits varied among the people according to their economic status.

The rich had their feasts every day, while the poor took simple food. Chewing betel leaves was most common among the people. Offering betel leaves to guests had become a social formality. Hospitality was a special virtue of the Sangam Tamils. The Sangam literature describes how hosts had always been waiting to welcome guests.

Dress and Ornaments

The Sangam Tamils paid more attention to their dress. It varied according to their status. The rich wore silk and fine cotton garments. The middle class people generally wore two pieces of clothes made of Cotton. Women paid much attention to their hairstyle. They used flowers like Jasmine to decorate their plaits and tufts. Both men and women used perfumes made of sandal and flowers.

The Sangam literature refers to a variety of ornaments worn by both men and women. They were made of gold, silver, pearls and precious stones. Poor people used ornaments made of shells and beads.

Economic Life

Generally, the Tamil society had enjoyed an affluent economy during the Sangam Age. Agriculture, industry, trade and commerce made the Sangam Tamils almost self-sufficient. Exports were also made to the other parts of the world.

Agriculture

The chief occupation of the people was agriculture. Paddy was the main crop. Millet, grams and sugarcane were also cultivated. Irrigation through rivers, tanks and wells was used for cultivation.

Occupation

Weaving and spinning were the most important crafts of the Sangam period. Uraiyur and Madurai were the main centers for the manufacture of cotton fabrics. The weavers produced and exported fine cotton clothes. The word Kalingam refers to very nice garments. The Sangam literature refers to clothes, which were thinner than steam. Silk clothes were also produced in the Tamil country. Other craftsmen like the carpenter, blacksmith, goldsmith and potter had practiced their respective occupations. Fishing and hunting had also remained as important occupation during this period.

Trade and Commerce

In the beginning of the Sangam Age, the barter system of trade was followed. Generally, the people exchanged their commodities with their neighbors. For example, the people of Kurinji region exchanged honey with the people of Neydal region for getting fish and salt. Likewise, the Mullai people gave their milk products to Marudham people to get

rice from them.

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Later, when they began to use coins, trade picked up rapidly. Local markets came up and they were known as Angadis. Both Day Market (Nalangadi) and Evening Bazaar (Allangadi) existed in port towns. The Pattinappalai refers to their existence at Puhar. Goods from distant places were brought to these markets. The expansion of trade led to the growth of towns. Moreover, export of goods to other countries had increased. (It will be described in the next chapter).

Religion

We have already referred to the five Gods worshipped in the five different regions. In addition to these Gods, the Sangam Tamils worshipped their ancestors. They erected memorial stones called as Nadukal, They were also known as Hero Stones or Veerakkal. Such stones were erected in memory of those who died in battles.

The Sangam people had also worshipped the natural objects. For example, the Sun. Moon.. Earth, rivers and mountains became their objects of worship. Neem tree was considered sacred.

Cultural Life

The Sangam Tamils enjoyed a high degree of cultural life. Their interests in education, literature, music, dance, drama and festivals have been described in the Sangam literature.

Education and Literature

Education was common for all, men and women, rich and poor and for different communities. Parents attached importance to the education of their children. The Purananooru describes that it is the duty of the father to make his children learned.

The bulk of the Sangam literature written by about 500 poets indicates the importance given to education. The poets of the Sangam period played vital role in the social and culture life of the people.

Recreation

The people of the Sangam Age had spent their time in excellent ways of recreations. Poetry, music, dance and drama were significant. The Sangam poets made the kings as well as the people through rendering beautiful verses. The bards made merry in the king's courts. The rulers and nobles patronized them with liberal donations. Hunting was another important recreation. The young and energetic took part in duels, while the old played indoor games like dice. Women and girl children had their own games to play and evinced much interest in swimming.

Fine Arts

The Sangam Tamils had also established their greatness in fine arts. They developed the concept of Muthamizh iyal, Isai and Naatakam. The Paanars or bards were experts in music. They moved from place to place, singing bards in praise of kings and local chieftains. Later, the Tamils developed musical notes or swarams. The musical tune was known as Pann. Several musical instruments were also used. Shells, drums, flute and lutes were famous instruments. Karikalan had been hailed as Ezhisai Vallavan. The art of dancing was encouraged during the Sangam period. Attam and Koothu were performed during festivals. Tholkaappiyam refers to Naatakam or Drama. The art of painting was also known to the Sangam Tamils. They celebrated several festivals. Kaarthigai, Onam and Indra festival were some of them. The indra festival had been celebrated annually at Puhar. The dance and music had its religious connotation from the earliest times.

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4.2 SATAVAHANAS

The government of the Satavahana kingdom was organized on the traditional lines. The kingdom was divided into Janapadas, which were further sub-divided into aharas. Each ahara was under an Amataya. The basic unit of the ahara was the grama with the village head called gramika. Central control was maintained over the provinces. Princesses were generally made viceroys. And the kings did not assume high-sounding titles. They were expected to maintain dharma.

Taxation was not burdensome. The state derived its income from crown lands, court fees, fines and ordinary taxes on lands. The extraordinary taxes of the Mauryan period were not imposed. In general, central control was not high because feudal traits emerged in the Satavahana period. The feudal chiefs like maharathas mahasenapatis and mahabhojas issued their own coins.

The area under the satavahanas in general witnessed considerable prosperity. There was brisk trade. Broach was the most important port and it had a vast and rich hinterland. Pratishthana produced cotton cloth. Tagara and Ujjain produced muslin. The chief imports were wines, copper, tin, lead and gold and silver coins. Another important port was Kalyan mentioned in the Periplus. The other ports were Sopara, Goa and Pigeon Islands. Within the kingdom there were important cities like Tagara, Prathishthana, Nasik, Junnar and Dhanyakataka. Koddura and Chinnaganjam were the important ports on the east. The general life led by the people was similar to the one portrayed in Vatsyana's Kama-Sutra.

Evidence also shows that a good number of people emigrated from the Deccan to colonize the regions in South-East Asia. The Satavahanas and Shiva were worshiped. Saptasatika reveals the worship of many Hindu deities. Vaishnavism and Shivism grew popular. Gautamiputra-Satakarni claimed himself to be the protector of Brahmins. The Nashik prasasti states that Varnashrama Dharma was maintained.

Buddhism too was popular. Both the Sakas and Satavahanas encouraged Buddhism. Ushavadata made several grants to Buddhist monks. Some of these grants were renewed by Gautamiputra Satakarni. Buddhist monuments and stupas came into existence at Nasik, Vidisa, Bhattiprolu, Goli, Ghantasala and Amaravati. It was at the last place that most probably human figures were carved out for the first time. And the stupa at this place had a marble railing with relief sculptures. A Vijayanti merchant was responsible for enriching Karle and Kanheri Buddhist caves.

Merchants from Nasik contributed to the caves at Vidisa and Bharhut. In brief cave architecture and building of stupas witnessed certain development under the auspices of the satavahanas and the donations of the merchants belonging to the guilds prove the commercial prosperity of the area. Encouraged by wealth the kings patronized literature and architecture. Hala was an authority on the Puranas. He was the author of Saptasatika. It is said that Hala paid as much as 40 million pieces of gold for four kavyas. Leelavati deals with the military campaigns of Hala.

The kings encouraged architecture. The five gateways at Sanchi the rock-cut Chaitya-halls of Bhaja, Karle, Nasik and Kanheri and the stupas at Amaravati, Bhattiprolu, Goli and Ghantasala were built in this period. The capitals of the pillars in Karle caves are elaborately sculptured. The dome and the base of the Amaravati stupa is elaborately sculptured. Jataka stories were incised on marble slabs. The upper part of the dome is a beautiful floral design. It is generally said that its construction began during the time of Gautamiputra Satakarni and was completed during the time of Yajna Sri Satakarni. Most probably two Ajanta Frescoes (9th and 10th) came into existence during this period.

The satavahanas were great excavators of cave temples and the magnificent temples of Ellora and Ajanta were the continuation of the Satavahana tradition to which all Middle Indian dynasties in succeeding ages claimed historic relationship.

The basic tradition in Middle India is of the Satavahana empire. As in the north it is of the Mauryan. From the point of view of historic continuity it is important to remember this primary fact as up to quite recent times the traditions flowing from the satavahanas were living factors in Indian history.

4.2.1 Andhra Satavahana Identity

Importance

The Satavahanas are the first historical ruling dynasty of the Deccan whose achievements in politics, religion, literature and art are remarkable. Their long period of rule extending over five centuries is unique in many ways. They were the only South Indian dynasty to control the entire Deccan and extend their sway over Magadha for some time. Further, they saved the Dakshinapatha from the onslaught of the foreign invaders who, in the opening years of the Christian era, entered Aryavarta from the north-west and wrought havoc in North India. The Satavahana empire, which gave peace and stability to the Deccan for about five hundred years, at its zenith included not only the present Andhra Pradesh, but also parts of Maharashtra, Gujarat, Madhya Pradesh, Orissa, Bihar, Karnataka and TamilNadu. In extent it ranked second only to the Mauryan Empire.

Sources

The main sources of Satavahana history are archaeological and literary. The former include inscriptions and coins while the latter include references made in the works of the Indian and foreign writers.

Inscriptions

Satavahana inscriptions are scattered between Sanchi (Madhya Pradesh) in the north and Bellary (Karnataka) in the south, and Kanheri (Maharashtra) in the west and Amaravati (Andhra Pradesh) in the east. Most of the inscriptions are private votive records registering the deeds of religious charity like excavation of a cave, or setting up a pillar for a chaitya. Some of the inscriptions found in the caves of Naneghat, Kanheri, Nashik and Karla in Maharashtra and in Guntupalli and other places of Andhra are of historical value as they contain the names of the reigning sovereigns and mention their regional years.

The Naneghat Inscription of Naganika

One of the inscriptions in the caves of Naneghat was inscribed by Naganika, the wife of Satakarni-I (180-170 b.c.) after the death of her husband. From the inscription it is evident that Satakarni conquered Western Malwa, Anupa on the Narmada valley and Vidharbha. The inscription also states that Satakarni performed the Aswamedha sacrifices and one Rajasuya sacrifice in commemoration of the victories and proclaimed himself Samrat and assumed the title of 'Dakshinapathi' and 'Aprathi hatah chakra'.

The Hathigumpha and Guntupalli Inscriptions

The Hathigumpha and Guntupalli inscriptions of King Kharavela of Kalinga state that the army of the Kalinga ruler reached Kannabenna (River Krishna) and threatened Mushikanagara. The inscription thus records the conflict between Satakarni-I and Kharavela for the possession of the Godavari and Krishna river basins but does not claim any success for the latter.

Nashik Inscriptions

The Nashik inscription of Gautami Balasri lists out the countries conquered by her son

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Gautamiputra Satakarni (A.D 78-102). The Satavahana inscriptions in Andhra belong to the time of Pulomavi and his successors. All the Satavahana inscriptions are in the Prakrit language and Brahmi script.

Coins

The Satavahanas struck coins in metals like copper, lead and tin. Only one ruler issued coins in silver. Coins found at a number of places in the Deccan throw a flood of light on the Satavahana history. Excavations carried out at places like Kondapur in Medak district and Peddabankur, Dhulikatta and Kotilingala in Karimnagar district yielded a large quantity of coins. The outstanding discovery was the coins relating to Simukha, the founder of the Satavahana dynasty. The coins have the legend 'Siri Chimukha Sata' at the top. Dr. P.V. Parabrahma Sastry identified Chimukha of these coins with Simukha, the founder of the Puranic list of the Satavahana dynasty. The coins found at Peddabankur include punch marked silver, Roman Denare and of the various Satavahana rulers. Excavations conducted at Dhulikatta or Dhulikota (mud fort) ten kilometres west of Peddabankur brought to light the traces of the walled town of the Satavahana period. V.V. Krishna Sastry believes it to be one of the thirty fortified towns of Andhra mentioned by Megasthenes. The discovery of the coins of Simukha at Kotilingala strengthens the claim of Telengana as the original home of the Satavahanas.

At Paithan (Aurangabad district, Maharashtra) or Pratisthanapura, the ancient capital city of the Satavahanas, unique coins containing the portrait of King Satakarni, and also Gajalakshmi type lead coins of the same king are found. A silver coin said to be a joint issue of Satakarni and Naganika was published. But its authenticity is questioned by Dr. Ajay Mitra Sastri of Nagpur University. However Gautamiputra Satakarni restructured the silver coinage of Nahapana, the Saka king, and also attempted to issue his own silver coinage, but his successors discontinued the practice.

The coinage of the Satavahanas has attracted the attention of historians like E.J. Rapson, Parabrahma Sastri, Krishna Sastri and Ajay Mitra Sastri. Rapson's catalogue of Andhra coins is a scholarly publication. Coinage of the Satavahanas and Coins from Excavations edited by Ajay Mitra Sastri is another noteworthy study of Satavahana coins.

Literature

References to the Satavahanas are found in some of the ancient literary works. According to the Matsya and Vayu Puranas, the last Kanva king, Susraman, was killed by the Andhra king, Simukha. The Puranas also contain the list of Andhra or Satavahana kings and their regional years. But the Puranic lists are of doubtful value as they are inconsistent and inadequate. The Katha Saritsagara based on Brihat Katha of Gunadhya gives information about the Satavahana society. Gargi Samhita Saptasati, an anthology of verses compiled by Hala, a Satavahana ruler, Kama sutra of Vatsyayana, help us to know the society and religion of the Satavahana period. Lilavati, a Prakrit work of Kutuhala, tells the love story of Hala and Lilavati, a princess from Sri Lanka. The background of the main scene was Sapta-Godavari Bhima identified with Bhimeswara temple of Draksharama in East Godavari district. The Buddhist works like the atakes, the Pitakas, the Mahavastu and the Katharvastu also contain references to the Andhras. In the Jain literature there are references to Prathisthana as the capital of the early Satavahana kings.

Among the foreign works, the Indica of Megasthenes makes a mention of the Andhras and their military might. Similarly the Periplus of the Erythrean Sea by an unknown Greek author gives an account of the Andhra region and makes a mention of Masalia (Machilipatnam). This has been identified with Maisolia, the greatest market of the Andhra kingdom, mentioned by Ptolemy.

4.2.2 Original Home

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Original Home of the Satavahanas

There is yet another controversy. Scholars do not agree about the original home of the Satavahanas. Vincent Smith was of the opinion that the delta basins of the Godavari and Krishna rivers were the home of the Andhras during the time of the Mauryas. After the death of Asoka, the Andhras asserted their independence and extended their empire towards Western Deccan.

The above view was challenged by V.S. Sukthankar who argued that Bellary district of Karnataka was the original Satavahana home. He based his argument upon the names Satauahani-hara and Satavahana-ratha used respectively in Myakadoni inscription of Pulumavi-III and Hiharadagalii plates of Pallava Sivaskanda Varman, found in Bellary district. His argument is controverted by historians like M. Rama Rao who argued that the names Satavahani hara and Satavahana ratha indicate that they were ruled by Satavahanas and nothing more. There is no evidence of the existence of the early Satavahanas there and Pulumavi III was removed from Simukha, his remote ancestor, by thirty-eight generations and more than four hundred years. The inscription in question was inscribed on a boulder named Janagaligundu near Myakadoni which is now in the Adoni Taluk of Kumool district of Andhra Pradesh.

Historians like P.T. Srinivasa Iyyengar rejected the Godavari-Krishna basin theory of Vincent Smith on the ground that Telugu was not used in the Satavahana inscriptions. As the Prakrit language was used in the Satavahana inscriptions and in Hala's Saptasati, Iyyengar felt that Maharashtra was the original Satavahana home. The theory is rejected since the Telugu language did not evolve at the time. Further, Prakrit was used not only in the Satavahana records but also in the edicts of Asoka. H.C. Rayachaudhari also supported the theory that the Satavahanas were originally from Maharashtra and moved eastwards and conquered Ajodhya Desha. But there is no evidence that the Satavahanas conquered Andhra. As a matter of fact that account of Megasthenes shows that the Andhras were a great power even during the time of Asoka. After the downfall of the Mauryas, the Andhras expanded their kingdom towards the west and ruled over Maharashtra also. Later, when they lost Western Deccan, they returned to their native Andhra Desa.

V.V. Mirashi argues that Vidharbha was the original home of the Satavahanas on the basis of the Hathigumpha inscription which records that the armies of Kharavela, without heeding Satakami, proceeded west and reached Kinnabonna, threatening Musikanagra. As Vidharbha is on the west of Kalinga Mirashi puts forward the claims of the former as the original home of the Satavahanas and identifies Kannabenna with the river Kanhan flowing near Nagpur. The theory is defective since the Guntupalli inscription of Kharavela gives credence to the Kalinga ruler's invasion of coastal Andhra. Further traditionally, the northern coastal Andhra districts are called the eastern area by the people south of the Godavari river. This is because of the eastward bend of the east coast near the mouth of the Krishna river. So the Hathigumpha inscription's account of Kharavela's invasion towards the west of Kalinga refers to his invasion of the Satavahana kingdom of the south.

The above theories only prove that the Satavahana rule extended over Western Deccan, Bellary and Vidharbha. The recent discovery of Satavahana coins including those of Simukha, the founder of the Satavahana dynasty in Telangana districts of Andhra Pradesh, the evidence of Megasthenes, the testimony of the Purana prove that the Satavahanas were Andhras. Satavahana was the name of the dynasty (Vamsi) which belonged to the Andhra race (Jati). In the post Asokan period the Satavahana rule extended over the entire Dakshinapatha for nearly five centuries.

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4.2.3 Chronology

There has been a controversy for the last one hundred years over the identity of the Satavahanas. One group of historians, which include Vincent Smith, E.J. Rapson, L.D. Barnett, R.G. Bhandarkar, Maremanda Rama Rao and Gurty Venkata Rao, support the view that the Satavahanas were Andhras. This view was opposed by another group of historians like P.T. Srinivasa Iyyengar, V.S. Sukthankar, H.C. Rayachaudhari, V.V. Mirashi who regard the Satavahanas as Maharashtrians.

Those who opposed the Andhra origin of the Satavahanas based their arguments on the following grounds:

1. The Andhras of the present day occupy the Eastern Deccan while the Satavahana rule commenced in the Western Deccan or Maharashtra. Further, the early capital of Satavahanas was Prathisthana or Modern Paithan in the Aurangabad district of Maharashtra.
2. The earliest Satavahana records like the Naneghat inscription of Naganika and the Nashik inscription of Gautami Balasri are in Maharashtra. No epigraphically record of the early Satavahana rulers is found in Andhra. Only with the reign of Vashisthiputra Pulumavi do Satavahana records begin to appear in Andhra. Further, in none of the inscriptions do the Satavahanas call them Andhras.
3. The language used in the Satavahana inscriptions and coins is Prakrit while Telugu is the language of the Andhras.
4. The Puranas which listed thirty rulers call them Andhras or Andhrabrithyas and not Satavahanas.
5. The Satavahanas are popularly referred to as Andhras since the later Satavahana kings who lost their original home in the western Deccan confined their rule to the Eastern Deccan or Andhra Desa.
6. Further, the use of metonymy by the Satavahana rulers shows their Maharashtra origin.

Though the above arguments appear to be strong they do not stand up to historical scrutiny. It is true that the Andhras of the present day occupy Eastern Deccan, but the Satavahana-empire was not confined to the Western Deccan alone, it included the Eastern Deccan and other areas also. After the death of Asoka, the Andhras who were second only to the Mauryans in power and glory, extended their authority as far as Nashik in the west. At the same time, the Greeks and other foreign tribes invaded Aryavarta and threatened the political stability of the Dakshinapatha. So the Satavahanas, in order to resist the likely foreign incursions from the north, made Prathisthana their capital, once that city was strategically located on the highway that connected the Dakshinapatha with the north. Further, it controlled the passes in the north that connected the mainland of the Deccan with the west coast. The association of the Satavahanas with Prathisthana was short lived. Only the early rulers stayed there. The capital was shifted to the Eastern Deccan or the Andhra region once the danger of foreign invasion was removed.

The second argument that the early records of the Satavahanas have been discovered in Maharashtra alone no longer holds good. Only two inscriptions (Naneghat and Nashik) and a few coins of doubtful authenticity were discovered in Maharashtra. But recent excavations in Telangana districts of Andhra Pradesh resulted in the discovery of a large number of Satavahana coins and seals. At Kotilingala several coins of Simukha, the founder of the Satavahana dynasty, and those of other early kings like Kanha (Krishna) and Satakarni were found. Similarly at Kondapur, Peddabankur, Dhulikatta several seal, coins, terracotta objects were discovered testifying to the fact that the region was an active centre of Satavahana trade and commerce. The fact that the coins of Simukha, the founder of the Satavahana dynasty, and those of the early kings found in Dhulikatta

in Karimnagar district is a positive proof that Telangana was the nucleus of the Satavahana empire. Further, the description of Satakarni as akshinapathapati in the Naneghat inscription proves that the Satavahana dominion was not confined to Western Deccan alone but included other areas of the Deccan and beyond.

The argument that the Satavahanas did not call themselves Andhras is ridiculous. The ruling dynasty refers to itself by the dynastic name or the name of the gotra and not by the name of the people. The Ikshavakus, Vishnukundins and Kakatiyas who ruled over Andhra after the disintegration of the Satavahana empire also did not call themselves Andhras.

The third argument that the Satavahanas used Prakrit and not Telugu in their records is not valid for the simple reason that Telugu in its present form developed around the sixth century A.D. The Satavahanas used Prakrit in their records since it was the official language of the ruling dynasties since the time of Asoka until about the 3rd century A.D. Even the three early Pallava copper plate grants are in Prakrit. When Sanskrit regained its preeminence under the Guptas, inscriptions were issued in that language.

The fourth argument that the list of the kings in the Puranas are referred to as Andhras Andhrabrithyas (Servants of Andhras) and not Satavahanas actually supports the theory that the Satavahanas were Andhras. The names of Andhra kings mentioned in the Puranas are more or less similar to the name that can be derived from the Satavahana inscriptions and coins. The common names in both the sources include Simukha, Ranha (Krishna), Satakarni-I, Satakarni-II, Apalika, Meghasvati, Gautamiputra, Pulomavi-II and III, Sivasri, Chandrasri. There could not have been so many similar names if the kings belonged to different families. The fact is that the Puranas refer to the Satavahana kings by the name of their race as Andhras, whereas the inscriptions and coins highlight the dynastic name the Satavahanas. Moreover, since the Puranic accounts are based on the court records and the oral history of the time, they cannot make a fundamental mistake regarding the racial origin of the ruling family.

The fifth argument that the Satavahanas are popularly regarded as Andhras because the later kings of the dynasty stayed in Andhradesa after they lost Western Deccan actually strengthens the case that the Satavahanas were Andhras.

The last argument regarding the use of metonymics by the Satavahanas does not strengthen the case of Mafiarashtra, since Gautamiputra Satakarni, the 23rd king of the dynasty, and his successors who gradually lost control over the Western Deccan and confined themselves to Andhra started this practice.

4.2.4 The Early Satavahanas

Simukha (221-198 B.C.)

Simukha is regarded as the founder of the Satavahana dynasty since his name tops the list of Andhra kings given in the Puranas. He is also known, by other names like Simukha, Sisukd and Sindhuka. In the recently discovered satavahana coins at Kotilingala the legend at the top runs as 'Siri Chimukha Sata'. Simukha is identified with Simukha by Parabrahma Sastry. In the inscriptions on the relief figures at Naneghat, Simukha is described as Simukha Satavahana Sirimata. From this, it is evident that the dynasty derives its name not from Simukha but from one Satavahana. It can be presumed that Satavahana who was a vassal of Asoka took advantage of the death of the emperor and consolidated his position in the Deccan and paved the way for the independence of his son. Simukha on assuming power proclaimed his independence and named the dynasty after his father. He rallied round his banner other Andhra clans, invaded Western Deccan and, overcame the opposition of the local tribe "Rathikas". He consolidated his position

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further by entering into a matrimonial alliance with them. Simukha's son Satakarni was married to Naganika, the daughter of Maharathi Tranakayiro. Simukha decided to stay in Western Deccan and made Pralhisthana his capital due to its strategic location. Simukha ruled for 23 years and died in 198 B.C. In the early years of his rule he patronised Jainism. Later he switched over his allegiance to Brahmanism as there was a general reaction in its favour in the post-Asokan period. Simukha's decision to stay in Western Deccan and his patronage of Brahminism show that he understood the political realities of the time.

Kanha (Krishna) (198-180 B.C.)

According to the Puranas, Simukha was succeeded by his brother Kanha or Krishna. His accession to the throne in spite of Simukha having a son led Rapsom and other scholars to believe that he was an usurper. This belief was strengthened by the absence of his figure in the Naneghat reliefs. These reliefs constructed under the orders of Naganika, the queen of Satakarini-I who succeeded Krishna contain the figures of Naganika, her children, her father, her husband and his father. However, it is quite likely that at the time of Simukha's death, his son Satakarni was a minor and Krishna acted as his guardian to safeguard the kingdom from the attacks from the north. During the rule of Krishna important developments took place in the north and the east. In 185 B.C. Pushyamitra Sunga usurped the throne of Magadha. In Kalinga, Kharavela of the Ceta dynasty rose to power and threatened other rulers of the country. Krishna extended the empire towards the west as far as Nashik.

Satakarni-I (180-170 B.C.)

Many details about the reign of Satakarni-I are known from the Naneghat inscription issued by his wife Naganika or Nayanika. Satakarni is also mentioned in the Hathigumpha inscription of Kharavela. Satakarni was the ablest among the early Satavahana rulers. The Naneghat inscription describes him as Vana, Sura, Dakshinapathapati and some of the Puranas call him Mahan. Satakarni was the contemporary of Pushyamitra Sunga, the ruler of Magadha, and Kharavela, the ruler of Kalinga. The Satavahana kingdom was threatened by the aggressive designs of these two rulers.

From the Naneghat inscription it is evident that Satakarni I conquered western Malwa, Anupa or the Narmada valley and Vidharbha. When Pushyamitra Sunga usurped the throne of Magadha, Vidharbha proclaimed its independence. Thereupon Pushyamitra sent his son Agnimitra to conquer it. He could succeed in conquering only a part of Vidharbha, near the mouth of the Varada river. The Southern part was annexed to the Satavahana empire by Satakarni-I. To celebrate his success, Satakarni performed the Aswamedha sacrifice.

Kharavela invaded the Satavahana empire and his armies reached as far as the river Kannabenna (Krishna) and threatened Musikanagara. Satakarni repulsed the attack of Kharavela and reestablished his authority in the east. To mark his achievement, he took the title of 'Dakshinapathapati' and performed the second Aswamedha sacrifice. His other titles include 'Samrat' and 'Apratihata chakra'.

Satakarni was the champion of the Vedic religion and performed Rajasuya and Aswamedha sacrifices. He died at an early age leaving behind his widow Naganika and four minor sons, Kumara Hakusiri, Kumara Satavahana, Satisirimat and Vcdasiri.

Naganika

Naganika, the daughter of Maharathi Tranakayiro and the wife of Satakarni-I was a remarkable lady and left the impress of her great personality on the administration. Like her husband she was the champion of the Vedic religion. She issued the Naneghat inscription to record the achievements of her husband.

Purnotsanga (170-152 B.C.)

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The history of the Satavahana dynasty following the death of Satakarni-I is confusing. It appears that after the regency of Naganika, the empire was divided among her four sons. The Puranas mention the name of Purnotsanga who was identified with Vedasmi. Taking advantage of the confused situation in the Satavahana kingdom, Kharavela attacked and destroyed the flourishing city of Puntanagara identified with Bhalriprulu. According to the Guntupalli inscription Kharavela subdued the Mahishakas who resided in the region of Medak and Dharwar. Two other important events that took place during the reign of Purnotsanga were the deaths of Pushyamitra and Kharavela around 149 B.C.

Satakarni II (152-96 B.C.)

The long rule of Satakarni-II extending for 56 years is memorable for a variety of reasons. It was during his reign that Patahputra, the metropolis of ancient India came under the control of Satavahanas. For the first time a South Indian dynasty established its sway over the north. Taking advantage of the dissensions in the Magadhan kingdom following the death of Pushyamitra Sanga, Satakarni-II advanced upon Vidisa and annexed it. He conquered Kalinga also which had come under the control of the Sakas after the death of Kharavela. From Kalinga, Satakarni-II proceeded to Pataliputra and conquered it. Satakarni is mentioned in an inscription on the gateway of Sanchi, the Yagapurana and a few coins.

The successors of Satakarni-II include Lambodara, Apalika and Meghasvati. Very little is known about them.

Kuntala Satakarni (38-30 B.C.)

Kuntala Satakarni ruled for a short period of eight years only. He is mentioned in a number of literary works like Kavya Mimamsa of Rajasekhara, Karnasutra of Vatsyayana and Brihat Katha by Gunadhya. His rule is memorable as Sanskrit replaced Prakrit as the official language of the empire. A small incident led to this change. Satakarni, who was ignorant of Sanskrit, had to cut a sorry figure before his queen who spoke in Sanskrit. He therefore resolved to master that language in six months. Thereupon, Sarva Varma, one of the ministers of Satakarni, prepared Katantra vyakarna and enabled his master to fulfil his resolve. Due to his new found love for Sanskrit, Satakarni made it the official language of the empire. Gunadhya, another minister of Satakarni, had great love for Prakrit and Desi, the local dialects.

He therefore retired to the forests, and composed Brihat Katha in the Paisachi dialect. Satakarni, the new champion of Sanskrit could not tolerate a work in a non-Sanskrit language. He therefore ordered Gunadhya to destroy his work except on "Lambaka". The fragmentary Brihat Katha became the source for Kathasaritsagara. Sarva Varma was made the Lord of the city of Baru Kuchha or modern Broach in Gujarat. Kuntala Satakarni was a powerful ruler. His dominions included Dakshinapatha and parts of North India. He was a pleasure-loving king and was responsible for the accidental death of his queen Malayavati. The incident is mentioned in a commentary in the Kama sutra.

Pulomavi I (30 - 6 A.D.)

Pulomavi was the fifteenth Andhra king mentioned in the Puranas. He is regarded to have killed Susanna, the Kanva king of Pataliputra and annexed his kingdom. It may be for this reason that the Puranas call Andhras Taulomas.

Hala (A.D. 19 - 24)

Hala the seventeenth king of the Satavahana is mentioned by Vatsyayana in his Kamasutra and by Rajasekhara in Kavya Mimamsa. The Prakrit poetical work Lilavati (Lilavati) by

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Kutuhala narrates the love story of Hala and Lilavati, a princess from Sri Lanka. The lovers were united in wedlock at Sapta-Godavan Bhimaor Draksharama in East Coda van district. Hala is regarded as the author of 'Suptasai', a Prakrit work. Gunadhya was his contemporary.

Hala was known as Kavivatsala or patron of the poets. After Hala, the fortunes of the Satavahana family once again declined. They lost their provinces in Central and Western India and also Magadha. They were confined to their home territories in Andhra Desa.

Administration

The Satavahanas organised a sound administration to control their vast empire. By and large, they followed the Mauryan model and at the same time made new innovations to suit the local needs. The Satavahana rulers were not cruel despots but tried to discharge their duties according to the tenets of the Dharma Sastras to promote the well-being of all sections of the society.

The King and the Council

At the apex of the administration was the king who was known by his title Raja or Maharaja. The Satavahana kings did not assume high-sounding titles like Samrat or claim divine origin. The crown price was known as Yuvaraja or Kumara. The succession to the throne was by the law of Primogeniture even though the later Satavahana kings associated their names with their mothers like Gautariputra and Vashisthiputra. The king was assisted by a number of ministers of different grades and status. Among the ministers, Visvasa Amatya held the preeminent position as he was consulted by the king on all important matters. The Raja Amatyas who ranked below the Visvasa Amatya constituted the ministerial council.

Administrative Services

The administration was manned by officials noted for their efficiency, hard work and loyalty. Officials of the higher echelons included Maha Senapati (Commander-in-chief, Maharnatnif. (Head of the departments), Mahataraka (Chamberlain), Bhandagarikn (Controller of Stores), Hcranika (Treasurer). Other officials include the Ganapaka (Accountant), Pratihara and Dutu (messengers), Istdiaka (writer or clerk), Nibandhanakara (Registrar of Documents) and Pallika Palaka (Director of Archives).

Provinces

The empire, under the direct rule of the Satavahanas, was divided into a number of provinces called Aharas. Alliey were placed in charge of governors called Amatyas. These were non-hereditary officers appointed for a term of five years and were liable to be transferred. The Aharas were named after the headquarters of the governor. Some of the well known provmi.es were Covardhana (Nashik), Sopara and Mamala (Pune). Besides the Aharas there were semi-autonomous territories governed by hereditary chiefs known as Maharathas and Mahabhojas. During the closing years of the Satavahana rule when the empire was frequently attacked by foreign tribes like the Sakas, the outlying Aharas were placed in charge of Maha Senapatis.

Local Administration

The lowest unit of the administration was Grama or village. It was placed in the charge of an official called Gramani who sometimes controlled a cluster of villages numbering five or ten.

Nigama Sabhas

As the Satavahana empires carried on brisk trade with foreign countries a number of cities like Prathisthana, Sopara, Nashik, Govardhana, Tagara Kanheri, Kalyana, Vijayanti, Arnaravati, Vijayapun, Snkakulam developed in different parts of the empire The affairs

of these cities were looked after by corporate bodies called Nigama Sabhas which had a representative character. The heads of certain households called Ganapathis and the representatives of merchant guilds were co-opted as members of Nigama Sabha.

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Revenue

The main source of the state's income was Sand revenue. The royal share of the agricultural produce was known as 'bhoga' and 'deyameya'. Besides this, taxes called Karukara were collected from artisans.

Social and Economic Conditions

Castes and Professions

During the rule of the Satavahanas, Brahmanism gained ascendancy and the fourfold caste system of Brahmana, Kshatriya, Vaisya and Sudra tended to become more rigid, Though the Satavahana kings championed Hinduism their queens patronised Buddhism also. Both religions co-existed in perfect harmony and their mutual relations were based on tolerance. The foreign invaders like the Sakas and Yavanas settled down in India and embraced either Buddhism or Hinduism. Gradually, they adopted Indian names and customs and were absorbed into the Hindu fold. They were looked upon as Kshatriyas and the local ruling dynasties entered into matrimonial alliances with them. However, Gautamiputra Satakarni abhorred the assimilation of the foreign tribes into the Hindu fold and claimed to have stopped 'Varna Sankara' or assimilation of castes (Vinivartita Chaturvarna Sankara).

Nashik Pmsasti recorded by his mother Balasri claims that he destroyed the Sakas (Scythians), Yavanas (Indo Greeks) and Pahal was (Parthians), (Saka-Yavana pahalava nisudana kara). Further he was the eka-brahmana (unique Brahmin) who destroyed the pride of the Kshatriyas (Kshatriya-darpa-inan-mardami). In spite of his multifarious activities he found time for the pursuit of 'irivarga' or the three aims of human life.

The attempts of Gautamiputra Satakarni to prevent the intermixture of castes and the assimilation of foreign invaders into the Hindu fold yielded mixed results. The caste system lost its flexibility and became more and more rigid, but the assimilation of foreign tribes into the Hindu fold went on unabated. As a matter of fact, Sivasri, one of the successors of Gutamiputra, married the daughter of Kudradaman, the Saka Satrap.

Along with the fourfold caste system, society was divided into four classes on the basis of the professions of people who were called according to their profession as Halika (cultivator), Sethi (merchant), Vachaki (carpenter), Karnara (blacksmith), Suvarnakara (goldsmith), Tilapisaka (oil monger). The professionals were grouped into four sections like the four castes. The first section consisted of feudatories and top officials like Maharathis, Mahabhojas and Mahasenapathis. The second section included amatyas and sethis. The third section included the halikas and suvarnakaras. The fourth included the vachiki kolika (weaver), and kamaras. People following the same profession grouped themselves into srenis or guilds.

Position of Women

One of the outstanding features of the Satavahana society was the high status accorded to women. Royal ladies like Nagamka, Balasri played a dominant role in the affairs of the state. The Satavahana kings took pride in associating their names with their mothers like Gautamiputra and Vashisthiputra. This does not, however, indicate that the metronymic system of society existed. The social structure was based on the patrilinear system.

Though the rulers championed Hinduism, the royal ladies and those belonging to the affluent classes patronised Buddhism and made liberal grants to the Chaityas (Buddhist

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temples) and Viharas (residential quarters for Buddhist monks and mendicants). One can presume that some women occupied high positions in the administration as we come across the terms like Mahabholi, Maharathini and Matiasenapatini in the inscriptions.

The Satavahana women were fashion-conscious. In the paintings at Ajanta and sculptures of Ellora and Amaravati we come across different hairstyles that were in vogue in those times. They were also fond of ornaments and bedecked themselves with a variety of jewels like earrings, necklaces, bangles, bracelets and anklets. They did not have any inhibition in partaking intoxicants or participating in entertainments like Madanotsava, Ghatani Bandharui Kaumadi Yagam where both sexes mingled freely. In short, the Satavahana society was free and open but not permissive. The people had developed a healthy attitude towards religion, morals and sex.

Religion

During the Mauryan period the religions of the north like Brahmanism, Buddhism and Jainism made inroads into the Deccan. The first Satavahana ruler, Simukha, was reputed to be a Jain during the early years of his rule, but changed his faith to Brahmanism as the popular reaction became strong in favour of the Vedic faith. Satakarni-I, the third king of the dynasty, was a staunch champion of Hinduism. From the Naneghat inscription of his wife Naganika it is evident that Satakarni performed two Asvamedhas and one Rajasuya sacrifice. Besides, he performed numerous other sacrifices like aptoryama and agneyadheya. Naganika also championed the Vedic faith. The royal couple named one of their sons Vedsari. Among the later Satavahanas Gautamiputra Satakarni fully identified himself as the defender of the Vedic faith and tried to prevent Varna Sankara. He was hailed as Eka Bruhamana.

While championing the Vedic faith the Satavahana rulers extended their patronage to Buddhism also. Acharya Nagarjuna, the founder of the Madhyamika doctrine of the Buddhist philosophy, lived at Sripurvata, now known as Nagarjunakonda. For a time he lived at the court of Gautamiputra Yagnasri.

The Jain religion did not receive much patronage from the Satavahana rulers even though some of the kingdoms on the borders of the empire like Kalinga, Malwa and Mysore were flourishing centres of Jainism.

Prakrit and Sanskrit

Prakrit was the official language of the Deccan when the Satavahanas commenced their rule. The Satavahanas patronised that language and Hala, the seventeenth king of the dynasty, wrote Saptasati in Prakrit. Gunadhya, a minister of Kuntala Satakarni, composed Brihat Katha in Paisachi, but Kuntala Satakarni extended patronage to Sanskrit only and Prakrit was relegated to the background. Sarva Varma, another minister of Kuntala Satakarni, wrote Katantra Vyakarna which made the learning of Sanskrit easy. By the time of the later Satavahanas Sanskrit had attained supremacy all over the Deccan and even the Saka ruler Rudradaman issued his inscriptions in Sanskrit itself. The Buddhists also preferred Sanskrit. Though Sanskrit replaced Prakrit as the language of the elite the common people spoke in Desi which was the forerunner of the present-day languages of the Deccan like Telugu and Kannada.

Art and Architecture

The contribution of the Satavahanas to Indian art and architecture is immense. They were the innovators of the rock-cut architecture. A number of Chaityas and Viharas were made out of rock in a number of places like Nashik, Kanheri, Karle in Western Deccan. In Andhra, viharas and stupas (a monument built on the remains of Buddha or other great teachers) were built of brick and marble in a number of places like Amaravati, Jaggaiahpetta, Goli, Gantasala, Nagarjunakonda and Bhattiprolu.

Amaravati School of Art

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At Amaravati on the left bank of the Krishna river, the largest Buddhist stupa of South India was constructed. Its construction began in 200 B.C. and was completed in A.D.2.00. The diameter of the stupa at the base was 51 metres. The height of the dome was 31 metres and the outer railing 15 metres wide. Instead of brick and red stone, marble was used in the construction. The inner stupa was richly engraved, depicting incidents from Buddha's life. The stupendous stupa could not withstand the ravages of time and its ruins are preserved in the London Museum. Art critics lavished praise on the greatness of Amaravati art. Epithets like "a new canon of beauty and tranquility", "the aesthetic ideal of India" were used in describing the grandeur of Amaravati art. One of the schools of Indian art is named after Amaravati, the capital of the later Satavahanas. Similarly the earliest paintings, especially the renowned "Black princess" in the Ajanta caves belong to the Satavahana period.

Economic Conditions

Deccan, the main seat of the Satavahana power, is watered by the two mighty rivers of South India, namely, the Godavari and the Krishna. As a result agriculture became the main stay of the Satavahana economy. The rivers, besides sustaining agriculture became the main channels of trade and communication. Realizing the dominant role played by the rivers in their economy, the Satavahanas located their early capital at Prathisthana on the left bank of the Godavari river in the Aurangabad district of Maharashtra. Their later capital, which rivaled the brilliance of Indra's court was aptly named Amaravati and Unrated on the left bank of the Krishna river in the Guntur district of Andhra Pradesh.

Very little is known from the inscriptions about the state of agriculture or the irrigational facilities provided by the Mate. But from the literary works like Saptasangi, we get the impression that the villages were prosperous and grew a variety of crops like paddy, gingelly, and sugarcane. Eastern-Deccan (Telangana) covered, by alluvial soil was agriculturally more advanced and densely populated,

Besides fostering agriculture the Satavahanas developed both internal and marine time trade. The figure of a ship found on the coins of Pulomavi and Yagnasri testify to the fact of their maritime activity. Further discovery of a large number of Roman coins in the Krishna valley strengthens the above fact. Peripuls of Erythrean Sea (A.D. 60-70) mentions a number of ports on the western and Andhra coasts. The important western ports included Sopar, Kalyana, Bargaza and Barukachcha, the northern most port of Dakshinapatha. The important market towns of Andhra included Kontakossyla (Ghantasala), Koddura (Kodurof Krishna district or Cuduru near Machilipatnam) and Allosygne (Corinka near Kakinada). The inland market towns of Telangana included Kotilingala situated at the confluence of Peddavagu and Godavari river in peddapalli mandal of Karimnagar (Elgandala) district. Peddabankur, a village near peddapalli, Dhulikatta or Dhulikota (mud fort) near Elgandala. Perhaps it was one of the thirty walled towns noted by Megasthenes. Other market towns or the Fastens Deccan included Kondapur (Medak district), 70 km from Hyderabad city, Vijayapuri (Nalgonda district), and Bhattiprolu(Guntur disirict). The important market towns of Western Deccan included Prathisthana, Tagara. Nashik, Govardhana, Vijayanthi and Jannar. As many of the market towns were located, on the banks of rivers, traders and travellers covered the distance by means of boats. The highway running from the north to the south and west were also used by traders. As the highways were infested by robbers and wild animals, merchants moved in caravans. The Srenis or trade guilds which acted as bankers facilitated the development of trade.

The main items of export to Rome, Persia and other countries included textiles, silks, gems, ivory, pepper and high quality steel known as wootz produced at

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Konasamudram and Elgandala. The imports included wine, copper, gold and silver. As a result of the brisk trade, a rich class of merchants known as sethis came into existence and dominated the society. They patronised Buddhism and gave donations for the construction of Chaityas and Viharas. It is interesting to note that in the inscription on the caves of Western India, the donations given by merchants were mentioned in 46 lines while those of the kings and royal family members account for 30 only.

The Satavahana empire could sustain itself for five centuries in spite of the repeated attacks from its enemies, due to its economic strength resulting mainly from foreign trade.

To conclude, the Satavahana rule extending over five centuries from 3rd century B.C to 3rd century A.D. constitutes one of the glorious epochs of ancient Indian history. The history of India before the advent of the Satavahanas was mainly the history of North India. The Satavahanas who controlled the land between the Narmada in the north and Tungabhadra in the South and Bay of Bengal in the east and the Arabian Sea in the west gave the Deccan a political individuality and blessed the area with peace and prosperity at a time when North India was rocked by several political disturbances caused by foreign invasions and dynastic revolutions.

The Satavahana empire at its zenith included not only contemporary Andhra Pradesh, but also parts of Maharashtra, Gujarat, Tamil Nadu, Karnataka, Madhya Pradesh, Orissa and Bihar. In extent it ranked second only to the Mauryan Empire.

Political History of the Satavahanas

The vague, disputed and uncorroborated doubtful evidences form the basis for the history of the Satavahanas. The Jain sources mention Satavahana as the first king in the family. The Kathasaritsagara also contains a story about Satavahana. The Kondapur coins bear the legend 'Sadvahana'. On scriptal grounds this Satavahana is placed close to (either before or contemporaneous with) Simuka, the first ruler of the family mentioned in the Puranas. The latest discovery, Kotilingala coins (from Karimnagar district) included seven coins belonging to this Simuka. The legend on these coins strengthens the possibility that the king Satavahana of Kondapur coins is none other than Simuka himself who is called Simuka Satavahana in a Nanaghat label inscription also. It may be assumed that Simuka Satavahana was the founder of the dynasty and his successors called themselves Satavahanas.

Though Simuka Satavahana was the reputed founder of the Satavahana line of kings, he had not founded an independent state. He was probably the first to bring several Andhra family groups together and to oblige them to recognize him as their mutual and unique leader. He emerged as a prominent about 271 B.C. When the great Asoka Maurya, according to the Buddhist sources, was waging a bitter war of succession against his brothers. With Asoka's show of force in the Kalinga war, Simuka and his associates who held power for 23 years were content with their semi-independent status, Kanha (Krishna), the brother and successor of Simuka, came under the spell of Asoka's increasing zeal for Dharma. A cave at Nasik for the Sramanas was constructed. Taking advantage of Asoka's death and the disturbed conditions in the Magadhan capital, Kanha probably broke off from the Mauryan yoke and acquired an independent status for the area under his authority.

The earliest of the Satavahana rulers to receive wide recognition was Satakami-II (184 B.C.- 128 B.C.), the sixth of the Matsya corresponding to the third of the Vayu list and also to Satakami of both Kharavela's Hathigumpha inscription and Naganika's Nanaghat record. The wide recognition was due to his policy of military expansion in all directions. He defied Kharavela of Kalinga. He was the 'lord of Pratishthana' modern Paithan in the north-western Deccan. He conquered eastern Malwa which was being

threatened by the Sakas and the Greeks. He gained control of the region of Sanchi. After conquering the Godavari valley, Satakami became the 'lord of the Southern Regions' (Dakshinapathapati). He supported the brahman orthodoxy and performed an Aswamedha to establish his claim to an empire.

The Satavahanas did not hold the western Deccan for long. They were gradually pushed out of the west by the Sakas (Western Khatrapas). The Kshaharata Nahapana's coins in the Nasik area indicate that the Western Kshatrapas controlled this region by the first century A.D. By becoming master of wide regions including Malwa, Southern Gujarat, and Northern Konkan, from Broach to Sopara and the Nasik and Poona districts, Nahapana rose from the status of a mere Kshatrapi in the year 41 (58 A.D.) to that of Mahakshatrapi in the year 46 (63 A.D.).

Gatitami putra Satakami, the 23rd king of the Matsya list, was one of the most illustrious rulers of ancient India. His reign is placed between 62 A.D. and 86 A.D. Some scholars attribute to him the foundation of the Satavahana era in 78 A.D. Gautami putra was credited with the restoration of the fallen prestige of the dynasty. The Nasik inscription of his mother Gautami Bala Sri and his own records at Nasik and Karte furnish us a vivid account of his accomplishments and achievements. His phenomenal success realized his ambition to recover the imperial position of the Satavahanas. He first won back the territories on his western borders from the Kshaharata successors of Nahapana. Nahapana's coins were restruck in his name. Bala Sri's record credits him with the extirpation of the Kshaharata family. It is solid that he humbled the power and pride of the Kshatriyas and destroyed the Yavanas, Sakas and Pahlavans.

Gautami putra Satakami's dominions included the countries of Asika. Asaka, Mulaka, Surashtra, Kakura, Aparanta, Anupa, Vidarbha, Akara and Avanti, the mountainous regions of Virdhya, Achavata, Pariyatra. Sahya, Kanhagiri, Siritana, Malaya. Mahendra, Seta and Chokora and extended as far as the seas on either side. These details indicate the extent of his empire over the country between Rajasthan and Cuddalore and between the Rishikulya and Vijayanti. Gautami putra made his horses drink the waters of the three oceans. He was uniquely skilled as an archer, absolute as a sovereign and a figure of the heroic mould. Though an absolute monarch, Gautami putra was kind to his subjects and a father to his people. He tried to fulfil the duties of the Trivarga-Dharma, Artha and Kama. He shared the sorrows and pleasures of his people. He is described as 'the abode of the Vedas'. A pious and orthodox Brahmin, he was meticulous in maintaining caste-purity.

Gautami putra's son and successor Vasisthi putra Pulomavi (86-114 A.D.) could not maintain for long his hold over his vast inheritance. During the last years of his rule, he lost the north-western provinces of the Andhra empire to Chashtana, the founder of the Western Kshatrapi Kardamaka line. His successors, Siva Sri and Sivaskanda each ruled for seven years during which period the house of Chashtana expanded its authority up to Cutch in the west by 130 A.D. Chashtana's grandson Rudradaman made his substantial contribution in the growth of the Kardamaka power.

Gautami putra Yajna Sri (128 A.D. - 157 A.D.) was the last of the great Satavahana rulers. He made attempts to recover the western (Aparanta) provinces. His efforts proved futile. Rudradaman won over the disgruntled Vasisthi putra Satakami, a relation of Yajna Sri, to his side by giving him his daughter in marriage. The two encounters between Yajna Sri and Rudradaman's forces went against the Andhras. The Saka suzerainty was acknowledged. The Satavahana rule was confined to the Andhra area. The reigns of Yajna Sri's successors, Vijaya, Chanda Sri and Pulomavi (III), covering altogether a period of seventeen years, are of little significance historically. The rise of the Chutus in the west and south, the Abhiras in the Nasik area, the Ikshvakus in the east

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and the relentless pressure of the Kardamakas of Ujjain sounded the death-knell of the Satavahana empire. Thus came to an end the glorious phase of the rule of the Satavahanas who not only gave the area political integrity but protected it from foreign invaders who inundated the north at that time.

4.2.7 Cultural Conditions

The cultural history of the period is the history of Aryanization of the country. 'Administration, social and economic life, religion and philosophy, art and literature in fact every branch of human activity, was recast in the Aryan mould. The Vedicishis. Mauryan officers and Buddhist missionaries alike by precept and example hastened the revolutionary change and served to implant Aryan institutions firmly in the Deccani soil.'

The Satavahanas accepted them and deliberately and consciously followed the policy laid down in the Sastras available to them.

Administration

The extent of the Satavahana empire fluctuated continually according to the political vicissitudes of the times. At its zenith, their empire stretched from the Bay of Bengal in the east to the Arabian Sea in the west and embraced the entire region between the Narmada in the north and the Krishna in the south. There is also archaeological evidence regarding the Satavahana conquest of Malwa and the Puranic evidence for their control over the ancient imperial capital of Magadha, i.e., Pataliputra. Being the political successors of the Mauryans, they borrowed much from the Mauryan administrative system. Their government was based upon hereditary absolute monarchy. They were not content with the simple title of Raja.

Gautamiputra Satakarni bore the imperial title 'Rajarano' i.e., of King of Kings. The rulers regarded themselves as the guardians of social and political order and the welfare of their subjects. For administrative purposes, the empire was divided into a number of Aharas or Rashtras (Govardhana, Sopara, Manrura, Satavahana etc.), each of which consisted of at least one central town (Nigama) and a number of villages. The Amatya governed these Aharas. The Maharathis and the Mahabhojas, the feudatory chieftains, were superior in rank and power to the Amatyas. The inscriptions refer to officers like Mahassna-pati, Heranika, Bhandagarika, Mahamatra, Lekhaka and Nibandhakaras. Gramas (villages) and Nigamas (towns) were the lowest administrative units. Considerable autonomy was therein managing the affairs of these units. The trade and merchant guilds (srenies) played an important part in this regard.

Social Conditions

During this period, the people were familiar with the Aryan fourfold division of society into Brahmins, Kshatriyas, Vaisyas and Sudras. Outside the Aryan influence were the indigenous tribes, indifferent to Aryan ways of life and thought. People were known according to their professions such as the Halika (cultivator), the Sethi (merchant), the Kolika (Weaver) and the Gadhika (druggist). The Buddhists and the Saka-Pahlavasshook in social structure considerably. The foreigners were becoming absorbed in the indigenous society by adopting the faith and customs here and through intermarriages with the caste people. It is true Gautamiputra Satakarni attempted to restore the balance and stopping the contamination of the castes. Yet caste rules were not strictly observed. Inscriptions and other records indicate the prominence of women in social life. Their lavish charity and assumption of the titles of their husbands like Mahatalavari signify their economic and social status. The sculptures of the period reveal their scanty dress and profuse ornamentation. Joint family system was another normal feature of society in the Aryan patriarchal mould. The prevalence of polygamy among the princes was revealed by the metronymic titles (calling sons after their mothers), which some of the

later Satavahanas bore along with the personal name.

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Economic Conditions

In the economic sphere, agriculture was the mainstay of both the people and the government. The country abounded in agricultural products. The king collected the traditional one-sixth of the produce as the share of the state. Salt was a state monopoly industry and commerce occupied the next place in the economic life of the state. Various classes of workers such as Kularika (potters), Kolika (weaver), Vasakara (bamboo worker), Dhanntka (com dealer) and ICamara (iron worker) are known from the inscriptions. Most of these crafts and trades were organised into guilds or srenis. These guilds provided banking facilities. There was brisk inland trade and sea-borne commerce. Paithan, Tagara, Karahataka, Nasik, Govardhana, Vijayanti, D-hanyakataka, Vijayapura and Vinukonda were great inland market towns of the period. They were connected with each other and with the important parts by roads. Ptolemy described.

Barukachcha and Kalyan on the west and Maisolia, Allosygne and Apheterion on the east as great centres of foreign trade. The Periplus of the Erythrean Sea notes that Barukachcha imported wines, silver vessels, fine cloth and ornaments while her exports included ivory, agate, silk cloth and pepper. The number and variety of the Satavahana coins also prove this vigorous commercial activity. The Roman gold flowed in to the Deccan for articles of luxury. The Satavahana period also witnessed an active maritime activity (as revealed by the ship-marked coins of Pulomavi and Yajnasri Satakarni) with the Far East, Ptolemy and the Periplus give descriptions of the Indian settlements in Burma, Sumatra, Arakan and Champa.

Religious Conditions

Most of the Satavahana rulers were staunch followers of the Vedic religion with its ritual and caste system. Satakarni-II of the Nanaghat record performed a number of Vedic sacrifices including Aswamedhas and Rajasuya. Gautamiputra restored the caste system and protected the Brahmins. Adherence to the Vedic creed is also indicated by the name of King Yajna Sri. The invocations to various gods like Indra, Sankarshana, Vasu-deva, Surya, Varuna etc., show the transition from the Vedic to Puranic pantheon. This feature is prominently reflected in Hala's Gatha Saptasati wherein there are references to Pasupali and Gauri, Rudra and Parvati, Lakshmi and Narayana. The Aryanized foreigners and mixed castes had the solace in the Puranas. As PT. Srinivasa Iyyengar observed, the two cults-Vedic and Agamic had coalesced completely during this period and modern Hinduism was born.

The Satavahana kings were renowned for their spirit of tolerance. They even extended their patronage to the Buddhist ascetics. Buddhism commanded greater influence with the women folk (especially with the royal ladies) and with the masses. It was in fact the heyday of Buddhism in the Deccan. The Buddhist monuments at Nasik, Karle, Bhaja, Bedsa, Ajanta, Amaravati, Jaggayyapeta and Nagarjunakonda show the Chaitya cult predominant in the South. Mehasanghika sect flourished. Acharya Nagarjuna received patronage from the ruler Yajna Sri and from his time Andhra became the stronghold of Mahayanism. Due to the patronage and great services of Kharavela of Kalinga, Jainism made considerable progress in the coastal region to the north of river Krishna.

Literature

As regards the contemporary system of education and literary development, it is but natural that the Aryan, teachers and missionaries brought with them, into the Deccan their own literature and methods of instruction. The elaborate sacrifices performed by Satakarni-II show how the priests were well-versed in the Vedic literature. The Asokan

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Edicts in the Deccan prove the familiarity of the people with the Brahmi script and the Prakrit language. Almost all the records of the Satavahana period are in Prakrit. Instruction in secular and sacred learning was imparted in the asramas of the Brahmins or the Viharas of the Buddhists and the Jains, which received liberal grants from the rulers. The craft and trade guilds too might have served the cause of education.

Among the literary works of outstanding merit produced during this period under the patronage of the Satavahana rulers, mention may be made of the Katantra, the Brihatkatha and the Gatha Sattasai. Sarvavarman, probably a minister of Hala composed the Katantra on Sanskrit grammar for the use of the King. Gunadhya made over his Brihatkatha in Paisachi Prakrit to the same king Hala. Hala himself compiled the Gatha Sattasai, an anthology of 700 Prakrit verses of various poets and poetesses. This Sattasai contains many Desi terms. An unknown author composed another poem in Prakrit, called Lilavati Parinayam on the marriage of Hala. In the later part of the Satavahana period, with the revival of Brahmanical Hinduism, Sanskrit became predominant. The Satavahana Buddhists including Nagarjuna wrote all their works in Sanskrit.

Art and Architecture

With religion and that too Buddhism as the source of inspiration, the Satavahana period witnessed great building activity. The ancient monuments that have been brought to light south of the Vindhya are almost all post-Asokan and Buddhist in inspiration. They included Stupas, Chaityas, Viharas and Sangharamas discovered both in the Western and in the eastern dominions of the Satavahanas. The Bhattiprolu and Amaravati Stupas were the oldest brick built Stupas in the south. The brick-built Chaityagrihas were located at Chejerla and Nagarjunakonda in the east, whereas the rock-cut grihas were in the west at Karle, Nasik, Bhaja and other places.

The sculptural representations on most of the stupas, of the Jataka tales or the incidents in the life of Buddha and scenes from normal social life, are noteworthy. At Amaravati, the well known South Indian centre of Buddhism, a thoroughly indigenous school of sculpture grew up. For the conception of delicate beauty of human form and the technical skill and efficiency to realize that conception and for the wonderful imagination and sense of symmetry in depicting the most subtle human feelings, the Amaravati artist won universal praise. With regard to the minor arts, the articles like beads, terra-cotta figurines, pottery, shell ornaments, precious stones and jewels and coins excavated at Paithan, Maski, Kondapur and other places, indicate their progress during this period.

4.3 PALLAVAS

Pallava Chronology

The rule of the Pallavas apparently starts as early as 275 CE, but their greatest epoch corresponds to the 7th and 8th century.

Early Pallavas

The history of the early Pallavas has not yet been satisfactorily settled. The earliest documentation on the Pallavas is the three copper-plate grants, belonging to Skandavarman-I and written in Prakrit. Skandavarman appears to have been the first great ruler of the early Pallavas, though there are references to other early Pallavas who were probably predecessors of Skandavarman.

Skandavarman extended his dominions from the Krishna in the north to the Pennar in the south and to the Bellary district in the West. He performed the Aswamedha and other Vedic sacrifices and bore the title of 'Supreme King of Kings devoted to dharma'. In the reign of Simhavarman-IV, who ascended the throne in 436 CE, the fallen prestige

of the Pallavas was restored. He recovered the territories lost to the Vishnukundins in the north up to the mouth of the Krishna. The early Pallava history from this period onwards is furnished by a dozen or so copper-plate grants in Sanskrit. They are all dated in the regional years of the kings.

With the accession of Nandivarman-I (480–500 CE), the decline of the early Pallava family was seen. The Kadambas had their aggressions and attacked even the headquarters of the Pallavas with the Pallavas taking retaliatory measures by expelling and invading Kadamba territories in Karnataka. In coastal Andhra the Vishnukundins established their ascendancy. The Pallava authority was confined to Tondaimandalam. With the accession of Simhavishnu, father of Mahendravarman-I, 575 CE, the Pallava revival began in the south.

Pallava Rulers

The Pallava rulers held a pride of place in the history of Deccan. They ruled from 6th century to 8th century A.D. Historians differ in their views regarding the early history of the Pallavas. The various branches of the Pallavas were ruling at different centres, such as, Badami, Vengi and Kandi.

1. Sivakandvarman

He was the first great king of this dynasty. He ruled about the 4th century. A.D. Being a very powerful king he could extend his territory upto the river Krishna. It is stated that he performed Ashvamedha Yajna as a token of his extensive victories.

2. Vishnu Gopa

Sivaskandvarman was succeeded by Vishnu Gopa. The inscription at Allahabad indicates that Vishnu Gopa was one of the twelve kings defeated by Samudragupta. After the death of Vishnu Gopa, a number of Pallava rulers ascended the throne but none could achieve much which may merit any mention.

3. Simhavishnu (757-600 A.D.)

The date of his accession to the Pallava throne is probably 565 A.D. He was a very remarkable ruler of this dynasty and the real glory of the Pallavas began during his reign. He was a great politician. He made extensive conquests and defeated the Pandyas, the Cholas and the Cheras. He also undertook an invasion of Sri Lanka. Besides being a warrior and a conqueror, he was a great lover of literature. Bharvi, the writer of 'Kiratarjuna' belonged to this period.

4. Mahendravarman I (600 - 625 A.D.)

After the death of his father, Mahendrarvarman succeeded to the throne, in 600 A.D. He was a brave warrior and an able ruler like his father. Dr. Nilakanta Shastri has written about him :

“He was a many sided genius alike in war and peace.” Pulakeshin II, ruler of the Chalukya dynasty, was his contemporary. During the reign of Mahendravarman a battle had been fought between the Chalukyas and the-Pallavas. The Aihole inscription reveals the victory of Pulakeshin over the Pallava ruler.

Mahendravarman was a great patron of art and literature.’ He was a follower of Jainism in his early age but later on he started worshipping Lord Shiva. He constructed several temples of Lord Shiva in his territory. He moved heaven and earth for the development of painting, dance and music.

5. Narsimhavarman (625 - 645 A.D.)

Narsimhavarman, son of Mahendravarman, succeeded to the throne after the death of his father in 625 A.D; He was a great warrior and conqueror and probably the most

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powerful and illustrious king of this dynasty. His extensive conquests prove that he was the greatest among the Pallava rulers. He defeated the Chalukya ruler, Pulakeshin . He also achieved success over the rulers of Chola and Chera dynasties. He also undertook an invasion of Sri Lanka and achieved complete success.

The Chinese traveller, Hiuen Tsang visited the Pallava kingdom during the reign of Narsimhavarman. He has given a detailed account of the administration of the Pallavas, during whose reign Kanchi was a religious centre. It had several Buddhist Viharas and monasteries in which 10,000 monks used to live comfortably.

5. Mahendravarman II & Parameshwa-Ravarman I

Mahendravarman II could rule only for two years. He was defeated by Vikramaditya I, the Chalukya ruler. His son and successor Parameshwaravarman also had to face the Chalukyas. Vikramaditya I was his deadliest enemy. He conquered Kanchi and devastated it. But in a Pallava inscription the result of the war has been describe vice versa. He was devotee of Lord Shiva and had constructed a Shiva temple near Kanchi. He breathed his last in 695A.D.

6. Narsimhavarman II (695 - 722 A.D.)

Narsimhavarman II became the ruler after the death of Parameshwaravarman. His reign was full of peace and tranquillity. He created a temple of Kailashnath near Kanchi. Narsimhavarman II is also said to have sent an embassy to China. He was a great patron and lover of art and literature.

His successor Parameshwarvarman II ruled for about eight years. He had fought a battle with the Chalukya ruler towards the close of his career. He was also a devotee of Lord Shiva. He died in 730 A.D. without leaving any issue.

7. Nandivarman II (730 - 800 A.D.)

Nandivarman II succeeded to the throne of Pallava dynasty as a representative of the chief officers of the kingdom. After the death of his predecessor who died without an issue, his ascendancy to the Pallava throne proved beneficial. Some scholars hold the opinion that Nandivarman II was a usurper. But the contemporary records prove that he was nominated king at a very early age.

The Chalukya and Pallava struggle was again revived during his reign. The Chalukya ruler Vikramaditya undertook an invasion over the Pallavas and captured Kanchi but Nandivarman II again managed to reconquer it.

Nandivarman also fought a war against the Pandyas, and defeated them as Pandyas had formed a confederation and started supporting Chitramaya. Nandivarman is also credited with having attained victory against the Gangas.

The Pallava ruler Nandivarman was a lover of art and literature. He constructed a temple at Kanchi. He was not only a patron of art and literature but was himself a great scholar. He performed the Ashwamedha Yajna as a token of his extensive conquests.

8. Later Pallava Rulers

After the death of Nandivarman II in 800 A.D., the Pallavas continued for about one century more but the later rulers of this dynasty did not have any significance. All these successors like Dantivarman, Nandivarman III, Nripatungavarman and Aparajitavarman were very feeble rulers. They failed to bear the brunt of the attacks of various contemporary dynasties. Aparajitavarman was the last ruler of this dynasty. He was killed on the battlefield during war against the Chola king Aditya I, who incorporated the Pallava kingdom into the Chola empire and sounded the death knell of the Pallavas. In fact, struggle between the Cholas and the Pallavas proved to be the last nail in the coffin

of the Pallava dynasty.

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4.3.1 Pallava Administration

Kingship was attributed to define origin. The kings claimed their descent from the God Brahma. It has hereditary. Yet, on one occasion a king was elected. Most of the kings were accomplished scholars. Mahendravarman I wrote the famous burlesque, *Mastavilasa Prahsana*. Many of the vaishnava alvars and saiva nayanars flourished during their rule.

The kings adopted high-sounding titles like maharajadhiraja, dharma-maharajadhiraja (great king of kings ruling in accordance with the dharma), agnistomavajpeya, asvamedhayaji (he who has performed the agnistoma-vajapeya and asvamedha sacrifices). They were assisted by ministers. History shows that the ministerial council played a great part in the state policy in the later period.

A hierarchy of officials in provincial administration, the governor of a province was assisted by district officers, who in turn worked in collaboration with autonomous local bodies. In local administration the meeting of assemblies were frequent, and the administration the meeting of assemblies were frequent, and the assemblies were of many varieties and of many levels. Often special meetings were held. At the village level the assembly was the sabha which looked after almost all the matters of the village, along with endowments, irrigation, crime, maintaining census and other necessary records. Courts at village level dealt with minor criminal cases. The judicial courts of the town and districts were presided over by government officials, climaxing with the king as the supreme arbiter of justice. The sabha worked in close association with the *urur*, an informal gathering of the entire village. Above this unit was a district administration. Finally, the head man of the villages was the link between the village assembly and the official administration.

Theoretically the king owned the land. The status of a village depended on the prevalent land tenure. The first variety was the village with inter-caste population where in the people paid taxes to the king. The second was the brahmadeya village in which the entire land was donated to a single Brahmin or a group of brahmins. A variation of this village was the *agrahara* grant which, was an entire village settlement of brahmins. Both these forms were exempt from royal taxes. In the *devadana* village the revenue was donated to a temple, and the temple authorities in turn provided employment for the villagers in the temple whenever possible. In the Pallava period the first two categories of villages were in vogue.

Apart from these major points relating to land there was a special category of land, the *sripatti* or tank land. The revenue from such a land was sent apart for the maintenance of the village tank. The tank itself was built by the efforts of the entire village. All shared the water stored in the tank. Very many inscriptions of the Pallavas refer to the up-keep of tanks.

There are two points about taxes. The land revenue varied from one-sixth to one-tenth of the produce of the land. This was paid to the State. The local taxes that were collected in a village were spent for the needs of the village. As land revenue was necessarily small, the State revenue was supplemented by additional taxes on draught cattle, marriage-parties, potters, makers of clarified butter, textile manufacturers, washermen and weavers. The major source of revenue was from land, since the revenue from mercantile activity was not fully exploited.

Regarding expenditure, most to the revenue went for the maintenance of army. The king preferred a standing army instead of feudal levies. The army primarily consisting of foot soldiers and cavalry along with a sprinkling of elephants. Indeed the Pallavas

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developed a navy although the mercantile activity was not great. Two dockyards were built at Mahablipuram and Nagabatom. This pioneering effort of the Pallavas reached its climax during the days of Cholas. The navy served a double purpose. It was meant for defence and also assisted the maritime trade with south-east Asia, particularly with the three kingdoms of Kambuja (Cambodia) Champa (Annam) and Shrivijaya (Malayan peninsula and Sumatra).

4.3.2 Pallava Art

Four distinct stages of architecture can be gleaned from the Pallava temples. The first is the Mahendra style. The influence of the cave style of architecture is to be seen in an ancient pillar engraved in the Ekambaranatha (Kanchipuram) temple. The second is the Mamalla style. The seven Pagodas are small temples, each of which is hewn out of a single rock boulder. They lie near Mahabalipuram, founded by Narasimhavarman. These monolithic temples are complete with all the details of an ordinary temples and stand as an undying testimony to the superb quality of the Pallava art. The third is the Rajasimha style. The most famous temple of this style is the Kailasha style. The most famous temple of this style is the Kailasha temple of Kanchi. It has a pyramidal tower, a flat-roofed mandapam and a series of cells surround it resembling rathas. This style is a very elaborate one foreshadowing the ornate Chola architecture. The fourth is the Aparajita style. This is more ornate resembling the Chola architecture. A few temples built in the style are found at Dalavanur. The noteworthy feature of some shrines is that they are adorned by beautiful life-like images of Pallava kings and their queens. All told they are unique in the history of temple architecture.

Pallava sculpture owed more to the Buddhist tradition. On the whole it is more monumental and linear in form, thus avoiding the typical ornamentation of the Deccan sculpture. The free standing temples at Aithole and Badami in the Deccan and the Kanchipuram and Mahabalipuram in the Tamil country, provided a better background for sculpture than the rock-cut temples. And the Pallava sculpture was monumental and linear in form resembling the Gupta sculpture. Although the basic form was derived from the older tradition, the end result clearly reflected its local genius.

Now for literature it has been recently proved that Bharavi and Dandin lived in the Pallava court. Bharavi's Kiratarjuniyam and Dandin's Dashakumaracharita were the two masterpieces. One of Dandin's poems was written with such skill that when read normally it gives the story of the Ramayana; and when read in reverse, the story of Mahabharata. Dandin was the author of a standard work on poetics. Till the eighth century Pallava influence was predominant in Cambodia. Saivism was the official form of worship. And the Pallava type of stikhara is to be found in the temples of Java, Cambodia and Annam. This dissemination of Hindu culture proves that it was dynamic till 1,000 A.D. in southern India.

Thus, the Pallavas rendered invaluable service to the country both within and without as they were one of the torch bearers of Hindu civilization to south-east Asia. Far more singular is their contribution to architecture-transforming the architecture and sculpture from wood to stone. Smith opines that this great disparity in length of the course of Indian history, and the extreme slowness with which changes have been effected.

4.4 CHOLAS

The development of literature, art and architecture of the Chola period promoted the cultural value of the Chola rule. The Cholas made lot of improvements in these fields. The temples built by the Cholas increased the value of the bhakti culture of Tamil country.

The development of the Chola literature, art and architecture created a profound impact on the cultural development of the Tamil country.

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Literature

The Chola rule marked a milestone in the history of Tamil literature. The Chola kings gave many concessions and patronage to Tamil scholars and writers. Many great Tamil poets namely, Kalladanar, Kambar, Pugalandhi, Ottakoothar, Sekkilar, Avvaiyar, Thiruttakkadevar lived during the period of Chola period. Literary styles like epics, parani, kovai, ula, kalambakam, pillaitamil and new works on grammar were famous during that period. Writing meikkirthis, narration of historical incidents, singing songs on religious heroes, were new literary trends of that time. Kalladanar wrote Kalladam about lord Siva. Thiruttakkadevar wrote Seevagasinthamani to spread the idea of Jainism among the Tamil people. This work is respected and ranked as one of the mahakaviyams in Tamil. Jayamkondan composed Kalingathuparani during the period of Kulothunga-I. It talks about second kalinga war.

Ottakoothar

Ottakoothar was a court poet of three Chola kings namely Vikrama Chola, Kulotunga-II and Rajaraja-II. He wrote poems in praise of these three kings namely Vikrama Cholan Ula, Kulothunga Cholan Ula and Rajarajan Ula. Ottakoothar had also written Kulothungan Pillai Tamil in praise of Chola king Kulothunga-II and Saraswathy Andhadhi in praise of Saraswathi the Goddess of learning.

Kambar

Kambar wrote Kambaramayana. King Kulotunga-III. Donated Kambanadu to Kambar. The king also conferred the title Kavichakkravarthi on Kambar. Kambar had also written Sadagopar andhadhi, Mummani kovai. Sekkilar wrote Periya puranam during the period of Kulothunga-II. Pugalandhi composed Nalavenba. Avvaiyar wrote Aathichudi and Kondrai vendan. Thirugnanasambandar wrote Thevaram.

Literary Works

Kulothungan kovai and Thanjaivanan kovai are famous Tamil literature of that period. Great epics namely Valayapathi, Kundalakesi, Viracholiyam, Nannool belong to this period. Thevaram, Nandikalam bagam, Bharatha venba and Sivgnanabodam are important literary works of this period. The Chola literature increased the cultural values of the Chola society.

Art and Architecture

The Chola kings built many temples throughout their kingdoms. The temples of early Cholas are found in large number in the former Pudukottai region. These Chola temples reveal the gradual evolution of the Chola art and architecture. The Chola kings earlier built stone temples. Later they built brick temples.

Brahadeeswarar Temple at Tanjore

The first Chola ruler Vijayalaya Chola built temple at Narttamalai. This is a stone temple. It is one of the finest examples of the early Chola temple architecture. Balasubramaniya temple of Kannanur in Pudukottai region and Thirukkatalai temple were built during the period of Aditya-I. Nageswarar temple at Kumbakonam is famous for sculptural work. King Parantaka-I built Koranganatha temple at Srinivasanallur (Trichy District). Muvarkoil of Kodumbalur. They are good examples of the later Chola architecture and sculpture.

Besides all these temples of the Chola period, the greatest landmark in the history of south Indian architecture is Brhadeeswarar temple at Tanjore. This is also called as big temple. It has many architectural significance. It was built by Rajaraja-I. This is the

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largest and tallest temple Tamilnadu. Rajdendra Chola built a temple at Gangaikonda Cholapuram which is also equally famous. King Rajendra Chola added credit to the Chola art and architecture. King Kulothunga- I built a temple for Sun God at Kumbakonam. This temple is first of its kind in the south Indian architecture. Rajaraja- II built Airavatheeswarar temple at Dharasuram.

Special features of Chola architecture

The Cholas followed the Pallava style of architecture. Sanctum of the Chola temples are both circular and square in size. Inner side of the external walls and the sanctum were beautified. On the upper side of the sanctum special vimanas are built. Dome shaped sikhara and kalasa were also there on the top of Gopurams. Chola temples are noted for the sculptures and ornamental works. Gopurams of these temples were meaningful. Many temples are having pillared mandapams namely arthamandapa, mahamandapa and nandi mandpa. Sculptures and inscriptions are also fixed on the walls of these temples.

Sculpture

Stone and metal sculptures are found in plenty in Chola Temples. They depict the socio religious ideas of the Chola period. The Nataraja sculpture is world famous not only for its beauty but also for its spiritual meaning. Vishnu idol is placed in Vaishnava temples. A spiritual calmness is depicted in sculptural representations of Alwars. The Cholas made use of sculptures to decorate the walls, pillars and roofs. The value of sculpture is very much felt on Chola works. The decorative sculptures are still there. Realism dominated sculpture of the Chola period. Scenes from Ramayanam Mahabharatam, Puranas and lives of the 63 Nayanmars are sculptured in narrative panels on the walls of temples.

Portraits

The Cholas excelled the Pallavas in the art of portrait making. The best specimens of portraits are found on the walls of Koranganatha temple and Nageswarasamy temple. The portraits of Cholamadevi and Kulothunga-III are there in Kalahasti temple. They are good examples of Chola art of portrait making.

Paintings

The art of paintings flourished. Figures were painted with realism. The proficiency of the Chola painters are seen on their paintings. Paintings in Big temple are good examples. Scenes of Periyapuram are beautifully depicted. Kailasanathar temple at Kanchipuram, Vishnu temple at Malaiyadipatti contain fine specimen of the Chola paintings. Rajaraja- I and Rajendra contributed more for the development of the art of painting during the Chola period.

Music

During the Chola period the art of music was developed. Twenty three panns were used in music. The seven music alphabets sa, ri, ga, ma, pa, da, ni were used. The hymns of Alwars and Nayanmars were sung in every temple. Nambiandar nambi and Nathamuni contributed much for the development of music. Books were written on music. Several musicians were appointed in Brahadeeswarar temple. Drums, udukkai, veena, flute were famous music instruments. Sagadakkottigal formed a group of musicians. Endowments were made to promote music. Musicians were honoured by the kings. Temples and mutts imparted training in vocal and instrumental music.

Dance

The Chola kings patronised the art of dance. Bharatha natyam and kathakali were two types of dances performed during the Chola period. Lord Siva was represented as the

exponent of Karana dance. Natarajar temple at Chidamparam and Sarangapani temple at Kumbakonam have dancing poses of Lord Nataraja. Rajaraja-I appointed 400 dancing girls in the big temple at Tanjore. There were two dance directors to co-ordinate these dancing girls. Dance dramas were also performed on stages at festival times. Chola kings made endowments to promote the art of dancing.

Drama

The Cholas promoted the art of drama. Music and dance were affiliated to drama. Many types of theatres and stages were there to perform dramas. Rajarajeswara natakam and Rajarajavijayam were the dramas enacted during festival times. Drama actors received honours from the Chola kings. Koothu is one type of drama. Koothus were also there. Inscriptions refer about Ariyakuthu, Chakki koothu and Santhi koothu. Chola literature speaks about the cultural glory of the Cholas. Hundreds of temples built by the Chola kings. Particularly Brahadeeswarar (Big temple) temple at Tanjore and temple at Gangaikonda Cholapuram are cultural monuments of the Cholas. The glorious Chola culture created very big impact on Tamil society and imbibed lot of cultural values like bakthi upon the Tamil society.

4.4.1 Rule of the Chalukya Cholas

An enlightening account of Chalukya Cholas, focusing the transitional phase between the rule of Eastern Chalukyas and the Kakatiyas in the Andhra History. The period of about two centuries of medieval Andhra has been dealt with multi-dimensionally: political, social, economical, architectural and religious, including the decline of Jainism and re-emergence of Saivism and Vaishnavism with their further divisions. In this backdrop, the secular outlook of the rulers of that area has also crystallized. The book is an outcome of brilliant scholarly research, thorough probing and discerning into the existing epigraphical and literary sources. Since the chronological account of the period is not available, the author has gleaned through the stone and copper plate grants and the neglected Telugu stone inscriptions of the later Chalukya-Cholas. The evidence of the Mallavaram plates of Prantaka Chola have also been dealt with in this exhaustive study. This book will open new vistas of knowledge to the researchers, general readers and students of Indian history, particularly of Andhradesa for which corroboratory evidence is scarcely available.

4.4.2 The Velanati Chiefs

Velanati Chodas (also known as Velanadu Chodas or Velanadu Cholas) were one of the Telugu Choda families who ruled over parts of the Andhra Pradesh in 12th century. They were Vassals of Later Cholas and Western Chalukyas and ruled over the Velanadu region in modern Guntur district.

History

The study of Velanadu Chodas history is possible through the numerous inscriptions left by them in Pithapuram, Amaravati, Chebrolu, Chandolu, Visakhapatnam and Draksharamam and inscriptions left by Later Cholas in Tripurantakam. Telugu literary works like Palanati Charitra by Srinatha and Keyurabahu Charitram reveal further details.

The places on the bank of River Krishna from Guntur to Vijayawada are called Velanadu. Their capital was Dhanadapura (also known as Tsandavolu), the modern Chandolu in Guntur District. During its peak the chiefs also ruled area of Venginadu, the land between Krishna and Godavari rivers. They belonged to the Durjaya family, a Sudra clan and so they were also called as Durjayas of Velanadu. Rajendra Choda- II had assumed the title Durjayakulaprakasa.

Gonka-I ruled as a vassal to Kulothunga-I of Later Cholas of Gangaikonda Cholapuram, and his son Mammadi Varma, viceoy of Vengi. He fought as general in the battles against Kalyani Chalukyas and also against refractory vassals, Kalinga anmd

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Chakrakuta, who joined with Kalyani Chalukyas. He assumed the title Chola Mula Stambha (The pillar of Chola empire). His kingdom included the region from Gundlakamma in south to Tripurantakam in West. Rajendra Choda I succeeded his father as the chieftain and continued his allegiance to Later Cholas. He was defeated by Anantapalaya, the general of Vikramaditya-VI of Kalyani Chalukyas in 1115 AD. Rajendra Choda I was forced to accept the suzerainty of Kalyani Chalukyas.

Someswara-III succeeded his father Vikramaditya-VI in Kalyani in 1126 AD and Rajendra Choda-I continued their allegiance to Kalyani Chalukyas. Malla Bhupati of Vengi recovered some regions on the banks of Krishna, but Velanti Chodas remained as subjects of Someswara-II in these battles. However in 1132 AD, he fought along the side of Later Cholas. Vikrama Chola sent his army under his son Kulothunga-II to Vengi. Many chieftains including Velandu Chodas joined hands with him and helped in driving out Kalyani Chalukyas in the battle of Manneru.

Rajendra Choda-I died in the same year and Gonka-II succeeded his father. He was regarded as greatest among of all Chodas and also fought as general in earlier battles during his father reign. He accompanied Kulothunga Chola-II in many battles like famous Godavari battle that resulted in recovering all regions from Kalyani Chalukyas. He crushed many rebel chieftains like Chodas of Nellore and Konidena. His kingdom included the region between Mahendragiri in north and Srisailam in south. Prola-II of Kakatiyas attacked his kingdom in 1158 AD. Chodayaraja, chief of Gonaka-II killed Prola-II and annexed lost regions. Gonaka-II assumed many titles like Chalukyarajya MulaStambha.

While glory of Velanati Chodas continued during the next two kings Rajendra Choda-II and Gonka-III and they successfully won against all rebellions from north and west, they lost control of regions. Many warriors are slain in the battle of Palanadu between the families of Haihayas, relatives and vassals of Velanati Chodas.

The kingdom lost land from Srisailam to Tripurantakam to Rudradeva of Kakatiyas. The last great king in the dynasty is Prithviswara. He ruled from Pithapuram and made several attempts to regain land and lost prestige. When kakatiyas were fighting against the Yadavas, he recovered the Velandau. However starting from 1201 AD, he lost to Kakatiyas and their subjects Nellore Chodas and was slain in a battle with Ganapatideva of Kakatiyas in 1207 AD. His son Rajendra Choda-III made further attempts and lost entire kingdom to Ganapatideva.

4.4.3 Administration

Culture

The region was between Krishna and Godavari rivers. According to Keyurabahu Charitram, the region witnessed prosperity and plenty. According to Palanati Charitra, war sports including cockfight were popular. It had opulent city markets.

Religion

The region during this period witnessed both Saivism and Vaishnavism. Kings practiced Saivism according to books written about Velandu kings.

Society

Kings themselves weren't non-aryans and therefore did not practice the Arya kshatriya customs. However, they were Telugu Kings. Devadasi system was practiced in temples. Untouchability was observed. Bramhanaidu of Palanadu preached against untouchability and invited lower caste people into army and all other jobs. He invited them to functions and group dinings.

Literature

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Kings patroned Saivism and notable literary works are about Shiva. Mallikarjuna Panditaradhy wrote Sivatatva Sara. Palakuriki Somana wrote Telugu Basava Purana.

Velanati Cholas

Telugu Cholas of Velanadu (Velanati Choda) were one of the Telugu Chola families which claimed their descent from the illustrious Cholas. Velanadu is located in the modern Guntur district. The chieftains who ruled over Velanadu came to be known as the Velanati Chodas. One of them, Rajendra Choda-II had even assumed the title Durjayakulaprakara. These Velanati chiefs were the subordinate allies of the Chalukya Cholas of the south. They were entrusted with the responsibility of the governance of the Andhra region, which formed a part of the Chola kingdom in the twelfth century. Their capital was Dhanadapura or Sanaduprolu, the modern Chandolu in the Guntur district initially then later they ruled from Vengi in West Godavari and Pithapuram in East Godavari Districts.

The Velanati Chiefs rose to prominence among the vassals of the Chalukyas of Vengi during the early days of Kulothunga Chola-I and served as the Chalukya Chola viceroys faithfully as their trusted lieutenants and generals. Finding his dominion dwindling, due to the ascendancy of the Kalyani Chalukyas in the Vengi country, Kulothunga Chola lent support to his loyal chieftains of Velanadu to bring the situation under control and rule over Vengi as his vassals. Evidence is available to the effect that five chieftains of Velanadu ruled over the country after which it was over-run by the Kakatiyas and became a part of their kingdom.

Velanati Cholas

Gonka I (1076–1108)	Rajendra Chola 1 (1108–1032)
Gonka II (1132–1161)	Rajendra Chola II (1161–1181)
Gonka III (1181–1186)	Prithviswara (1186–1207)

1. Renati Cholas

The Telugu Cholas of Renadu (also called as Renati Cholas) ruled over Renadu region, the present day Cuddapah district. They were originally independent, later forced to the suzerainty of the Eastern Chalukyas. They had the unique honour of using the Telugu language in their inscriptions belonging to the 7th and 8th centuries. The inscriptions at Gandikota at Jammulamadugu and Proddatur.

2. Pottapi Cholas

Telugu Chodas of Pottapi ruled the Cuddapah region after the fall of the Renati Cholas. Their inscriptions from 11th century are found in this area. It is also believed that they ruled over Chittoor district, since Dhurjati of Kalahasti mentioned that he was from Pottapi region. Now the Pottapi is a grampanchayat of Nandalur mandal of kadapa district.

3. Konidena Cholas

The Konidena Cholas were also a branch of the Renadu Cholas. Their capital was Konidena (also called as Kotyadqna) near Narasaraopeta in the Guntur district. They ruled over parts of Palanadu in 11th and 12th centuries. Early kings Kannara Choda and Kama Choda were independent. Tribhuvana Malla Choda, son of Kama Choda, was a chieftain to Gonka-II of Velanati Chodas. Nanni Choda, son of Tribhuvana Malla Choda declared independence again, but was soon was defeated and forced to be vassals again by Gonka-II. After the fall of Velanadu Cholas, they are forced to suzerainty by Ganapatideva of Kakatiyas.

4. Nannuru Cholas

Nannuru Cholas were another branch of Telugu Cholas in the region of Pakanadu. The

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famous Telugu Poet Kaviraja Sikhamani Nanne Choda belonged to this family. Not much is known of this clan and it is believed to be a subordinate of Vikramaditya-VI of Kalyani Chalukyas.

Telugu Chodas of Nellore

There was another branch of the Telugu Chodas ruled from Nellore and chieftains of Kakatiyas. The Telugu poet, Tikkana, in the introduction of his *Nirvachanottara Ramayanamu*, gave an account of the history and antecedents of this family. These Chodas also claimed descent from the famous Karikala Chola. They ruled over their kingdom consisting of the Nellore, Cuddapah, Chittoor and Chengalput districts with Vikramasimhapuri (modern Nellore) as their capital.

Chola Bijjana was the first important chief in the Nellore Choda clan. As a feudatory of the Western Chalukya Someswara-I (1042–1068) of Kalyani, he took part in the wars of the Chalukyas and Cholas. In recognition of the loyalty and services of his descendants to the Chalukyas of Kalyani, Vikramaditya-II (1076–1126) appointed them as rulers of Pakanadu.

Later Tikka (1223–1248) father of the famous Manumasiddhi, extended the sway of the Nellore Telugu Chola family as far south as the river Kaveri. He owed nominal allegiance to the already crippled Chalukya Chola emperors of the south, but was practically an independent ruler. Along with the Hoysala Vira Narasimha, he helped the Chalukya Chola ruler Rajaraja Chola-III in restoring him back to his throne by repulsing the attacks of Aniyanka Bhima, Kopperunchinga-II and the Pandyas.

Subsequently, when the Hoysala Vira Narasimha's successor Someswara, desirous of making the Chalukya Chola ruler a puppet in his hands, joined hands with the Pandyas and attacked Rajendra-III, Choda Tikka came to the rescue of the Chola emperor. He defeated both the Hoysala and the Pandyan forces and got thereby the Tondaimandalam region for himself. He even assumed the title Chola-sthapanacharya. During the reign of Tikka's son and successor Manumasiddhi-II (1248–1263), the power of the Nellore Cholas was at its low ebb.

About the year 1260, a dangerous feud broke out between Manumasiddhi and Katamaraju, the chief of Erragaddapadu in Kanigiri region. The feud was on the issue of the rights of the two princes to use certain wide meadows as grazing grounds for their flocks of cattle. It led to the fierce engagement of the two sides and the bloody battle was fought at Panchalingala on the Paleru river. Manumasiddhi's forces led by Khadga Tikkana, the cousin of poet Tikkana won the battle, but the leader perished. This feud and the consequent battle formed the theme of the popular ballad entitled "Katamaraju Katha". Shortly after this disastrous battle, Manumasiddhi died.

With the death of Manumasiddhi-II, the Nellore kingdom lost its individuality, became a battle ground between the Kakatiyas and the Pandyas and changed hands frequently. In the reign of Kakatiya Prataparudra-II, the Nellore region became part and parcel of the Kakatiya empire and lost its political significance.

4.5 CHALUKYAS

The Eastern Chalukyas were a branch of the Western Chalukyas of Vatapi or Badami. Pulakesin-II was one of the greatest kings of Badami. He conquered the whole of Eastern Deccan, corresponding roughly to the coastal districts of Andhra, quite early in his reign and appointed his brother Kirbja Vishnuvardhana as Viceroy. On the death of Pulakesin-II, the Vengi Viceroyalty developed into an independent kingdom. Kubja Vishnuvardhana founded the line of kings called the Eastern Chalukyas of Vengi which

outlived the main Vatapi dynasty by many generations. They had their capital originally at Vengi near Eluru of the West Godavari district and later changed to Rajamahendravaram. They were lords of the Vengi country for nearly 500 years till destiny had taken them to the Chola kingdom in the South. However they continued to hold Vengi for several generations even after that. The five centuries of the Eastern Chalukyan rule of Vengi saw not merely the consolidation of this region into an unified whole, but also saw the efflorescence of Telugu culture, literature, poetry and art. It can verily be said to be the golden period of Andhra history.

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Circumstances under which the Eastern Chalukyan Rule was Established

Origin of the Chlukyas

The word 'Chalukya' seems to have been derived from the word 'Chalkya' which was the original form of the dynastic name. Like the Chutus and Kadambas, the Chalukyas were an indigenous tribe. They rose to importance in the later Satavahana period and asserted their independence after the downfall of the central empire. In the Maruturu inscription of Pulakesin-II, a village that was granted by him is said to be situated in the Chalukya Vishaya. It is therefore clear that the original word of 'Chalukya' was applied to a territorial division or a Vishaya of a kingdom. Like the Pugiya, the Hiranyakas and the Dhanakas of the Kshvaku period, the territorial division came to be known as Chalukya after the Chalukyan clan. The provenance of the Maruturu grant and also the other factors mentioned in it clearly prove that this Chalukya Vishaya must have comprised portions of the ceded districts of Andhra Pradesh including perhaps parts of the Mahabubnagar district of Telangana, Hence the Chalukyas were the original residents of this area.

According to the earliest Chalukyan legend preserved in an inscription dated 578 A.D at Badami, the Chalukyas were worshippers of the feet of the sacred Lord Kartikeya and belonged to Manavyasa Gotra and had themselves purified by the performance of several yajnas. They belonged to a war like race of Kshatriyas. They were nourished by the Saptamatrikas, acquired great merit and prosperity and obtained the Varaha Lanchana by the divine favour and grace of Vishnis.

Problems

Pulakesin-II with whom the Western Chalukyan line of kings came to prominence was a warrior. He built up his kingdom from scratch, gave victorious battle to Harshavardhana in the north and held his vast empire in a close grip. A graphic description of his conquests is given in the Aihols inscription of Ravikirti. According to it, one is to believe that the Chalukyan conquest of the Coastal Andhra was effected in the course of a single campaign. This may not be true.

The invaders met with stout resistance and it was only after a strenuous warfare of ten years that they could reduce the country to subjection. In this process of the conquest of the East Coast, several doubts arise.

The Chalukyan Conquest of Coastal Andhra

The Maruturu grant of Pulakesin-II gives us some information regarding this. The grant was made immediately after the conquest by seizure of Pishtapuraka. This was indicated by the phrase in the inscription in lines 13 and 14. i.e., 'Pishtapurakadana Grahananantaryena'. 'Adana' means seizure, 'grahana' means capture and 'anantaryena' means immediately after. This phrase therefore clearly proves that the grant was given immediately after Pishtapuraka was captured. The inscription was issued in the eighth victorious reign of Pulakesin-II. it was issued in 616 A.D. So by 616 A.D. Vengi must have been conquered by Pulakesin-II. The details of the Maruturu grant indicate the same. The King is described as granting the village Maruturu from Kallura and the

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Aluka Maharaja for whose benefit also the grant was made said to have come from Mangalapura. Pishtapuraka is the modern Pithapuram in the East Godavari district. Kallura is probably to be identified with the modern Kollur and Mangalapura with the modern Mangalagiri in Guntur district. The village that was granted was Maruturu, a famous village of Narasaraopet Taluk of the Guntur district. However the Chalukyan conquest of the coast was not affected in the course of a single campaign. There must have been a strenuous warfare for some years.

Who was the Enemy from whom the Chalukyas Conquered the Coastal Districts

Whether it was the Durjaya family or the Vishnukundin family, there are doubts regarding the enemy from whom the Chalukyas conquered the coastal region. No doubt, the Maruturu and Kopparam plates conclusively prove that in the first two decades of the seventh century itself, the Guntur-Nellore region had been fully conquered by Pulakesin-II and the Pallava king Mahendravarman might have been deprived of these territories during the early part of the reign of Pulakesin-II. But with regard to the rulers of the region north of the Krishna river, uncertainty prevails. The conquest of Vengi by the Eastern Chalukyas from the Durjaya is referred by the tradition preserved in the Katlaparru grant of Gunaga Vijayaditya, the Pandipaka grant of Chalukya Bhima-I and the Kandayam plates of Dananrava. In no Eastern Chalukyan grant, the Vishnukundins were mentioned. But one cannot definitely conclude that the Chalukyas conquered from the Durjaya and got under their control a vast area stretching from Jaipur in Orissa to some parts of Krishna district. The inscriptions speak of the Chalukyan conquest of a small principality around Pithapuram from the Durjaya. What about the territory between the rivers Godavari and Krishna? Probably it was still during this period under the Vishnukundins. The proximity of the Polamuru inscription of the Vishnukundin Madhavavarma with that of the Eastern Chalukyan Jayasimha-I suggests the same. So it is possible that the Chalukyas got success over the Durjaya in Pithapuram by which they got a footing on the east coast. Pithapuram might have been the first capital of the Eastern Chalukyas from where they marched their victorious banners into the Vishnukundin territory.

The Starting point of the Eastern Chalukyan Chronology

It may be remembered that Pulakesin-II conquered Vengi country and sent his brother Kubja Vishnuvardhana there as Viceroy and that Kubja Vishnuvardhana was the founder of the Eastern Chalukyan line, which held sway over the coastal districts of Andhra for nearly 500 years. The exact starting point of the Eastern Chalukyan chronology has been the subject matter of great doubt and discussion.

The historical event, which gave the starting point, was the installation of Kubja Vishnuvardhana not as the Maharaja or the independent ruler of a separate kingdom but as Yuvaraja associated, in the government with his elder brother Pulakesin-II. Pulakesin-II the sovereignty (Viceroyalty) of Vengi on his younger brother in 615 A.D. But the Satara grant speaks of the presence of Kubja Vishnuvardhana on the banks of the Bhimaradhi as Yuvaraja in the 8th regnal year of Pulakesin-II (616-17 A.D.). The date 624 A.D. appointment of Kubja Vishnuvardhana as Viceroy of Vengi. This date based on astronomical and other calculations tallies with other dates assigned to the later kings of the dynasty. This may also be confirmed by other means. As stated in the Maruturu grant of 616 A.D., Pulakesin-II conquered Vengi. In the same year (8th regnal year) of Pulakesin-II, Vishnuvardhana was a Yuvaraja in the West as is seen from his Satara grant. The Kopparam plates of Vishnuvardhana issued in the 21st regnal year of Pulakesin-II clearly show Kubja Vishnuvardhana as Viceroy of the Andhra area. So the date of appointment of Vishnuvardhana as Yuvaraja of Vengi should be between the years 616 and 631 A.D., i.e., between the Maruturu and Kopparam plates and thus 624 A.D., which falls within the above mentioned limits, may be the most satisfactory year as the

starting point of the Eastern Chalukyan Chronology.

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Why was Vengi Partioned from he was Vengi Patitoned from the Western Chalukyan Kingdom

The time of the Chipurupalli grant in his own year eighteen, Kubja Vishnuvardhana had assumed for himself the title of a Maharaja. If 624 A.D. is taken to be the starting point of the Eastern Chalukyan chronology, the date of the above inscription has been calculated to be 641 A.D. What was the necessity for the partition of Vengi as a separate kingdom from the Western Chalukyan empire? Hitherto it has been tacitly assumed that this was a formal division and Pulakesin-II conferred independent sovereignty of Vengi on his younger brother. It is improbable to hold that a great warrior like Pulakesin-II could not have administered Vengi also as part of his kingdom and felt the need for a separate king. Kopparam plates make it clear that Kubja Vishnuvardhana was living only as Yuvaraja subordinate to his brother Pulakesin-II in the Vengi area. A revolution of Kubja Vishnuvardhana can be ruled out of account since he seems to have been very loyal and affectionate towards his brother. Though the Chipurupalli grant of Vishnuvardhana was issued in 641 A.D. with the appellation of Maharaja, he was himself not quite certain about his title and did not mention his regnal year with the usual phrase Pravardhamana Vijayarajya Samvatsare etc.

In this connection one should bear in mind for a moment the course of history in the Western Chalukyan country to understand the reason. The last ruling years of Pulakesin-II. ended in a disaster. The great Pallava king Narasimhavarman-I, in order to wipe off the disgrace which his father Mahendravarman had to sustain at the hands of Pulakesin- II, inflicted a crushing defeat on the Chalukyas and burnt Badami. Pulakesin-II actually lost his life in this encounter. This event was placed some-where in 641 A.D. by Fleet. After this there was an interregnum in the Western Chalukyan power. The date 641A.D. is exactly equivalent to the Chipurupalli grant of Kubja Vishnuvardhana where he also haltingly made a reference to himself as Maharaja. Just as the Chalukyas of Gujarat, the Chalukyas of the Andhra line also proclaimed their independence on the death of Pulakesin-II and the eclipse of the Western.

Chalukyan power. Thus it was in 641 A.D. when Pulakesin-II fell, Vishnuvardhana issued his Chipurupalli charter where he made a very halting and modest reference to himself just as a Maharaja and did not refer to the year as 'the Pravardhamana Vijayarajya Samvatsare' since by that time his reign had not firmly been established. He gave only a reference to his 18th year of rule over Vengi perhaps counting his rule as a Viceroy. Hence there is no necessity at all to postulate a formal division of the kingdom into two. One important and interesting point is the three events, i.e., the sack of Vatapi, destruction of Pulakesin-II, and Kubja Vishnuvardhana assuming the title of Maharaja, occurred in 641 A.D. itself. It is also probable that when the disaster fell upon his brother, Kubja Vishnuvardhana, who assumed full sovereignty over Vengi being 'Priya Anuja' of Pulakesin-II, could not have kept quite, but must have rushed to the help of Badami and he too must have probably fallen in the same onslaught against the Pallavas.

4.5.1 Eastren Chalukyas of Vengi

The Eastern Chalukyas of Vengi ruled the Andhra country from the seventh century A.D., to eleventh century A.D. They were the, indigenous inhabitants of the country over which they exercised sway for nearly four centuries. It is a fact that they were the branch of the early Chalukyas of Badami who were originally the inhabitants of the Andhra country, but subsequently shifted their activities to the Karnataka region and thereby they became aliens to the Andhra country. Though they were aliens they entered in to Andhra as conquerors and reduced the coastal Andhra, in the first instance, to subjection.

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Pulakesin-II was the greatest king of the early Chalukyas of Badami. His accession to the throne in the year 609-10 A.D. marks the beginning of an important epoch in the history of Deccan and Andhra. The Chalukyas who remained until then as a local power, confined to Karnataka and southern Malwa region, spread over the whole of Deccan and became the paramount sovereigns of the entire peninsula to the south of the Vindhyas. Pulakesin-II conquered Konkan, the island of Reva, Kosala, Kalinga and Vengi-mangala. He defeated the Pallava Mahendravarman-I and penetrated deep into the Pallava country and finally returned victoriously to his capital.

Pulakesin-II had several brothers who rendered him valuable service during his wars. Being desirous of providing some favours for them, he conferred upon them the administration of some of the countries conquered by him, which grew independent or quasi-independent kingdoms during the course of time.

Kubja Vishnuvardhana or Vishnuvardhana I (624 A.D. to 647 A.D.)

Kubja Vishnuvardhana was appointed by his brother Pulakesin-II to rule over the Vengi region as his deputy. After the death of Pulakesin-II he declared himself independent. Thus Kubja Vishnuvardhana became the founder of the Chalukyan dynasty of Vena which controlled the destiny of the coastal Andhra region during the next four centuries, i.e., from the seventh century A.D. to eleventh century A.D. He was a devotee of Vishnu. His queen Ayyana Mahadevi favoured Jainism.

Jayasimhavallabha-I (647 A.D. to 673 A.D.)

He was the eldest son of Vishnuvardhana-I. Though his reign appears to have been long and prosperous, nothing is known about the events of his reign.

After Jayasimhavallabha many kings ruled the kingdom from 673 A.D. to 753 A.D. But their reign periods were prosaic and passive. Vijayaditya's reign is quite dynamic.

Vijayaditya-I (A.D. 753 A.D. to 770 A.D.)

One important event that happened during his reign, though unconnected with the affairs of Vengi should be noted here. The reason is that it exercised a profound influence in the subsequent years on the fortunes of the Eastern Chalukya dynasty.

A few years after Vijayaditya's accession to the throne of Vengi, dynastic revolution broke out in the neighbouring western Deccan, which resulted in the overthrow of the Chalukyas of Badami by their subordinates, the Rashtrakutas. The disappearance of the friendly house of Badami and the emergence in its place of the new Rashtrakuta power upset the balance of power in southern and western Deccan.

Vengi which enjoyed comparative peace, since the time of its conquest by Pulakesin-II, was drawn into the vortex of an inter-dynastic struggle and became a theatre of warfare between the Rashtrakutas and the Chalukyas during the succeeding two centuries. During the time of Dantidurga, the founder of the Rashtrakuta dynasty, Vijayaditya enjoyed peace. Krishna-I, the successor of Dantidurga, sent a large army against Vengi. This expedition was completely successful. Thus the Eastern Chalukyas were reduced to subjection during the time of Vijayaditya-I.

Vishnuvardhana-IV (771 A.D. to 806 A.D.)

At the time of his accession he must have been a feudatory of the Rashtrakutas as a consequence of the defeat which his father had suffered at their hands during the last years of his reign. Krishna-I died in A.D. 772, and he was succeeded by Govinda-II. But Dharavarsha, the younger brother of Govinda-II, disputed the succession of Govinda and this was the starting point of a civil war in the Rashtrakuta kingdom. Govinda turned in his difficulty to Vishnuvardhana for help. But Dharavarsha also known as Dhruva scored a victory over Govinda-II. Vishnuvardhana incurred displeasure of Dhruva, for

he supported Govinda -II. Thus Dhruva organised an expedition against Vengi. In the war Vishnuvardhana suffered defeat at the hands of Dhruva. Vishnuvardhana not only concluded a treaty with Dhruva but also offered his daughter, Silamahadevi, in marriage to the Rashtrakuta king. Thus the royal houses of Vengi and Malkhed were united for the first time in their history. As a consequence peace prevailed between these two kingdoms until the death of Vishnuvardhana-IV.

Vijayaditya II (806 A.D. to 846 A.D.)

Vishnuvardhana-IV had two sons Vijayaditya-II and Bhima. After his death his eldest son, Vijayaditya-II became the king and this was contested by his younger brother, Bhima.

Rashtrakuta Intervention in the Internal Politics of the Eastern Chalukyas

The Chalukyas Bhima who was unable to cope with his stronger elder brother appealed to Govinda-III, the successor of Dhruva, for help. The latter promptly complied with the request and sent forces to Vengi and even assisted him in seizing the throne. In the meanwhile Govinda-III died and the throne was occupied by his son Amoghavarsha-I who was a minor at this time. During the minority of Amoghavarsha the feudatories rose in revolt and the authority of the king was practically paralysed. Vijayaditya exploited this situation, defeated and expelled his brother from his dominions.

The expulsion of Bhima from Vengi and the reestablishment of Vijayaditya's authority over Vengi created a new situation. Now Vijayaditya determined to chastise his brother's Rashtrakuta allies. It appears that Vijayaditya scored victory over the Rashtrakutas, for Kakka Suvarnavarsha who was directing the Rashtrakuta kingdom on behalf of his cousin (Amoghavarsha) opened negotiations with Vijayaditya and made peace with him. To ensure the continuance of friendly relations, he gave his sister in marriage to Kali Vishnuvardhana, the son and heir of Vijayaditya-II. Vijayaditya-II was succeeded by Vishnuvardhana-II (846A.D.to 847A.D.). He was succeeded by Gunaga Vijayaditya.

Gunaga Vijayaditya (848 A.D.)

Vijayaditya-III or Gunaga Vijayaditya was the most famous king of this dynasty. During his reign the Eastern Chalukyan power reached the zenith of its glory.

Gunaga Vijayaditya Conquests

He came into conflict with the Pallavas of Kanchi who still held their sway over the southern frontier of the Telugu country, i.e., the present Nellore district then known as Boyaviharadesha. Vijayaditya despatched an army under the command of a Brahmin general, Pandurana, to conquer that region. It was ended as a success. Vijayaditya came into conflict with the Rashtrakutas. Amoghavarsha I was his contemporary. In this enterprise Vijayaditya faced defeat.

The Ganzas of Talakadu or Ganpavadi were subdued by Krishna- I. But they defied the authority of the Rashtrakutas during the time of Amoghavarsha-I. The Rashtrakuta king commanded Gunaga Vijayaditya to march against the Gangas. The Eastern Chalukyan king not only defeated the Gangas but also the Nolambas of Nolambavadi.

Amoghavarsha died in 880 A.D. and he was succeeded by his son Krishna-II. It was at this time the Rashtrakuta kingdom was attacked by the Pratihara Bhoja with the intention of recovering Malwa and Gujarat from the Rashtrakutas. Taking advantage of this situation Vijayaditya proclaimed independence and declared war on Krishna-II. In the first encounter Vijayaditya defeated Krishnall. Then Krishna-II went to Dahala for protection. Gunaga Vijayaditya carried war into the Dahala country. On the way he

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conquered Kalinga, Kosala and finally reached Dahala. Panduranga, the commander of the Eastern Chalukyan forces was mainly responsible in getting all these victories to Gunaga Vijayaditya.

Chalukya Bhima-I

Gunaga Vijayaditya was succeeded by Bhima-I, the son of his younger brother as he was not having any children. His accession does not appear to have been peaceful. The Rashtrakuta king Krishna-II, who was humiliated by Gunaga Vijayaditya joined by the enemies of Bhima (Yuddhamalla, the uncle of Bhima) invaded the Chalukyan kingdom. The Rashtrakutas were successful in the first instance. But Bhima who got the support of Mudigonda Chalukyas very soon repulsed the Rashtrakutas and consolidated his position on the throne. Thus ended the first invasion of the Rashtrakutas as a failure.

The Rashtrakuta king Krishna-II launched second invasion against Bhima. In this connection he got the support of the uncle and cousins of Bhima. The Rashtrakuta forces were under the command of Kakartya Gundyana whereas the Chalukyan forces were under the command of Rimaiiganda, the son of Bhima. A battle was fought at Puvangiiru wherein the Chalukyan forces routed the Rashtrakuta forces. Thus Bhima scored victory over Krishna-II and his allies for the second time.

The security of the realm being thus established, the Chalukya Bhima-I found time to perfect the administration of his kingdom. He built the famous Chalukya Bhimesvara temple at Bhimavaram. More famous than this is another temple, also dedicated to Siva and named Bhimesvara after the king, which is said to have been built at Draksharama on the banks of Godavari. Bhima-I had three sons. The eldest Immanganda, fought valiantly against the Rashtrakutas and lost his life. Of the activities of the other two sons, Vijayaditya and Vikramaditya much is not known.

Amma-I (922 A.D. to 935 A.D.)

He was the grandson of Bhima-I and son of Vijayaditya-IV. The death of his father marks the beginning of a period of turmoil and internal internecine strife lasting nearly for fourteen years. The ambitious princes of the dynasty were engaged in fighting with one another for the possession of the throne. The intrigues of the Rashtrakutas, who espoused the cause of some one or the other of the disaffected princes, accentuated the troubles which tended to produce a chronic state of anarchy in the kingdom.

On the death of Vijayaditya-IV Ammaraja declared himself king. He was opposed by his paternal uncle (Vikramaditya-II) who was actively supported by the Rashtrakuta king Indra III. But Amma faced his enemies with unflinching courage and succeeded ultimately in establishing himself on the throne. Amma-I ruled for seven years and died. The death of Amma-I was also followed by internal troubles mainly created by the ambitious princes aspiring to get the throne. But ultimately Bhima-II captured power.

Bhima-II (935 A.D. to 945 A.D.)

Bhima-II was the younger brother of Amma-I. The dissensions in the Rashtrakuta family and the support extended by his feudatories helped him to capture power. He ruled the kingdom in peace for twelve years.

Bhima-II had two wives. The first wife was Ankidevi, the mother of Danamava. The second one was Lokambika, the mother of Amma-II. After the death of Bhima-II, Amma-II came to the throne.

Amma-II (945 A.D. to 970 A.D.)

Amma-II, overstepping his brother Danamava, came to the throne. His reign was not peaceful. The following are the chief events that occurred during his rule.

In the first instance he faced trouble from his kinsmen who were turning every

stone to oust him from power. They secured the support of several nobles. Further, to increase their power they appealed to Krishna-III for help. He responded readily to the request. Thus one of the kinsmen of Amma-II by name Badapa captured power and as a consequence Amma-II fled to Kalinga. Badapa ruled for sometime and died. He was succeeded by his younger brother Tola-II. It was at this Amma-II abruptly returned from exile, got the support of the feudatories and finally captured power once again.

Amma-II then remained in undisturbed position until A.D. 955. But he involved once again in troubles owing to the invasion of Krishna-III. Krishna-III was at the height of his power at this time. He resolved to conquer Vengi. To realise this ideal he fostered dissensions in the Eastern Chalukyan family and won over to his side Danarnava, the elder brother of Amma-II. Unable to withstand the combined attack of Krishna-III and Danarnava, Amma-II abandoned his kingdom and saved himself by timely flight to Kalinga. Krishna-III entrusted the government of Vengi to Danarnava who probably held it as a subordinate ruler paying a stipulated amount of money as tribute into the royal treasury at Malkhed.

Amma-II might have returned from Kalinga and captured the throne either by reconciling with his brother Danarnava or by dethroning him. However, after sometime Danarnava with the support of his feudatories revolted against Amma-II. It appears that Amma-II lost his life in the battle and as a consequence Danarnava occupied the throne of Vengi in A.D.970.

Danarnava (970 A.D. to 973 A.D.)

Danarnava's reign was not peaceful. His reign came to an end abruptly after a period of three years. A Telugu Choda prince by name Jata Choda Bhima declared war against Amma. In that battle Danarnava was not only defeated but also killed. After the death of Danarnava, his two sons, Saktivarman-I and Vimaladitya sought safety in exile. They fled at first to Kalinga and took refuge at the Eastern Ganga court. But after the death of the Ganga king, Kamarnava, they were obliged to leave Kalinga and search for an asylum elsewhere where they could live in safety. There is a reason to believe that the sons of Danarnava migrated ultimately to the Chola court. The Chola empire at this time was under the control of Rajaraja the Great. The cordiality displayed by the Chola emperor in receiving the fugitive Eastern Chalukyan princes at his court was not entirely disinterested. Rajaraja was an ambitious monarch with vast schemes of territorial conquest, which could not be easily carried out without the cooperation of the friendly powers.

The Western 'Chalukyas' rose rapidly to prominence, in the Karnataka region. Rajaraja knew that any attempt to expand his dominions in the north would involve him in a war with the Western Chalukyas and that the kingdom of Vengi, which lay on the eastern flank of his territories was bound to play an important part in the coming struggle. He therefore resolved to win over Vengi to his side, and believing that the best way to realise his object was to espouse the cause of the sons of Danarnava. Thus he offered them asylum in his dominions. To assure the stability of friendship, he offered his daughter, Kundavi, in marriage to Vimaladitya.

Rajaraja, besides contracting that diplomatic matrimonial alliance, invaded Vengi and waged war against Jata Choda Bhima, the ruler of Vengi. Bhima was defeated and killed in the battle. Thus Vengi, thanks to the intervention of Rajaraja, once again came under the control of the Eastern Chalukyas.

Saktivarman I (998 A.D. to 1011 A.D.)

With the death of Jata Choda Bhima, the enemies of Danarnava's family were completely exterminated, and Saktivarman-I was firmly established on the throne of Vengi. But he obtained the kingdom only by sacrificing the independence of the country. In the Vengi

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kingdom that he came to rule over was no longer an autonomous kingdom. It was a subject state dependent upon the Chola monarchy. The subjection of the country was not, of course, absolute. The external forms of an autonomous state were still maintained.

The position of Saktivarman was far from secure even after the over-throw of the Telugu Choda regime. The trouble came from the Western Chalukyas of Kalyani. The Western Chalukyan king Satyasraya who came to power in 997 A.D. resolved to follow the policy of expansion. Thus he decided to strike at Vengi before Saktivarman could consolidate his power, and frustrate the Chola attempts to dominate the coastal region of the Telugu country. Accordingly he attacked Vengi. The Chola emperor who must have seen that the blow was really aimed at him, concerted measures to compel Satyasraya to withdraw his forces from Vengi and sent an expedition under his son Rajendra. The Western Chalukyan king was forced to withdraw his forces from the Vengi region and thus Saktivarman was freed from danger. During the remaining years of his reign, he was left in the undisturbed possession of his territories. He died without issue in 1011 A.D., leaving his throne to his younger brother, Vimaladitya.

Vimaladitya (1011 A.D. to 1018 A.D.)

Vimaladitya's reign which lasted for seven years was utterly uneventful. The only known thing about him was his conversion to Jainism. Through Kundavi, the daughter of Rajaraja he got as on by name Rajaraja. He got another son by name, Vijayaditya through another wife by name Malamba. He was succeeded by Rajaraja-I.

Rajaraja (1019 A.D. to 1060 A.D.)

He was the eldest son of Vimaladitya. It appears that the very beginning of his reign he faced some trouble. Perhaps Raja Rajah's self-brother, Vijayaditya, managed to seize the throne with the help of the Western Chalukyan king, Jayasimha-II. Rajaraja was helpless, and in his distress he seems to have turned to his maternal uncle, Rajendra-I, for help. Rajendra fully realised the strategic and economic importance of Vengi, in the inter-dynastic struggle and had no desire to allow Vengi to fall into hostile hands. Rajendra despatched two expeditions in to the north, one against Jayasimha-II and the other against the usurper, Vijayaditya, to prevent a possible combination of their forces. After warfare of three years Rajendra Chola succeeded ultimately in putting down the disturbances and restoring peace and order in Vengi. Further, Rajendra gave his daughter Ammangi in marriage to his nephew, Rajaraja.

The reign of Rajaraja which had begun inauspiciously, has to pass through a period of continued political unrest. It appears that Vijayaditya with the assistance of the Western Chalukyan king Jayasimha-II driven Rajaraja from Vengi and occupied the Eastern Chalukyan kingdom. Rajaraja immediately sent an appeal to the Chola court for help. Rajendra Chola I despatched a strong army to Vengi. But it not achieves the desired results. Rajendra Chola sent another expedition to Vengi under the command of his son Rajadhiraja who succeeded in defeating the Western Chalukyan armies and driven them out of the country.

But the fortunes of Rajaraja very soon underwent a change. The death of Jayasimha-II and Rajendra Chola and the accession in their places by Somesvara-I and Rajadhiraja-I to the Western Chalukyan and Chola thrones respectively let loose the dogs of war once again and Vengi became a bone of contention. In the fierce struggle that ensued, the Western Chalukyas gained upper hand and maintained firmly their hold on Vengi for more than two decades. The loss of Vengi might have weighed very heavily upon the heart of Rajadhiraja. He tried to reestablish Chola control over Vengi. In this attempt he waged a war against Somesvara-I. But he was defeated and killed in the battle-field in 1054 A.D.

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The repeated attempts and their failure of the Chola emperor to free Vengi from the Western Chalukyan Yoke seem to have disillusioned Rajaraja. This brought a change in his opposition to the Western Chalukyas. He considered it expedient to conciliate the enemy and bid his time until circumstances became favourable to over-throw them out. Thus Rajaraja concluded a treaty with Somesvara and accepted him as his over-lord. Due to this diplomatic move not only peace prevailed in between the Eastern and Western Chalukyas but also Rajaraja increased his power. Rajaraja's assumption of the titles like 'Satyasraya-tailatilaka' and 'Samastha-bhuvanarayana' shows that these Western Chalukyan titles were an indication of the Eastern Chalukyan subordination to Kalyani. It must be noted here that Rajaraja was the only Eastern Chalukyan king who assumed these titles.

Rajaraja's reign came to an end in 1061-62 A.D. After his death, his half brother, Vijayaditya, took forcible possession of the kingdom and installed his own son, Saktivarman-II on the throne.

The Eastern Chalukyan kingdom and the dynasty slowly lost their importance. Ultimately, it came under the control of a prince of Chalukya-Chola descent, Kulottunga-I (1070 A.D. to 1120 A.D.). During his reign the Chalukya-Chola kingdoms were united. After Kulottunga became the emperor, Vengi was ruled successively by his sons as viceroys. This tendency slowly paralysed the administration and paved the way for the rise of feudatories. Thus the Eastern Chalukyan kingdom ultimately disappeared and its place was occupied by the Kakatiyas of Warangal.

Cultural Contribution

The Eastern Chalukyas of Vengi, which was a branch of the Early Chalukyas of Badami, dominated the districts of Andhras for a period of roughly four centuries, i.e., from the seventh to eleventh century A.D. They contributed, in their own way, very much for the development of the culture of the Andhras.

Polity

The monarchical form of government was followed by the Eastern Chalukyas. Under this system the king was the head of the civil, military and judicial departments. He was assisted by a council of ministers in the administration of the kingdom.

The kingdom was divided into various administrative divisions like *janapada*, *vishaya* and *kottams*. The prevalence of *kottam* as an administrative division reflects the influence of Tamil polity over Andhra.

The provinces or *rajyas* were kept under the control of the members who belonged to the collateral branches of the ruling house such as the Chalukyas of Elamanchili, Mudigonda, Pithapuram, Srikurumam, etc. These provincial governors enjoyed almost sovereign powers and rights. They were invested with the powers of collecting revenue and maintaining the law and order of the region entrusted to them. These provincial governors and the other officials in charge of various units were not paid their salaries in cash and assigned the revenue of the lands. Thus the administration was feudalised and the decentralisation was the main feature of the Eastern Chalukyan polity.

The village administration was looked after by *gramas* or the *rajakutamahattaras*, i.e.; the chief cultivators of the village. There is, however, reason to believe that in each village there was a representative of the king who looked after its affairs.

Social Structure

The social structure of the age is based on the four-fold division of the society based on

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Varna. Even the Buddhist and Jains who originally disregarded it were gradually come under its influence and adopted it with certain modifications to suit their needs.

The Brahmanas occupied the foremost place in the society. They were the masters of thought and repositories of learning. They did not confine their activities in religious pursuits. As educated members of the community their help was indispensable to the state to carry on the work of administration, and they were consequently encouraged to abandon their religious avocations and accept lucrative posts under the government. They therefore entered the service of the state in large numbers and helped the king in the government of the kingdom as councillors, ministers, envoys and as members of civil service. Several Brahmin warriors of distinction, who by dint of merit rose to the positions of the highest command, are referred to in the inscriptions. Panduranga was the best example of it.

The Kshatriyas were still a flourishing caste. As they were exclusively devoted to the profession of fighting they formed a permanent source of danger to public peace. The chronic civil wars which rocked the kingdom for nearly two centuries must be attributed to a large extent to their restlessness and love for intrigue and fighting. But there was always that unwholly alliance between the priestly class and the ruling class for exploitation of the unprivileged.

The Vaisyas exclusively devoted their attention to agriculture, trade and commerce. The town of Penugonda in the West Godavari district was the principal seat of this community. They are referred to in the inscriptions and literary works as Komalis. They monopolised the internal trade through their corporate bodies, known as guilds. Pekkandm, Teliki-1000. Nanadeshi and Ubhoya-Nanadeshi are some of the trade guilds of this period.

The Sudras formed the bulk of the population. They were mainly the tillers of the soil and made their living by means of agriculture and cattle rearing. Many of them followed the profession of arms. The members of the various sub-divisions of the Sudra community constituted in fact the rank and file of the south Indian armies, a fact which attributed more than anything else to increase their importance.

There were no social tensions in this period. Polygamy was observed by the kings and nobles of this period. Keeping a concubine was a symbol of social status. Courtesans and concubines enjoyed high social status. They cultivated fine arts like music and dance and pleased people by their learned and witty conversation.

Religion

Buddhism, Jainism and Hinduism prevailed in the vengi region before the chalukyan conquest of the region. In course of time the Buddhist faith lost entirely its character and strength and soon absorbed by the resurgent hinduism. Jainism and Jain monks were active in the Eastern Chalukyan kingdom. Some of the Eastern Chalukyan kings, especially Amma-II, showed considerable favour and patronage to the Jain monks. Hinduism was most popular religion during this period. Though Savism and Vaishnavism flourished in the Vengi kingdom, the latter did not attain popularity. Most of the Eastern Chalukyan kings were Saivites and they described them selves as 'Paramanahesvaras'. It should be noted that all the kings followed the policy of religious toleration.

Literary Activity

Telugu literature owes its origin to the Eastern chalukyas of Vengi. The Eastern Chalukyan king who was the originator of the desi poetry in Telugu was Rajarajanarendra. He patronized Nannayabhatta, the fathers of the first three cantos of Andhra Mahabharata. The earliest beginnings of the Telugu poetry may be assigned tentatively to the beginnings of the ninth century A.D. pampa, the author of vikramarjuna-vijaya and the

adipurana, which are considered to be the greatest works in the Kannada literature, were composed during this period.

Bhattavamana who wrote the Kavyalankara Sutra was patronised by Bhima-I. Temples were the centre of education and learning. Ghatikas were attached to these temples. They were mostly under the priestly class and imparted traditional learning.

Architecture and Art

The Eastern Chalukyan kings took sufficient interest in the construction of temple. They were mostly dedicated to Siva. Chalukya Bhima-I was responsible for the construction of Bhimesvara temple of Bhimavaram located near Samarlakota and also the famous Bhimesvara temple at Draksharama.

The Eastern Chalukyan temples are also found at Biccavolu, Samarlakota, Palakollu, etc. The Eastern Chalukyan style is a regional variation of the Dravidian and Western Chalukyan styles of South India and Deccan. In some cases the influence of Kalinga style is also noticed. This is found more in the sculptural representations of various Gods and Goddesses.

The pillared halls, prakara walls, stepped and storeyed pyramidal superstructures, ornamental pillars and carved door-ways are found in these temples. Besides, Orissan or Kalinga rekhta vimana is also noticed in some of the temples.

The Eastern Chalukyan kings maintained friendly and hostile relations with the Eastern Gangas, Western Chalukyas and the Cholas. This inter-dynastic links gave an expression in their art and architecture.

4.6 RASHRAKUTAS

The Rashtrakuta Empire, was a royal dynasty ruling large parts of the Indian Subcontinent between the sixth and the 10th centuries. The earliest known Rashtrakuta inscription is a 7th-century copper plate grant that mentions their rule from Manpur in the Malwa region of modern Madhya Pradesh. Other ruling Rashtrakuta clans from the same period mentioned in inscriptions were the kings of Achalapur (modern Elichpur in Maharashtra) and the rulers of Kannauj. Several controversies exist regarding the origin of these early Rashtrakutas, their native home and their language.

The clan that ruled from Elichpur was a feudatory of the Badami Chalukyas and during the rule of Dantidurga, it overthrew Chalukya Kirtivarman II and went on to build an empire with the Gulbarga region in modern Karnataka as its base. This clan came to be known as the Rashtrakutas of Manyakheta, rising to power in South India in 753. At the same time the Pala dynasty of Bengal and the Pratihara dynasty of Malwa were gaining force in eastern and northwestern India respectively. An Arabic writing Silsilatuttavarikh (851) called the Rashtrakutas one of the four principal empires of the world.

This period, between the eighth and the 10th centuries, saw a tripartite struggle for the resources of the rich Gangetic plains, each of these three empires annexing the seat of power at Kannauj for short periods of time. At their peak the Rashtrakutas of Manyakheta ruled a vast empire stretching from the Ganges River and Yamuna River doab in the north to Cape Comorin in the south, a fruitful time of political expansion, architectural achievements and famous literary contributions. The early kings of this dynasty were Hindu but the later kings were strongly influenced by Jainism.

During their rule, Jain mathematicians and scholars contributed important works in Kannada and Sanskrit. Amoghavarsha I was the most famous king of this dynasty and

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wrote Kavirajamarga, a landmark literary work in the Kannada language. Architecture reached a milestone in the Dravidian style, the finest example of which is seen in the Kailasanath Temple at Ellora. Other important contributions are the sculptures of Elephanta Caves in modern Maharashtra as well as the Kashivishvanatha temple and the Jain Narayana temple at Pattadakal in modern Karnataka, all of which are UNESCO World Heritage Sites.

4.6.1 Administration

Inscriptions and other literary records show the Rashtrakutas selected the crown prince based on heredity. The crown did not always pass on to the eldest son. Abilities were considered more important than age and chronology of birth, as exemplified by the crowning of Govinda III who was the third son of king Dhruva Dharavarsha. The most important position under the king was the Chief Minister (Mahasandhivigrahi) whose position came with five insignia commensurate with his position namely, a flag, a conch, a fan, a white umbrella, a large drum and five musical instruments called Panchamahashabdas. Under him was the commander (Dandanayaka), the foreign minister (Mahakshapataladhiprita) and a prime minister (Mahamatya or Purnamathya), all of whom were usually associated with one of the feudatory kings and must have held a position in government equivalent to a premier. A Mahasamantha was a feudatory or higher ranking regal officer. All cabinet ministers were well versed in political science (Rajneeti) and possessed military training. There were cases where woman supervised significant areas as when Revakanimaddi, daughter of Amoghavarsha I, administered Edathore Vishaya.

The kingdom was divided into Mandala or Rashtras (provinces). A Rashtra was ruled by a Rashtrapathi who on occasion was the emperor himself. Amoghavarsha I's empire had sixteen Rashtras. Under a Rashtra was a Vishaya (district) overseen by a Vishayapathi. Trusted ministers sometimes ruled more than a Rashtra. For example, Bankesha, a commander of Amoghavarsha I headed Banavasi-12000, Belvola-300, Puligere-300, Kunduru-500 and Kundarge-70, the suffix designating the number of villages in that territory. Below the Vishaya was the Nadu looked after by the Nadugowda or Nadugavunda; sometimes there were two such officials, one assuming the position through heredity and another appointed centrally. The lowest division was a Grama or village administered by a Gramapathi or Prabhu Gavunda.

The Rashtrakuta army consisted of large contingents of infantry, horsemen, and elephants. A standing army was always ready for war in a cantonment (Sthirabhuta Kataka) in the regal capital of Manyakheta. Large armies were also maintained by the feudatory kings who were expected to contribute to the defense of the empire in case of war. Chieftains and all the officials also served as commanders whose postings were transferable if the need arose.

The Rashtrakutas issued coins (minted in an Akkashale) such as Suvarna, Drammas in silver and gold weighing 65 grains, Kalanju weighing 48 grains, Gadyanaka weighing 96 grains, Kasu weighing 15 grains, Manjati with 2.5 grains and Akkam of 1.25 grain.

4.6.2 Economy

The Rashtrakuta economy was sustained by its natural and agricultural produce, its manufacturing revenues and moneys gained from its conquests. Cotton was the chief crop of the regions of southern Gujarat, Khandesh and Berar. Minnagar, Gujarat, Ujjain, Paithan and Tagara were important centres of textile industry. Muslin cloth were manufactured in Paithan and Warangal. The cotton yarn and cloth was exported from Bharoch. White calicos were manufactured in Burhanpur and Berar and exported to Persia, Turkey, Poland, Arabia and Egypt. The Konkan region, ruled by the feudatory Silharas, produced large quantities of betel leaves, coconut and rice while the lush forests

of Mysore, ruled by the feudatory Gangas, produced such woods as sandal, timber, teak and ebony. Incense and perfumes were exported from the ports of Thana and Saimur.

The Deccan was rich in minerals, though its soil was not as fertile as that of the Gangetic plains. The copper mines of Cudappah, Bellary, Chanda, Buldhana, Narsingpur, Ahmadnagar, Bijapur and Dharwar were an important source of income and played an important role in the economy. Diamonds were mined in Cudappah, Bellary, Kurnool and Golconda; the capital Manyakheta and Devagiri were important diamond and jewellery trading centres. The leather industry and tanning flourished in Gujarat and some regions of northern Maharashtra. Mysore with its vast elephant herds was important for the ivory industry.

The Rashtrakuta empire controlled most of the western sea board of the subcontinent which facilitated its maritime trade. The Gujarat branch of the empire earned a significant income from the port of Bharoch, one of the most prominent ports in the world at that time. The empire's chief exports were cotton yarn, cotton cloth, muslins, hides, mats, indigo, incense, perfumes, betel nuts, coconuts, sandal, teak, timber, sesame oil and ivory. Its major imports were pearls, gold, dates from Arabia, slaves, Italian wines, tin, lead, topaz, storax, sweet clover, flint glass, antimony, gold and silver coins, singing boys and girls (for the entertainment of the royalty) from other lands. Trading in horses was an important and profitable business, monopolised by the Arabs and some local merchants. The Rashtrakuta government levied a shipping tax of one golden Gadyanaka on all foreign vessels embarking to any other ports and a fee of one silver Ctharna (a coin) on vessels travelling locally.

Artists and craftsman operated as corporations (guilds) rather than as individual business. Inscriptions mention guilds of weavers, oilmen, artisans, basket and mat makers and fruit sellers. A Saundatti inscription refers to an assemblage of all the people of a district headed by the guilds of the region. Some guilds were considered superior to others, just as some corporations were, and received royal charters determining their powers and privileges. Inscriptions suggest these guilds had their own militia to protect goods in transit and, like village assemblies, they operated banks that lent money to traders and businesses.

The government's income came from five principal sources: regular taxes, occasional taxes, fines, income taxes, miscellaneous taxes and tributes from feudatories. An emergency tax was imposed occasionally and were applicable when the kingdom was under duress, such as when it faced natural calamities, or was preparing for war or overcoming war's ravages. Income tax included taxes on crown land, wasteland, specific types of trees considered valuable to the economy, mines, salt, treasures unearthed by prospectors. Additionally, customary presents were given to the king or royal officers on such festive occasions as marriage or the birth of a son.

The king determined the tax levels based on need and circumstances in the kingdom while ensuring that an undue burden was not placed on the peasants. The land owner or tenant paid a variety of taxes, including land taxes, produce taxes and payment of the overhead for maintenance of the Gavunda (village head). Land taxes were varied, based on type of land, its produce and situation and ranged from 8% to 16%. A Banavasi inscription of 941 mentions reassessment of land tax due to the drying up of an old irrigation canal in the region. The land tax may have been as high as 20% to pay for expenses of a military frequently at war. In most of the kingdom, land taxes were paid in goods and services and rarely was cash accepted. A portion of all taxes earned by the government (usually 15%) was returned to the villages for maintenance.

4.6.3 Society

Chronicles mention more castes than the four commonly known castes in the Hindu

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social system, some as many as seven castes. One traveller's account mentions sixteen castes including the four basic castes of Brahmins, Kshatriya, Vaishya and Sudras. The Zakaya or Lahud caste consisted of communities specialising in dance and acrobatics. People in the professions of sailing, hunting, weaving, cobblery, basket making and fishing belonged to specific castes or subcastes. The Antyajas caste provided many menial services to the wealthy. Brahmins enjoyed the highest status in Rashtrakuta society; only those Kshatriyas in the Sat-Kshatriya sub-caste (noble Kshatriyas) were higher in status. The Jains enjoyed a very high status during this period.

The careers of Brahmins usually related to education, the judiciary, astrology, mathematics, poetry and philosophy or the occupation of hereditary administrative posts. Also Brahmins increasingly practiced non-Brahminical professions (agriculture, trade in betel nuts and martial posts). Capital punishment, although widespread, was not given to the royal Kshatriya sub-castes or to Brahmins found guilty of heinous crimes (as the killing of a Brahmin in medieval Hindu India was itself considered a heinous crime). As an alternate punishment to enforce the law a Brahmin's right hand and left foot was severed, leaving that person disabled.

By the 9th century, kings from all the four castes had occupied the highest seat in the monarchical system in Hindu India. Admitting Kshatriyas to Vedic schools along with Brahmins was customary, but the children of the Vaishya and Shudra castes were not allowed. Landownership by people of all castes is recorded in inscriptions. Intercaste marriages in the higher castes were only between highly placed Kshatriya girls and Brahmin boys, but was relatively frequent among other castes. Intercaste functions were rare and dining together between people of various castes was avoided.

Joint families were the norm but legal separations between brothers and even father and son have been recorded in inscriptions. Women and daughters had rights over property and land as there are inscriptions recording the sale of land by women. The arranged marriage system followed a strict policy of early marriage for women. Among Brahmins, boys married at or below 16 years of age and the brides chosen for them were 12 or younger. This age policy was not strictly followed by other castes. Sati (a custom in which a dead man's widow would immolate herself on her husband's funeral pyre) was practiced but the few examples noted in inscriptions were mostly in the royal families. The system of shaving the heads of widows was infrequent as epigraphs note that widows were allowed to grow their hair but decorating it was discouraged. The remarriage of a widow was rare among the upper castes and more accepted among the lower castes.

In the general population men wore two simple pieces of cloth, a loose garment on top and a garment worn like a dhoti for the lower part of the body. Only kings could wear turbans, a practice that spread to the masses much later. Dancing was a popular entertainment and inscriptions speak of royal women being charmed by dancers, both male and female, in the king's palace. Devadasis (girls were "married" to a deity or temple) were often present in temples. Other recreational activities included attending animal fights of the same or different species. The Atakur inscription (hero stone, virgal) was made for the favourite hound of the feudatory Western Ganga King Butuga II that died fighting a wild boar in a hunt. There are records of game preserves for hunting by royalty. Astronomy and astrology were well developed as subjects of study, and there were many superstitious beliefs such as catching a snake alive proved a woman's chastity. Old persons suffering from incurable diseases preferred to end their lives by drowning in the sacred waters of a pilgrim site or by a ritual burning.

4.6.4 Literature

Kannada became more prominent as a literary language during the Rashtrakuta rule

with its script and literature showing remarkable growth, dignity and productivity. This period effectively marked the end of the classical Prakrit and Sanskrit era. Court poets and royalty created eminent works in Kannada and Sanskrit that spanned such literary forms as prose, poetry, rhetoric, Hindu epics and life history of Jain tirthankaras. Bilingual writers such as Asaga gained fame, and famous scholars such as the Mahaviracharya wrote on pure mathematics in the court of King Amoghavarsha I.

Kavirajamarga (850) by King Amoghavarsha I is the earliest available book on rhetoric and poetics in Kannada, though it is evident from this book that other styles of Kannada literature and poetry had already existed in previous centuries. Kavirajamarga is a guide to poets (Kavishiksha) that aims to standardize these various styles. The book refers to early Kannada prose and poetry writers such as Durvinita, perhaps the 6th-century monarch of Western Ganga Dynasty.

The Jain writer Adikavi Pampa, widely regarded as one of the greatest Kannada writers, became famous for Adipurana (941). Written in champu (mixed prose-verse style) style, it is the life history of the first Jain tirthankara Rishabhadeva. Pampa's other notable work was Vikramarjuna Vijaya (941), the author's version of the Hindu epic, Mahabharata, with Arjuna as the hero. Also called Pampa Bharata, it praises the writer's patron, King Chalukya Arikeseri of Vemulavada (a Rashtrakuta feudatory), comparing the king's virtues favorably to those of Arjuna. Pampa demonstrates such a command of classical Kannada that scholars over the centuries have written many interpretations of his work.

Another great Jain writer in Kannada was Sri Ponna, patronised by King Krishna III and famed for Shantipurana, his account of the life of Shantinatha, the 16th Jain tirthankara. He earned the title Ubhaya Kavichakravathi (supreme poet in two languages) for his command over both Kannada and Sanskrit. His other writings in Kannada were Bhuvanaika-ramaabhyudaya, Jinaksharamale and Gatapratyagata. Adikavi Pampa, Sri Ponna are called "gems of Kannada literature".

Prose works in Sanskrit was prolific during this era as well. Important mathematical theories and axioms were postulated by Mahaviracharya, a native of Gulbarga, who belonged to the Karnataka mathematical tradition and was patronised by King Amoghavarsha I. His greatest contribution was Ganitasarasangraha, a writing in 9 chapters. Somadevasuri of 950 wrote in the court of Arikesari II, a feudatory of Rashtrakuta Krishna III in Vemulavada. He was the author of Yasastilaka champu, Nitivakyamrita and other writings. The main aim of the champu writing was to propagate Jain tenets and ethics. The second writing reviews the subject matter of Arthashastra from the standpoint of Jain morals in a clear and pithy manner.

Trivikrama was a noted scholar in the court of King Indra III. His classics were Nalachampu (915), the earliest in champu style in Sanskrit, Damayanti Katha, Madalasachampu and Begumra plates. Legend has it that Goddess Saraswati helped him in his effort to compete with a rival in the king's court. Jinasena was the spiritual preceptor and guru of Amoghavarsha I. A theologian, his contributions are Dhavala and Jayadhavala (written with another theologian Virasena). These writings are named after their patron king who was also called Athishayadhavala. Other contributions from Jinasena were Adipurana later completed by his disciple Gunabhadra, Harivamsha and Parshvabhyudaya.

4.6.5 Architecture

The Rashtrakutas contributed much to the architectural heritage of the Deccan. Art historian Adam Hardy categorizes their building activity into three schools: Ellora, around Badami, Aihole and Pattadakal, and at Sirval near Gulbarga. The Rashtrakuta contributions to art and architecture are reflected in the splendid rock-cut cave temples at Ellora and

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Elephanta, areas also occupied by Jain monks, located in present day Maharashtra. The Ellora site was originally part of a complex of 34 Buddhist caves probably created in the first half of the 6th century whose structural details show Pandyan influence. Cave temples occupied by Hindus are from later periods.

The Rashtrakutas renovated these Buddhist caves and re-dedicated the rock-cut shrines. Amoghavarsha I espoused Jainism and there are five Jain cave temples at Ellora ascribed to his period. The most extensive and sumptuous of the Rashtrakuta works at Ellora is their creation of the monolithic Kailasanath Temple, a splendid achievement confirming the “Balhara” status as “one among the four principal Kings of the world”. The walls of the temple have marvellous sculptures from Hindu mythology including Ravana, Shiva and Parvathi while the ceilings have paintings.

The Kailasanath Temple project was commissioned by King Krishna I after the Rashtrakuta rule had spread into South India from the Deccan. The architectural style used is Karnata Dravida according to Adam Hardy. It does not contain any of the Shikharas common to the Nagara style and was built on the same lines as the Virupaksha temple at Pattadakal in Karnataka. According to art historian Vincent Smith, the achievement at the Kailasanath temple is considered an architectural consummation of the monolithic rock-cut temple and deserves to be considered one of the wonders of the world. According to art historian Percy Brown, as an accomplishment of art, the Kailasanath temple is considered an unrivalled work of rock architecture, a monument that has always excited and astonished travellers.

While some scholars have claimed the architecture at Elephanta is attributable to the Kalachuri, others claim that it was built during the Rashtrakuta period. Some of the sculptures such as Nataraja and Sadashiva excel in beauty and craftsmanship even that of the Ellora sculptures. Famous sculptures at Elephanta include Ardhanarishvara and Maheshamurthy. The latter, a three faced bust of Lord Shiva, is 25 feet (8 m) tall and considered one of the finest pieces of sculpture in India. It is said that, in the world of sculpture, few works of art depicting a divinity are as balanced. Other famous rock-cut temples in the Maharashtra region are the Dhumer Lena and Dashvatara cave temples in Ellora (famous for its sculptures of Vishnu and Shiva-leela) and the Jogeshvari temple near Mumbai.

In Karnataka their most famous temples are the Kashivishvanatha temple and the Jain Narayana temple at Pattadakal, a UNESCO World Heritage site. Other well-known temples are the Parameshwara temple at Konnur, Brahmadeva temple at Savadi, the Settavva, Kontigudi II, Jadaragudi and Ambigeragudi temples at Aihole, Mallikarjuna temple at Ron, Andhakeshwara temple at Huli (Hooli), Someshwara temple at Sogal, Jain temples at Lokapura, Navalinga temple at Kuknur, Kumaraswamy temple at Sandur, numerous temples at Shirival in Gulbarga,[164] and the Triketeshwara temple at Gadag which was later expanded by Kalyani Chalukyas. Archeological study of these temples show some have the stellar (multigonal) plan later to be used profusely by the Hoysalas at Belur and Halebidu. One of the richest traditions in Indian architecture took shape in the Deccan during this time which Adam Hardy calls Karnata dravida style as opposed to traditional Dravida style.

4.6.6 Language

With the ending of the Gupta Dynasty in northern India in the early 6th century, major changes began taking place in the Deccan south of the Vindhyas and in the southern regions of India. These changes were not only political but also linguistic and cultural. The royal courts of peninsular India (outside of Tamilakam) interfaced between the increasing use of the local Kannada language and the expanding Sanskrit culture. Inscriptions, including those that were bilingual, demonstrate the use of Kannada as the

primary administrative language in conjunction with Sanskrit. Government archives used Kannada for recording pragmatic information relating to grants of land. The local language formed the desi (popular) literature while literature in Sanskrit was more marga (formal). Educational institutions and places of higher learning (ghatikas) taught in Sanskrit, the language of the learned Brahmins, while Kannada increasingly became the speech of personal expression of devotional closeness of a worshipper to a private deity. The patronage Kannada received from rich and literate Jains eventually led to its use in the devotional movements of later centuries.

Contemporaneous literature and inscriptions show that Kannada was not only popular in the modern Karnataka region but had spread further north into present day southern Maharashtra and to the northern Deccan by the 8th century. Kavirajamarga, the work on poetics, refers to the entire region between the Kaveri River and the Godavari River as “Kannada country”. Higher education in Sanskrit included the subjects of Veda, Vyakarana (grammar), Jyotisha (astronomy and astrology), Sahitya (literature), Mimamsa (Exegesis), Dharmashastra (law), Puranas (ritual), and Nyaya (logic). An examination of inscriptions from this period shows that the Kavya (classical) style of writing was popular. The awareness of the merits and defects in inscriptions by the archivists indicates that even they, though mediocre poets, had studied standard classical literature in Sanskrit. An inscription in Kannada by King Krishna III, written in a poetic Kanda metre, has been found as far away as Jabalpur in modern Madhya Pradesh. Kavirajamarga, a work on poetics in Kannada by Amoghavarsha I, shows that the study of poetry was popular in the Deccan during this time. Trivikrama’s Sanskrit writing, Nalachampu, is perhaps the earliest in the champu style from the Deccan.

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4.7 KAKATIYAS

The Kakatiyas of Warangal occupied a place of paramount importance and interest in the history of South India in general and that of Deccan and Andhra in particular. They were the next to establish their sway over the entire Telugu speaking area after the fall of the Satavahanas and before the rise of the Vijayanagara empire. They presided over the destinies of Andhra from the tenth century A.D. to the first quarter of the Fourteenth century A.D. This period can very well be styled in the mediaeval history of Andhra country as “The Age of the Kakatiyas of Warangal”.

The historians are not unanimous regarding the origin “and the caste of the Kakatiyas. The Prataparudra-yashobhushna of Vidyanatha states that the family of these kings came to be known as ‘Kakatiya’ on account of their being the worshippers of the goddess by name Kakati. It should be noted that they were also the worshippers of Svayambhudeva, i.e; Siva. The Bayyarm tank inscription which throws a lot of light on the early history of the Kakatiyas states that Venna the earliest member of this dynasty, ruled from the town called ‘Kakati’ and on account of this his descendents came to be known as ‘Kakatiyas’. The Kakatiyas are referred to in several inscriptions as the ‘Lords of Kakatipura’. It is thus likely that the Kakati was a pura or town and the family name Kakatiya might have been based upon the original connection of the members of the family with that town.

The Kakatiyas of Warangal, as slated in the Bayyaram tank inscription, were originally belonged to some Ratta or Rashtrakuta origin. Thus they were the Sudras. But after assuming considerable power and prestige they might have thought of tracing their origin from the well known kshatriya races, i.e., Solar or Lunar. This is what exactly reflected in to inscription of Ganapatideva and his successors where they are connected with either Solar or Lunar races.

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The early members of this dynasty were in the service of the Rashtrakutas and acted as generals. It is known from the Mangallu plates that a certain Gunda, the commander of the forces of Rashtrakuta Krishna-II, fought a war against the forces of the Eastern Chalukyas and on behalf of Danarnava at Puruvanguru and lost his life. The Rashtrakuta Krishna-II rewarded Erey, the son of Gunda, with the governorship of the Koravi region for the meritorious services rendered by his father. Thus the Kakatiyas entered into Andhra for the first time during the time of Gunda and his son Erey as the commanders emperors in the ninth and tenth centuries A.D. Within a very short time they established themselves as powerful chiefs in the Koravi region in the Warangal district.

The Western chalukyas became the over lords of Deccan after the fall of the Rashtrakutas. This brought a change in the political status of the Kakatiyas. Accordingly, the kakatiyas became the subordinates of the Western Chalukyas. The early Kakatiya chiefs like, Beta-I, Prol-I, Beta-II and Prola-II became the subordinates of the Western Chalukyan somesvara-I, Vikramaditya-VI, Somesvara-III, and Jagakamalla-II. The dismemberment and the disintegration of the Western Chalukyan empire during the reign of Tailapa-III and the rise of the Kalachuri Bijjala gave a fertile opportunity for the Kakatiyas to assert independence.

Rudra Deva

Prola-II was succeeded by Rudradeva (1158–1195). Rudradeva, also known as Prataparudra-I, was the eldest son of Prola-II. By the year 1162 CE, Rudradeva vanquished a number of his enemies and transformed his petty principality into an extensive kingdom. Rudradeva devoted the later part of his reign to the conquest of the coastal region. He consolidated and pushed the kingdom to the east up to the Godavari delta. Thousand Pillar Temple was built by King Rudra Deva in 1163 AD at Hanumakonda. During the years 1176-82 CE the battle of Palanadu was fought. Rudradeva rendered military assistance to Nalagama's faction. In this battle, the military strength of Velanadu had got weakened. Exploiting the situation, Rudradeva led his forces into Coastal Andhra and conquered up to Srisailam and Tripurantakam in the south. In the last year of his reign (1195 CE), he came into conflict with the Seunas (Yadavas) of Devagiri. Rudra suffered defeat and death in his encounter with Jaitrapala-I. After Rudradeva's death and the imprisonment of his nephew Ganapati in the hands of the Yadavs, his younger brother Mahadeva ascended the throne and ruled the kingdom for a short span of about three years (1196-1198 CE). He led an expedition against the Seuna Yadavas of Devagiri to avenge Rudra's death and also to release his son Ganapati. He lost his life in the battle.

His Conquests and the Consolidation of the Kingdom

The Hanumakonda inscription of A.D. 1162, a lengthy document of great historical value, gives graphic description of his military exploits. He is said to have defeated various chiefs like. Dommaraja, Medaraja, Mailigideva, Chodadaya, Bhima and Tailapadeva. Most of these chiefs appear to have been ruling some parts in the Telangana region. Tailapadeva may be identified with the last king of the Western Chalukyan dynasty. It is also stated that Rudradeva extended his sway over the coastal Andhra by defeating the Velanadu Cholas, the subordinates of the Chalukya Chola emperor of Tanjore.

It is known from Jalhana's Suktimuktavali and Hemadi's Vratakhanda that Rudradeva came into conflict with the Yadavas of Devagiri. In this, encounter he faced defeat.

Rudradeva, in order to meet the increasing needs of the civil and military administration of his independent kingdom, laid foundations for a new fort near Warangal. This later on became the capital of the Kakatiya kingdom.

Mahadeva (AJX 1195 to A.D. 1198-99)

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Radradeva had no issues and hence his younger brother Mahadeva came to the throne. He ruled for a very short period. His reign was neither vigorous nor dynamic except to one significant event, i.e., the Yadava invasion. The Yadava king Jaitugi attacked the Kakatiya kingdom. Mahadeva and his son Ganapatideva presented a stubborn resistance. But the Kakatiyas were defeated. Mahadeva even lost his life on the battle field and his son became a prisoner in the hands of the Yadavas.

Ganapati Deva

Following the death of Mahadeva, disorder broke out in the kingdom. Recherla Rudra, the commander-in-chief of the Kakatiya ruler, saved the kingdom from crumbling. Ganapatideva was set free by Jaitrapala due to political considerations like his desire to secure himself against an attack from Warangal in the event of a conflict with the aggressive Hoysalas in the south. Ganapatideva's reign lasted for 20 years. It is one of the most brilliant epochs in the history of South India. Ganapati, during his long reign, brought under his sway almost the whole land inhabited by the Telugu speaking people, from Karimnagar and Anakapalle in the north to Ongole in the south. Though Ganapatideva was alive until 1269 CE he handed over the threads of administration to his daughter Rudramadevi in 1262 A.D. itself and retired from active politics.

Ganapatideva was known as the greatest of the Kakatiyas and the first after the Satavahanas to bring the entire Telugu area under one rule. In the year 1216, he put an end to the rule of the Telugu Cholas, who accepted his suzerainty. He established order in his vast dominion and encouraged trade. It is around this period that the Golconda fort was constructed, as well as beautiful temples in the Kakatiya art form such as Ramappa Temple at the tiny village of Palampet outside of Warangal.

Conquest of Coastal Andhra

The Velanadu Cholas became the first victims of his policy of expansion. The Velanadu chief Prithvisvara stubbornly resisted the Kakatiya invasion. But he was defeated. This expedition made Ganapathideva the master of Kammarashtra and Velanadu and they became the part and parcel of the kingdom.

Southern Expedition

The internal developments that occurred in the Telugu Choda kingdom of Nellore region prompted Ganapatideva to undertake this southern expedition. Manumasiddhi, the ruler of Nellore, was dethroned by his cousins, Akkana and Bayyana. Manumasiddhi with the intention of regaining his kingdom appealed to Ganapatideva for help. He sent the famous Telugu poet Tikkana Somayaji as an envoy to get the support of Ganapatideva. The Kakatiya king not only accepted the request but also personally marched to Nellore, defeated Akkana and Bayyana, and the other adversaries of Manumasiddhi. Ultimately Manumasiddhi was installed on his paternal throne. This act of Ganapatideva enabled him to extend his power over the Telugu Cholas of Nellore.

Kalinga Expedition

Ganapatideva after consolidating his position in the Velanadu region launched an expedition against Kalinga. It appears that the Kakatiya king tried twice to reduce Kalinga to subjection. Though he was succeeded in his earlier attempts and even occupied certain parts of Kalinga, he was expelled ultimately from the Kalinga region. There is reason to believe that the Kakatiya forces, in their final attempt, suffered a heavy defeat at the hands of the Ganga king, Ananga Bhima-III and forced to retreat to the south of Godavari river.

Pandyan Invasion

Manurnasiddha-II who received substantial assistance from Ganapatideva to regain his

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position over the kingdom of Nellore was again faced trouble from the south due to the invasion of the Pandyan king, Jatavarman Sundara Pandya. The king of Nellore immediately appealed to the Kakatiya king for help. The Pandyan king successfully defeated not only Manumasiddhi-II but also his Kakatiya ally, Ganapatideva, and celebrated virabhisheka at Nellore and Kanchi. It is on this occasion the Pandyan king issued a special coins bearing the symbol of the Kakatiya boar on the obverse and the Pandyan emblem of fishes on the reverse. This military defeat of Ganapatideva coincided with his final retirement from the active politics of the kingdom.

Ganapatideva was considered to be the greatest king of the Kakatiya dynasty. He set himself to the task of restoring the political unity of the Telugu country either by war or by diplomacy and he succeeded in a large measure in accomplishing this object. The most important event that took place in the civil administration during his time was change of capital was laid down by Rudradeva, but it was completed by Ganapatideva and his daughter Rudramadevi.

Rudramadevi

The most prominent ruler in this dynasty was Rani Rudrama Devi 1262-1289 CE, one of the few queens in Indian history. She was born as Rudramba to Ganapathideva who had no sons. She was formally designated as a son through the ancient Putrika ceremony and given the male name of Rudradeva and declared the Queen. Rudramadevi was married to Veerabhadra, Eastern Chalukyan prince of Nidadavolu. Despite initial misgivings by some of her generals who resented a female ruler, she suppressed the internal rebellions and external incursions. An able fighter and ruler Rudramba defended the kingdom from the Cholas and the Yadavs, earning their respect. She remains one of the few symbols of female power in South India.

Yadava invasion

The Yadava king Mahadeva invaded the Kakatiya kingdom and invested the capital Warangal. Rudramadevi was a woman of peerless courage. She defeated and destroyed the Yadava army and even chased it up to the walls of Devagiri, the capital of the Yadavas. Mahadeva finally concluded a treaty with queen Rudramadevi according to which he paid a very heavy war indemnity to Rudramadevi. This great victory scored by Rudramadevi over the Yadavas of Devagiri is recorded in her Bidar inscription.

Revolt of the Kayastha Ambadevs

The Kayasthas were a powerful feudatory family ruling the Cuddapah region with Valluripattana as their capital. Gangaya-sahini, Jannigadeva and Trupurari were the feudatories of Ganapatideva. Ambadeva was the brother of Tripurari. The Pandyan invasion that occurred during the last days of Ganapatideva gave an opportunity to Ambadeva to throw off the allegiance of the Kakatiyas and even proclaimed himself independent. He even allied himself with the enemies of the Kakatiyas, the Yadavas of Devagiri and the Pandyas of Madura. Rudramadevi resolved to chastise him. Thus she along with her commander, Malhkarjuna, and a huge army proceeded to attack Ambadeva. It is known from the Chandupalla inscription that Ambadeva scored victory over the Kakatiyas. Besides, Rudramadevi and her general Mallikarjuna lost their lives in the battle. Thus ended the romantic reign of Rudramadevi.

Rudramadevi, though a woman, was undoubtedly one of the greatest rulers of the Andhra country. She took active part in the government of the kingdom. On occasions of emergency she did not hesitate to take the field in person and led her troops against the enemy. She was a valiant and a courageous fighter with great abilities of a general to lead her men in war.

Rudramadevi was married to a Chalukya prince by name Virabhadra. She had

only three daughters, viz Mummadamma, Rudrama and Ruyyamma. The eldest was married to a Kakatiya prince named Mahadeva. The second daughter was married to a Yadava prince by name Yellanadeva and the last to a Induluri chief by name Annayya. Rudramadevi was succeeded by her grandson, Praia parudradeva, the son of Mahadeva and Mummadamma.

Prataparudra

Rudramadevi died in the month of November 1289 CE., fighting battle against the rebel Kayastha chief Ambadeva. On the death of Rudrama, her grandson Prataparudra, who was adopted by her as son and as heir apparent on the advice of her father Ganapatideva, ascended the throne at the beginning of the year 1290 CE. Prataparudra had to fight battles throughout his reign against either the internal rebels or the external foes. Prataparudra expanded borders towards the west till Raichur, whilst introducing many administrative reforms, some of which were also later adopted in the Vijayanagar empire.

War against Ambadeva

Ambadeva, being fully aware of the threat to the security of his newly acquired territories, took necessary steps to increase his strength. It appears that he entered into an alliance with the Pandyas, Yadavas and the Telugu Cholas of Nellore. But Prataparudradeva scored victory over Ambadeva and reestablished his control over the loss territories.

War against the Telugu Cholas of Nellore

Prataparudradeva then turned his attention towards the Telugu Cholas of Nellore. He attacked Manumagandagopala, a friend of Ambadeva. Prataparudradeva defeated him and installed certain Rajagandagopala on the throne of Nellore. Thus the Telugu Chola kingdom of Nellore came under the direct control of the Kakatiyas.

War against the Yadavas

Prataparudradeva then attacked the Yadavas, for they supported the cause of Ambadeva. It is known from the Vardhamanapuram inscription that the Kakatiya forces not only secured victory over the Yadavas but also occupied Adavani, Manuva, Haluva and Tambulam located in the Raichur doab region.

Thus Prataparudradeva chastised Ambadeva, crushed the Telugu Chola ruler, curbed the Yadavas and crumbled the power of the Pandyas. The Kakatiya kingdom reached its highest water-mark during this period and its southern frontier even touched Kanchi. For nearly a decade he was left untouched to carry on the government of the country and to secure happiness and comfort to his subjects and people.

Then all of a sudden the Muslims began to knock at his gates and he was compelled to spend the rest of his reign in devising ways and means for the protection of his kingdom and religion.

4.7.1 Art and Architecture

Architecture and Art

No amount of discussion on the history of Kakatiyas is complete without a reference to their building activity. The Kakatiyas, like their overlords, the Western Chalukyas of Kalyani, took uncommon interest in building temples, forts, etc. The temples that are distributed throughout the length and breadth of the present Tclangana region bear testimony to it.

The Kakatiyas in main followed the Chalukyan style of architecture but introduced certain innovations and thereby paved the way for the birth of the kakatiya style which is a regional variation of the Chalukyan style.

The Thousand-pillared Temple at Hanumakonda constructed during the time of

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Rudradeva, the son of Prola-II, was a definite landmark in the evolution of the Kakatiyan style of architecture. The Great Temple at Palampet, i.e., the Rudresvara temple, was erected by Recherla Rudra, the commander in chief of Ganapatideva. It represents the climax of the Kakatiyan style. The Gautamesvara temple at Manthana, the Erakesvara and the Namesvara temples at Pillalamarri and the temples at Nagulapadu are the museum specimens of the Kakatiyan style of architecture.

The Kakatiyas also patronised the art of painting. The traces of paintings that are found on the ceilings of pillared halls of the temples found at Ghanapui and Palampet bear evidence to it. The churning of the Milky Ocean is painted on the ceiling of the Sabha-mandapa of the Namesvara at Pillalamarri. This is very much defaced. Thus the Kakatiya age witnessed the development of agriculture, trade and commerce, literature and architecture and art. They realized the political unification of Andhra. The fall of the Kakatiyas was followed by a period of anarchy and confusion and this was followed by the establishment of Reddi kingdoms.

The Kakatiyas with their conquering zeal and spirit of nationalism and patriotism united the whole of Andhradesa - Coastal Andhra, Telangana and Rayalaseema all the Telugu speaking parts of the Deccan under their paramount power. It was for the first and the last time also (before the formation of Andhra Pradesh State) that the Telugu-speaking people were united under one government. Their spirit of nationalism and patriotism stood them in good stead in their offering gallant resistance to the Islamic invaders. This tradition and legacy of the Warangal kingdom was however continued by the Vijayanagara rulers.

Administration and the Territorial Organization

The Kakatiyas followed the traditional hereditary monarchical system. The practice of the ruling monarch taking heir into partnership in the administration of the kingdom was visible at least from the time of Ganapatideva. A female succession to the throne, even though it was prejudiced by some, was the unique feature of the Kakatiya dynasty in the history of Andhradesa.

Though the monarch was all powerful, his authority was subjected to the limitations imposed by Vama-dharma and the customs of the land. The works on Rajaniti prescribed high qualifications of head and heart for the king. The king's frequent audiences to his subjects at fixed times was made essential for fostering harmony between the ruler and the ruled.

A large number of ministers used to assist the monarch in the administration of the kingdom. Merit was probably the criterion to make appointments to public service. The contemporary literary work 'Sakalanitisammatamu' lists 18 Thirthas (ministers). Officials of all classes in the court were divided into 'niyogas' (categories). They were seventy-two in number and collectively referred to as 'bahattara', placed under the supervision of the 'bahattara-niyogadhipati'.

With regard to the territorial organization of the Kakatiya kingdom, the primary basis was the village. Besides the village, the bigger administrative divisions like 'sthalas' and 'nadus' were known from inscriptions. The villages were under the rule of a body of village officials called collectively the 'ayagars' (generally 12 in number and include karanam, pedakapu, talari etc.). Little is known about the local organization of the sthalas and nadus.

Military Organization and the Army

In the military organization of the Kakatiya kingdom, the fort played a dominant role in the defence of the realm. It is the network of forts which enables a kingdom to last long. The 'Nitisara' of Prataparudra refers to four kinds of forts - sthala, Jala, vana and giri

durgas. The inscriptions of the period refer to the giri-durgas like Anumakonda, Rachur and Gandikota, the vana-durgas like Kandur and Narayanavanam, the jala-durgas like Divi and Kolanu and the sthala-durgas like Warangal and Dharnikota. These forts were the most famous strong-holds in the Kakatiya period.

The administration of the kingdom was done on military basis. The kings shared their territories out among a number of military chiefs called 'Nayakas'. This was the 'nayakara' system which became popular as a prominent feature of administration later under the Vijayanagara emperors. The 'Nitisara' states that the king should assign only small villages to the samantas, reserving the big ones for maintaining the four-fold army and for the replenishment of the treasury. The 'Pratapacharitra' informs us about Prataparudra-II entrusting the defence of the 77 bastions of Warangal to 77 Nayakas of the Velama community, allotting to them a fourth of his kingdom as estates to enable them to discharge efficiently their duties (to maintain a prescribed body of troops for the service of the king and to pay annual tribute).

The elephants, cavalry and infantry constituted the Kakatiya army. The contemporary accounts refer to the strength of the army under Prataparudra-II which consisted of 100 elephants, 20,000 horses and 9,00,000 archers. The military service was not restricted to any particular community. The Gajasahini and Asva-sahini used to train the elephants and horses for the purposes of war. Maharaya-pattasahini was an officer attached to the royal establishment. The army was divided into two sections, the royal forces and the nayaka levies. Being the commander-in-chief of the army, the king used to take the field in person very often. The 'angarakshas' used to guard the kings' person and palace. The 'lenkas' (companions-at-arms) with an ideal conduct used to serve and if required they were even ready to sacrifice their lives for the sake of the king. No correct information is available regarding the organization of military hierarchy. Distinguished service in the army was frequently rewarded by the grant of landed estates and the conferment of titles and badges of honour by the king. The Gandapendera or anklet of the heroes was a common decoration bestowed on distinguished men for meritorious service'.

4.7.2 Economic Conditions

Kakatiya period main sources of agriculture. No reference is given to any public works department or the state undertaking either direct or indirect responsibility for the construction and maintenance of irrigation works. However the kings and their nobles, merchants and wealthy men and even the religious leaders took active interest in the construction and maintenance of irrigation works, especially tanks or reservoirs in which rain water was stored. It was because of their sentimental belief, that the construction of a tank was an act of charity which would acquire great religious merit, starting from Beta-II, the rulers and their chieftains (especially the Malyala and Recheria chieftains) encouraged raising wet crops on a large scale in Telangana by providing large tanks or dams.

Besides provision of irrigation facilities to improve agriculture, attempts were made to increase the extent of cultivable land by cutting down forests particularly in the Rayalasima area during the reign of Prataparudra-II. New settlements were encouraged in the forest clearings. The tax on agriculture and the charges levied on industry and trade were collected by regular officials. The land was, for purposes of assessment, divided into dry, wet and garden varieties.

Tax was payable either in kind or in cash. Little is known about the incidence of taxation. Salt was a monopoly of the state. Apart from agriculture, industry and commerce were also promoted. Marco Polo, Amir Khusrau and Wassaf paid glowing tributes to the prosperous condition of Andhradesa during this period.

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4.7.3 Religious Conditions

The Kakatiya monarchs were well known for their policy of religious toleration. Among the reformist faiths. Buddhism was a thoroughly spent-up force by the eleventh century A.D. Due to the patronage of the early Kakatiya rulers, Jainism lingered on here and there, maintaining its individual character, in 'Panditaradhyacharitra' and 'Basava Purana', references were made to the persecution of Jains.

Among the Bhakti cults which replaced Buddhism and Jainism, though Vaishnavism also flourished, it was the hey day for Saivism. The Kahamukha doctrine was predominant at the beginning, the Pasupata sect gained upper hand later. The first independent monarchs of the Kakatiya dynasty, Rudradeva and his brother Mahadeva were 'Parama-mahesvaras'.

The reign of Ganapatideva was remarkable in the history of the Saiva religion during the Kakatiya period. The Pasupata Saivas belonging to the Golaki-Matha gained popularity among the people as well as with the royal house. The teachers of this Matha, like Visvesvara Siva (the royal preceptor of Ganapatideva) exerted greater influence on the Chedi Katechuris, Kakatiyas and on the Kings of Malwa and Chola countries. In Andhradesa, many branches of this Golaki-Matha were set up at Bhattiprolu, Tripurantakam, Sripurvata and Pushpagiri.

This Pasupata sect of Saivism of Golaki-Matha continued to flourish almost up to the end of the reign of Prataparudra-II.

It is strange to find that after the fall of Warangal in 1323 A.D., no Saivacharya of Golaki-Matha was heard. The famous Pandita-traya, Mallikarjuna Pandita, Sripati Pandita and Manchana Pandita, belonging to Aradhya Saivism had also some following in the southern parts of the Telugu country during the Kakatiya period. The Vira-Saiva school of Basava, which was at its zenith in the Kanarase country during this period, did not attract many people in the Andhra country.

The Saiva-Mathas, which were supported by liberal grants from the kings and nobles, imparted religious teaching to their disciples. Satras (free feeding houses) were attached to the Saiv monasteries. 'Village and family deities, such as Ekavira, Mahuramma, Kakatamma and Kameswari, were very popular and their worship was general throughout this period'. Performance of vratas and often undertaking pilgrimages also attained much importance during these times.

Development of Art and Architecture

The Kakatiyas were men of cultural tastes. They patronized men of arts and letters. They were fond of architecture. As they had sprung from the Chalukyas and were also allied by marriage with the Cholas of South India, it is natural that their temples should show a happy blending of these two styles of temple architecture. With regard to secular architecture, since the forts began to play a dominant part in the defence of the realm, they were built at Warangal, Raichur, Golkonda, Rachakonda, Devarakonda and other places revealing the architectural skills of the times. The entrances of the mud-wall and the stone citadel at Warangal are magnificent examples of mediaeval defence arrangements.

Since the early Kakatiya monarchs were Jains by faith, some temples of Jain variety must have been erected at places like Kolanupaka (Warangal district) and Jogipeta (Medak district) but later they vanished possibly due to Saiva malice and fury. However the Padmakshi temple near Anmakonda on a hill top, built during the reign of Prola-II, still stands as a solitary example of the Jain architecture of the Kakatiya period. With modest size and simple design, it does not exhibit any architectural excellence.

The excellence of the Kakatiya architecture and sculpture is revealed in the

constructions of a later age. They include the famous temples at Anmakonda, Warangal, Pillalamarri and Palampeta.

A brief political survey of South India

The thousandpillar temple known as the Rudresvara temple at Hanumakonda constructed by Rudradeva in 1162 A.D. Stands as a testimony for the great architectural triumph of the age of the Kakatiyas. The ceilings, the portals, the inner walls and pillars of this temple and the colossal image of Nandi-all built of granite and black stone were finely chiselled, elaborately decorated with intricate designs and perfectly proportioned with amazing skill and mastery, depicting the figures of animals, deities and scenes from the epics.

The great Ramappa temple at Palampeta is said to have been built in 1213 A.D. by Recherla Rudra, one of the generals of Ganapatideva. At the eastern entrance of this temple raised on a high platform stands the beautifully symmetrical and lifelike image of the monolithic Nandi with marvellous smoothness and polish, displaying extraordinary skill in carving the numerous details of its ornamental hangings. The outside of the temple is decorated by a variety of figures including deities, warriors, musicians and dancers. The twelve figure brackets, springing from the shoulders of the outer pillars and nominally supporting the protruding eaves of the roof of the temple, represent the dancing artists in different postures. The other temples at Katakshpur, Nagnur, Nagulapadu, Panagal, Attirala, Manthani, and Bejjanki and the Toranas (gateways) at Warangal and Veerakals (hero-stones) at different places also exhibit the same artistic merit of the Kakatiya times.

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4.8 VIJAYANAGARA

The early history of Vijayanagara is wrapped up in obscurity and the origin or the national affiliation of the founders of The Vijayanagara Empire is still a matter of controversy. Literary traditions and historical inscriptions prove the fact that the empire was founded by Harihara and Bukka, the two Sangama brothers, in 1336 A.D.

The Vijayanagara Empire referred to as the Kingdom of Bisnaga by the Portuguese, was a South Indian empire based in the Deccan Plateau. It was established in 1336 by Harihara-I and his brother Bukka Raya I of the Yadava lineage. The empire rose to prominence as a culmination of attempts by the southern powers against Islamic invasions by the end of the 13th century. It lasted until 1646 although its power declined after a major military defeat in 1565 by the Deccan sultanates. The empire is named after its capital city of Vijayanagara, whose impressive ruins surround modern Hampi, now a World Heritage Site in modern Karnataka, India. The writings of medieval European travelers such as Domingo Paes, Fernão Nunes and Niccolò Da Conti and the literature in local vernaculars provide crucial information about its history. Archaeological excavations at Vijayanagara have revealed the empire's power and wealth.

The empire's legacy includes many monuments spread over South India, the best known being the group at Hampi. The previous temple building traditions in South India came together in the Vijayanagara Architecture style. The mingling of all faiths and vernaculars inspired architectural innovation of Hindu temple construction, first in the Deccan and later in the Dravidian idioms using the local granite. Secular royal structures show the influence of the Northern Deccan Sultanate architecture. Efficient administration and vigorous overseas trade brought new technologies like water management systems for irrigation. The empire's patronage enabled fine arts and literature to reach new heights in the languages of Kannada, Telugu, Tamil and Sanskrit, while Carnatic music evolved into its current form. The Vijayanagara Empire created an epoch in South Indian history that transcended regionalism by promoting Hinduism as a unifying factor.

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4.8.1 History

Differing theories have been proposed regarding the Vijayanagara empire's origins. Some claim that Harihara-I and Bukka Raya-I, the founders of the empire, or Nayaka people first associated with the Kakatiya kingdom who took control of the northern parts of the Hoysala Empire during its decline.

Other historians propose they were Kannadigas and commanders in the army of the Hoysala Empire stationed in the Tungabhadra region to ward off Muslim invasions from the Northern India. Irrespective of their origin, historians agree the founders were supported and inspired by Vidyaranya, a saint at the Sringeri monastery to fight the Muslim invasion of South India. Writings by foreign travelers during the late medieval era combined with recent excavations in the Vijayanagara principality have uncovered much-needed information about the empire's history, fortifications, scientific developments and architectural innovations.

Before the early 14th century rise of the Vijayanagara Empire, the Hindu states of the Deccan, the Yadava Empire of Devagiri, the Kakatiya Kingdom of Warangal, the Pandyan Empire of Madurai, and the tiny kingdom of Kampili had been repeatedly invaded by Muslims from the north, and by 1336 they had all been defeated by Alla-ud-din Khilji and Muhammad bin Tughluq, the Sultans of Delhi. The Hoysala Empire was the sole remaining Hindu state in the path of the Muslim invasion. After the death of Hoysala Veera Ballala-III during a battle against the Sultan of Madurai in 1343, the Hoysala Empire merged with the growing Vijayanagara empire.

In the first two decades after the founding of the empire, Harihara -I gained control over most of the area south of the Tungabhadra river and earned the title of Purvapaschima Samudradhishavara ("master of the eastern and western seas"). By 1374 Bukka Raya-I, successor to Harihara-I, had defeated the chiefdom of Arcot, the Reddy dynasty of Kondavidu, the Sultan of Madurai and gained control over Goa in the west and the Tungabhadra-Krishna River doab in the north. The original capital was in the principality of Anegondi on the northern banks of the Tungabhadra River in today's Karnataka. It was later moved to nearby Vijayanagara on the river's southern banks during the reign of Bukka Raya-I.

With the Vijayanagara Kingdom now imperial in stature, Harihara- II, the second son of Bukka Raya-I, further consolidated the kingdom beyond the Krishna River and brought the whole of South India under the Vijayanagara umbrella. The next ruler, Deva Raya-I, emerged successful against the Gajapatis of Orissa and undertook important works of fortification and irrigation. Deva Raya-II (called Gajabetekara) succeeded to the throne in 1424 and was possibly the most capable of the Sangama dynasty rulers. He quelled rebelling feudal lords as well as the Zamorin of Calicut and Quilon in the south. He invaded the island of Lanka and became overlord of the kings of Burma at Pegu and Tanasserim. The empire declined in the late 15th century until the serious attempts by commander Saluva Narasimha Deva Raya in 1485 and by general Tuluva Narasa Nayaka in 1491 to reconsolidate the empire. After nearly two decades of conflict with rebellious chieftains, the empire eventually came under the rule of Krishnadevaraya, the son of Tuluva Narasa Nayaka.

In the following decades the Vijayanagara empire dominated all of Southern India and fought off invasions from the five established Deccan Sultanates. The empire reached its peak during the rule of Krishnadevaraya when Vijayanagara armies were consistently victorious. The empire annexed areas formerly under the Sultanates in the northern Deccan and the territories in the eastern Deccan, including Kalinga, while simultaneously maintaining control over all its subordinates in the south. Many important monuments were either completed or commissioned during the time of Krishnadevaraya.

Krishnadevaraya was followed by Achyuta Raya in 1530 and in 1542 by Sadashiva Raya while the real power lay with Aliya Rama Raya, the son-in-law of Krishnadevaraya, whose relationship with the Deccan Sultans who allied against him has been debated.

The sudden capture and killing of Aliya Rama Raya in 1565 at the Battle of Talikota, against an alliance of the Deccan sultanates, after a seemingly easy victory for the Vijayanagara armies, created havoc and confusion in the Vijayanagara ranks, which were then completely routed. The Sultanates' army later plundered Hampi and reduced it to the ruinous state in which it remains; it was never re-occupied. Tirumala Raya, the sole surviving commander, left Vijayanagara for Penukonda with vast amounts of treasure on the back of 550 elephants.

The empire went into a slow decline regionally, although trade with the Portuguese continued, and the British were given a land grant for the establishment of Madras. Tirumala Deva Raya was succeeded by his son Sriranga-I later followed by Venkata-II who made Chandragiri his capital, repulsed the invasion of the Bahmani Sultanate and saved Penukonda from being captured. His successor, Ramadeva, took power and ruled till 1632 after whose death, Venkata-III became king and ruled for about ten years after which Vellore was made the capital. The empire was finally conquered by the Sultanates of Bijapur and Golkonda. The largest feudatories of the Vijayanagar empire the Mysore Kingdom, Keladi Nayaka, Nayaks of Madurai, Nayaks of Tanjore, Nayakas of Chitradurga and Nayak Kingdom of Gingee palegars of gummanayakanapalya declared independence and went on to have a significant impact on the history of South India in the coming centuries. These Nayaka kingdoms lasted into the 18th century while the Mysore Kingdom remained a princely state until Indian Independence in 1947 although they came under the British Raj in 1799 after the death of Tipu Sultan.

4.8.2 Economy

The empire's economy was largely dependent on agriculture. Sorghum (jowar), cotton and pulse legumes grew in semi arid regions, while sugarcane, rice and wheat thrived in rainy areas. Betel leaves, areca (for chewing), and coconut were the principal cash crops, and large scale cotton production supplied the weaving centers of the empire's vibrant textile industry. Spices such as turmeric, pepper, cardamom and ginger grew in the remote Malnad hill region and were transported to the city for trade. The empire's capital city was a thriving business centre that included a burgeoning market in large quantities of precious gems and gold. Prolific temple-building provided employment to thousands of masons, sculptors, and other skilled artisans.

Land ownership was important. Most of the growers were tenant farmers and were given the right of part ownership of the land over time. Tax policies encouraging needed produce made distinctions between land use to determine tax levies. For example, the daily market availability of rose petals was important for perfumers, so cultivation of roses received a lower tax assessment. Salt production and the manufacture of salt pans were controlled by similar means. The making of ghee (clarified butter), which was sold as oil for human consumption and as a fuel for lighting lamps, was profitable. Exports to China intensified and included cotton, spices, jewels, semi-precious stones, ivory, rhino horn, ebony, amber, coral, and aromatic products such as perfumes. Large vessels from China made frequent visits, some captained by the Chinese Admiral Cheng Ho, and brought Chinese products to the empire's 300 ports, large and small, on the Arabian Sea and the Bay of Bengal. The ports of Mangalore, Honavar, Bhatkal, Barkur, Cochin, Cannanore, Machilipatnam and Dharmadam were the most important.

When merchant ships docked, the merchandise was taken into official custody and taxes levied on all items sold. The security of the merchandise was guaranteed by the administration officials. Traders of many nationalities (Arabs, Persians, Guzerates,

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Khorassanians) settled in Calicut, drawn by the thriving trade business. Ship building prospered and keeled ships of 1000–1200 bahares (burden) were built without decks by sewing the entire hull with ropes rather than fastening them with nails. Ships sailed to the Red Sea ports of Aden and Mecca with Vijayanagara goods sold as far away as Venice. The empire's principal exports were pepper, ginger, cinnamon, cardamom, myrobalan, tamarind timber, anafistula, precious and semi-precious stones, pearls, musk, ambergris, rhubarb, aloe, cotton cloth and porcelain. Cotton yarn was shipped to Burma and indigo to Persia. Chief imports from Palestine were copper, quicksilver (mercury), vermilion, coral, saffron, coloured velvets, rose water, knives, coloured camlets, gold and silver. Persian horses were imported to Cannanore before a two week land trip to the capital. Silk arrived from China and sugar from Bengal.

East coast trade hummed, with goods arriving from Golkonda where rice, millet, pulse and tobacco were grown on a large scale. Dye crops of indigo and chay root were produced for the weaving industry. A mineral rich region, Machilipatnam was the gateway for high quality iron and steel exports. Diamond mining was active in the Kollur region. The cotton weaving industry produced two types of cottons, plain calico and muslin (brown, bleached or dyed). Cloth printed with coloured patterns crafted by native techniques were exported to Java and the Far East. Golkonda specialised in plain cotton and Pulicat in printed. The main imports on the east coast were non-ferrous metals, camphor, porcelain, silk and luxury goods.

4.8.3 Culture

Social life

Most information on the social life in Vijayanagara empire comes from the writings of foreign visitors and evidence that research teams in the Vijayanagara area have uncovered. The Hindu caste system was prevalent and rigidly followed, with each caste represented by a local body of elders who represented the community. These elders set the rules and regulations that were implemented with the help of royal decrees. Untouchability was part of the caste system and these communities were represented by leaders (Kaivadadavaru). The Muslim communities were represented by their own group in coastal Karnataka. The caste system did not, however, prevent distinguished persons from all castes from being promoted to high ranking cadre in the army and administration. In civil life, by virtue of the caste system, Brahmins enjoyed a high level of respect. With the exception of a few who took to military careers, most Brahmins concentrated on religious and literary matters. Their separation from material wealth and power made them ideal arbiters in local judicial matters, and their presence in every town and village was a calculated investment made by the nobility and aristocracy to maintain order. However, the popularity of low-caste scholars (such as Molla and Kanakadasa) and their works (including those of Vemana and Sarvajna) is an indication of the degree of social fluidity in the society.

The practice of Sati was common, though voluntary, and mostly practiced among the upper classes. Over fifty inscriptions attesting to this have been discovered in the Vijayanagara principality alone. These inscriptions are called Satikal (Sati stone) or Sati-virakal (Sati hero stone). Satikals commemorated the death of a woman by entering into fire after the death of her husband while Sati-virakals were made for a woman who performed Sati after her husband's heroic death. Either way, the woman was raised to the level of a demi-goddess and proclaimed by the sculpture of a Sun and crescent moon on the stone.

The socio-religious movements of the previous centuries, such as Lingayatism, provided momentum for flexible social norms to which women were expected to abide. By this time South Indian women had crossed most barriers and were actively involved

in matters hitherto considered the monopoly of men, such as administration, business and trade, and involvement in the fine arts. Tirumalamba Devi who wrote Varadambika Parinayam and Gangadevi who wrote Madhuravijayam were among the notable women poets of the era. Early Telugu women poets like Tallapaka Timmakka and Atukuri Molla became popular during this period. The court of the Nayaks of Tanjore is known to have patronised several women poets. The Devadasi system existed, as well as legalised prostitution relegated to a few streets in each city. The popularity of harems amongst men of the royalty is well known from records.

Well-to-do men wore the Pethaor Kulavi, a tall turban made of silk and decorated with gold. As in most Indian societies, jewellery was used by men and women and records describe the use of anklets, bracelets, finger-rings, necklaces and ear rings of various types. During celebrations, men and women adorned themselves with flower garlands and used perfumes made of rose water, civet, musk or sandalwood. In stark contrast to the commoners whose lives were modest, the lives of the empire's kings and queens were full of ceremonial pomp in the court. Queens and princesses had numerous attendants who were lavishly dressed and adorned with fine jewellery, their daily duties being light.

Physical exercises were popular with men and wrestling was an important male preoccupation for sport and entertainment. Even women wrestlers are mentioned in records. Gymnasiums have been discovered inside royal quarters and records speak of regular physical training for commanders and their armies during peace time. Royal palaces and market places had special arenas where royalty and common people alike amused themselves by watching matches such as cock fights, ram fights and wrestling between women. Excavations within the Vijayanagara city limits have revealed the existence of various types of community-based activities in the form of engravings on boulders, rock platforms and temple floors, implying these were places of casual social interaction. Some of these games are in use today and others are yet to be identified.

4.8.4 Religion

The Vijayanagara kings were tolerant of all religions and sects as writings by foreign visitors show. The kings used titles such as Gobrahamana Pratipalanacharya ("protector of cows") and Hindurayasuratrana ("upholder of Hindu faith") that testified to their intention of protecting Hinduism and yet were at the same time staunchly Islamicate in their court ceremonials and dress as Philip Wagoner points out in his 1996 article 'Sultan Among Hindu Kings' published in the Journal of Asian Studies. The Empire's founders Harihara-I and Bukka Raya I were devout Shaivas (worshippers of Shiva), but made grants to the Vaishnava order of Sringeri with Vidyaranya as their patron saint, and designated Varaha (the boar, an Avatar of Vishnu) as their emblem. It is also important to note here that over one-fourth of the archaeological dig found a "Islamic Quarter" not far from the "Royal Quarter." Nobles from Central Asia's Timurid kingdoms also came down to Vijayanagara. The later Saluva and Tuluva kings were Vaishnava by faith, but worshipped at the feet of Lord Virupaksha (Shiva) at Hampi as well as Lord Venkateshwara (Vishnu) at Tirupati. A Sanskrit work, Jambavati Kalyanam by King Krishnadevaraya, called Lord Virupaksha Karnata Rajya Raksha Mani ("protective jewel of Karnata Empire"). The kings patronised the saints of the dvaita order (philosophy of dualism) of Madhvacharya at Udupi.

The Bhakti (devotional) movement was active during this time, and involved well known Haridasas (devotee saints) of that time. Like the Virashaiva movement of the 12th century, this movement presented another strong current of devotion, pervading the lives of millions. The haridasas represented two groups, the Vyasakuta and Dasakuta, the former being required to be proficient in the Vedas, Upanishads and other Darshanas,

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while the Dasakuta merely conveyed the message of Madhvacharya through the Kannada language to the people in the form of devotional songs (Devaranamas and Kirthanas). The philosophy of Madhvacharya was spread by eminent disciples such as Naraharitirtha, Jayatirtha, Vyasatirtha, Sripadaraya, Vadirajatirtha and others. Vyasatirtha, the guru (teacher) of Vadirajatirtha, Purandaradasa (Father of Carnatic music) and Kanakadasa earned the devotion of King Krishnadevaraya. The king considered the saint his Kuladevata (family deity) and honoured him in his writings. During this time, another great composer of early carnatic music, Annamacharya composed hundreds of Kirthanas in Telugu at Tirupati in present day Andhra Pradesh.

The defeat of the Jain Western Ganga Dynasty by the Cholas in early 11th century and the rising numbers of followers of Vaishnava Hinduism and Virashaivism in the 12th century was mirrored by a decreased interest in Jainism. Two notable locations of Jain worship in the Vijayanagara territory were Shravanabelagola and Kambadahalli.

Islamic contact with South India began as early as the 7th century, a result of trade between the Southern kingdoms and Arab lands. Jumma Masjids existed in the Rashtrakuta empire by the 10th century and many mosques flourished on the Malabar coast by the early 14th century. Muslim settlers married local women; their children were known as Mappillas (Moplahs) and were actively involved in horse trading and manning shipping fleets. The interactions between the Vijayanagara empire and the Bahamani Sultanates to the north increased the presence of Muslims in the south. The introduction of Christianity began as early as the 8th century as shown by the finding of copper plates inscribed with land grants to Malabar Christians. Christian travelers wrote of the scarcity of Christians in South India in the Middle Ages, promoting its attractiveness to missionaries. The arrival of the Portuguese in the 15th century and their connections through trade with the empire, the propagation of the faith by Saint Xavier (1545) and later the presence of Dutch settlements fostered the growth of Christianity in the south.

4.8.5 Literature

During the rule of the Vijayanagara Empire, poets, scholars and philosophers wrote in Kannada, Sanskrit and other regional languages like Telugu and Tamil and covered such subjects as religion, biography, Prabhandas (fiction), music, grammar, poetry and medicine. The Court language of the Vijayanagara Empire was Kannada. Later, Telugu language became a popular literary medium, reaching its peak under the patronage of Krishnadevaraya.

Most Sanskrit works were commentaries either on the Vedas or on the Ramayana and Mahabharata epics, written by well known figures such as Sayana and Vidyaranya that extolled the superiority of the Advaita philosophy over other rival Hindu philosophies. Other writers were famous Dvaita saints of the Udipi order such as Jayatirtha (earning the title Tikacharya for his polemical writings), Vyasatirtha who wrote rebuttals to the Advaita philosophy and of the conclusions of earlier logicians, and Vadirajatirtha and Sripadaraya both of whom criticised the beliefs of Adi Sankara. Apart from these saints, noted Sanskrit scholars adorned the courts of the Vijayanagara kings and their feudatory chiefdoms. Many kings of the dynasty were themselves litterateurs and authored classics such as King Krishnadevaraya's Jambavati Kalyana, a poetic and dramatically skillful work.

The Kannada poets and scholars of the empire produced important writings supporting the Vaishnava Bhakti movement heralded by the Haridasas (devotees of Vishnu), Brahminical and Virashaiva (Lingayatism) literature. The Haridasa poets celebrated their devotion through songs called Devaranama (lyrical poems) in the ragale metre. Their inspirations were the teachings of Madhvacharya and Vyasatirtha. Purandaradasa and Kanakadasa are considered the foremost among many Dasas

(devotees) by virtue of their immense contribution. Kumara Vyasa, the most notable of Brahmin scholars wrote Gadugina Bharata, a translation of the epic Mahabharata. This work marks a transition of Kannada literature from old Kannada to modern Kannada. Chamarasa was a famous Virashaiva scholar and poet who had many debates with Vaishnava scholars in the court of Devaraya-II. His Prabhulinga Lile, later translated into Telugu and Tamil, was a eulogy of Saint Allama Prabhu (the saint was considered an incarnation of Lord Ganapathi while Parvati took the form of a princess of Banavasi).

At this peak of Telugu literature, the most famous writing in the Prabhand style was Manucharitamu. King Krishnadevaraya was an accomplished Telugu scholar and wrote the celebrated Amuktamalyada. In his court were the eight famous scholars regarded as the pillars (Ashtadiggajas) of the literary assembly, the most famous being Allasani Peddana honoured with the title Andhrakavitapitamaha (father of Telugu poetry) and Tenali Ramakrishna, Krishnadevaraya's court jester who authored several acclaimed works. This was the age of Srinatha, the greatest of all Telugu poets in legend, who wrote books like Marutracharitam and Salivahana-sapta-sati. He was patronised by King Devaraya-II and his stature was equal to the most important ministers in the court. Though much of the Tamil literature from this period came from Tamil speaking regions ruled by the feudatory Pandya who gave particular attention on the cultivation of Tamil literature, some poets were patronised by the Vijayanagara kings. Svarupananda Desikar wrote an anthology of 2824 verses, Sivaprakasap-perundirattu, on the Advaita philosophy. His pupil the ascetic, Tattuvayar, wrote a shorter anthology, Kurundirattu, that contained about half the number of verses. Krishnadevaraya patronised the Tamil Vaishnava poet Haridasa whose Irusamaya Vilakkam was an exposition of the two Hindu systems, Vaishnava and Shaiva, with a preference for the former.

Notable among secular writings on music and medicine were Vidyanarya's Sangitsara, Praudha Raya's Ratiratnapradipika, Sayana's Ayurveda Sudhanidhi and Lakshmana Pandita's Vaidyarajavallabham.

4.8.6 Architecture

Vijayanagara architecture is a vibrant combination of the Chalukyan, Hoysalan, Pandyan and Cholan styles, idioms that prospered in previous centuries. Its legacy of sculpture, architecture and painting influenced the development of the arts long after the empire came to an end. Its stylistic hallmark is the ornate pillared Kalyanamantapa (marriage hall), Vasanthamantapa (open pillared halls) and the Rayagopura (tower). Artisans used the locally available hard granite because of its durability since the kingdom was under constant threat of invasion. While the empire's monuments are spread over the whole of Southern India, nothing surpasses the vast open air theatre of monuments at its capital at Vijayanagara, a UNESCO World Heritage Site.

4.9 SUMMARY

The word Sangam has most likely been derived from the Indo-Aryan word Sangha, which means an assembly. This word was usually used for Buddhist and Jain monks. Roughly around 470 C.E an academy called Dravida Sangha was established by a Jain called Vajranandi. According to the Puranas, Simukha was succeeded by his brother Kanha or Krishna. His accession to the throne in spite of Simukha having a son led Rapson and other scholars to believe that he was an usurper. Gautamiputra was succeeded by his son Pulomavi. During his rule pressure from the Sakas from the north-west increased and the Satavahana empire began to disintegrate in the west and north. Pulomavi concentrated more on his eastern possessions in coastal Andhra. The Andhra Satavahanas ruled for four centuries and a half in the Deccan. During their rule

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they came into contact with their neighbouring kingdoms, the prominent of which was that of the Western Kshatrapas.

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4.10 KEYWORDS

The Sangam Age: The Sangam Age in India witnessed the rapid development of literary works in the southern regions. The literature that was created during this time came to be known as Sangam literature. The great poets, writers, etc. of this age have left behind invaluable accounts of brilliant literature that continue to enthrall historians and scholars.

Status of Women in Sangam Age: The Sangam literature describes the position of women in ancient Tamil society. In the Sangam Age, women were treated with special consideration. The natural feminine qualities such as Achcham, Madam and Naanam were insisted in the Sangam literature. Their most important virtue was chastity.

Satavahana: The government of the Satavahana kingdom was organized on the traditional lines. The kingdom was divided into Janapadas, which were further sub-divided into aharas. Each ahara was under an Amataya. The basic unit of the ahara was the grama with the village head called gramika. Central control was maintained over the provinces. Princess was generally made viceroys. And the kings did not assume high-sounding titles. They were expected to maintain dharma.

Fine Arts: The Sangam Tamils had also established their greatness in fine arts. They developed the concept of Muthamizh iyal, Isai and Naatakam. The Paanars or bards were experts in music. They moved from place to place, singing bards in praise of kings and local chieftains.

Early Pallavas: The history of the early Pallavas has not yet been satisfactorily settled. The earliest documentation on the Pallavas is the three copper-plate grants, belonging to Skandavarman-I and written in Prakrit. Skandavarman appears to have been the first great ruler of the early Pallavas, though there are references to other early Pallavas who were probably predecessors of Skandavarman.

4.11 REVIEW QUESTIONS

1. Discuss about sangam age.
2. What were Satavahanas relations with the western kshaatrapas?
3. Explain about pallavas administration.
4. Discuss administration of cholas.
5. Explain in detail Rashtrakutas
 - Art and Architecture
 - Economy
 - Society
 - Literature
6. What were economic, religious conditions of Kakatiyas?
7. Explain art and architecture of Kakatiyas?
8. Discuss Vijayanagara empire economy, culture, religion, literature and architecture.

UNIT 5

A BRIEF POLITICAL SURVEY OF SOUTH INDIA

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Structure

- 5.0 Aims and objectives
- 5.1 Invasion of Arabs
 - 5.1.1 Significance
 - 5.1.2 Causes for the Arab Invasion of India
- 5.2 Ghaznavids
 - 5.2.1 Political Challenges and his Death
- 5.3 Ghori foundations of muslim rule in india
- 5.4 Delhi Sultanates
 - 5.4.1 Administration
 - 5.4.2 Government
 - 5.4.3 Society
 - 5.4.4 Religion
 - 5.4.5 Literature
 - 5.4.6 Art and Architecture
- 5.5 Industry and Trade
- 5.6 Downfall of the delhi sultanate
 - 5.6.1 Hindu-Muslim Contacts
- 5.7 Summary
- 5.8 Keywords
- 5.9 Review questions

5.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Description of Arban's invasion.
- About the political and administration of Delhi sultanate.
- Description of Ghaznavids and Ghoris.
- Explanation of agriculture, Industry, Trade and Commerce.

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5.1 INVASION OF ARABS

The establishment of Arab rule in Sind in 712 A.D. was preceded by a number of efforts to penetrate India. The first military expedition was sent to Tahan near Bombay in 637. More were sent in the coming years against Broach and Debal. The view that the Arabs indeed were not interested in territorial acquisition till the ruler of Sind in 700 A.D. provoked them, is not accepted by the book 'A Comprehensive History of India'. This book relies on the authority of Baladhuri, who is regarded as the most reliable authority on the subject. According to the book, the Arabs made systematic inroads on the three kingdoms of Kabul, Zabul and Sind. Very often the first two were united in resisting the aggression of the Arabs. Baladhuri says that after 650 A.D. the Arabs entered India. One more expedition was sent by the Caliphate of Ali to conquer Kabul but was frustrated. Another attempt was made in 698 A.D., which was still less successful. The weakness of the Arabs was undoubtedly due to internal troubles and weakness of the Caliphate during the last days of Umayyids, but after the establishment of powerful Abbasid Caliphate the earlier designs were repeated. Kabul was conquered but again escaped from the control of the Caliphate. Zabul was conquered only in 870 A.D.

Although both Kabul and Zabul succumbed to Islam the heroic resistance they offered checked the spread of Islam into the Subcontinent. Few countries in the world, that too small principalities like these, have defied the arms of Islam so bravely and for so long 2000 years.

Good number of details are found regarding the history of Sind in the 7th Century A.D. in Chachnama, a Persian translation of an old Arabic history of the conquest of Sind by the Arabs. An expedition of the Arabs was sent against Debal some time before 643 A.D. Baladhuri speaks of Muslim victory but Chachnama says that the Muslims were defeated. The conquest of Sind was abandoned for some time. When then new Caliph Uthman attempted to conquer, he too left it after a setback. During the days of Caliphate of Ali, a well-equipped Muslim Army came along the land route. According to Baladhuri, the Muslims were put to rout. After this, a series of expeditions were sent to conquer an outpost of Sind, which all ended in failure.

The Arabs resumed their aggression against Sind only after 705 A.D. An Arab ship fell in the hands of pirates near Debal. A Muslim governor demanded their release and also the arrest of the pirates. It appears, Dehar refused to oblige. As a matter of fact, the governor for Iraq was appointed for both the areas of Hindi and Sind. For long time the Arabs chafed at their failure to conquer Sind. Thus, the governor Hajja merely seized the policy as a pretext to defeat and conquer Sind.

After making elaborate preparation, Mohammad-Bin-Kasim, the son-in-law of Hajjaj, was sent with a well equipped army. He advanced to Makran and laid siege to Debal in 711 A.D. The capital was captured then, Muhammad advanced along the Indus to conquer the whole area. It appears that very often treachery led to the Arab conquest of Sind. Muhammad advanced against Multan and succeeded in capturing it. According to Chachnama, Muhammad himself advanced to the frontier of Kashmir.

The triumph and career of Muhammad was suddenly cut short by political changes at home. Since the new Caliph was the sworn enemy of Hajjaj, Muhammad was taken prisoner, insulted and tortured to death.

This development made Jaisimha, the son of Daher, to re-occupy Bahmansbad. The Caliph sent an army to subdue the rebels. They even parleyed with Jaisimha. Junaid, the Governor of Sind, defeated Jaisimha and took him prisoner. Thus ended the dynasty of Daher and the independence of Sind.

The comparatively easy conquest of Muhammad, son of Kasim, should not make us forget the long resistance offered by Sind to the Arabs.

Later, Junaid sent several expeditions to the interior of India. They were signally defeated by the Pratihara king Nagabhata - I Pulakesin, the Chalukya chief of Gujarat, and probably also by Yasovarman. These defeats forced the Arabs to confine themselves to Sind. The Arabs lost control of Sind during the last years of Umayyids. The Abbasid Caliphs once again started to re-establish their power in Sind. A claim was made. The Arabs once again conquered Multan and Kashmir but the evidence shows that Lalitaditya thrice defeated the Arabs. It was sometime between 800 and 830 A.D. that the Arabs fully re-conquered the lost areas. It was during this period that the Arabs forces probably advanced as far as Chittor but the resistance offered by Indian kings probably forced them to retreat.

After the collapse of the Abbasid power, Sind became virtually independent and was divided into two independent states. Neither of them could become powerful.

5.1.1 Significance

It is no longer believed that the Arab conquest of Sind was a mere episode in the history of India. What this event reveals is the sea change that came over Hindu Civilisation by 1000 A.D. A few Muslim traders earlier settled in the Malabar region. But the might of Islam was experienced in Sind. This challenge was met by rulers of the day. It is now well-known that the political ambitions of the successors of Muhammad-bin-Kasim were checkmated by Lalitaditya, Bhoja and a few other rulers. This particular resistance bears testimony to the political consciousness of the day. It is this consciousness that was totally absent in India when Mahmud of Ghazni raided the country and soon he was followed by Ghoris who succeeded in establishing Islamic rule in India. It is surprising to note that when the Sahiyas checkmated the Arab penetration in the north-west and rulers within India contained the penetration of Arabs in Sind, no concerted efforts were made by Indian rulers after 1000 A.D. to defeat the invaders except for the first battle of Tarain to some extent. Instead, we hear that Hinduism retreated into its own shell, a fact sharply revealed by the observations of Alberuni.

Apart from this significance, the Arab rule in Sind led to interaction between two cultures. It is held by some historians that Sind was the birth-place of latter-day Sufism which in turn occasioned the emergence of the famous bhakti cult in the Middle Ages.

Apart from this consequence, the Arab conquest of Sindh also led to the transmission of Indian culture-Panchtantra and scientific lore of ancient India like the digital system and knowledge of medicine. It is to be kept in mind that after the collapse of the Roman empire intellectuals began to gather in Baghdad, meaning city of god in Sanskrit. The intellectual speculations that the city facilitated by the interaction of Greek and Roman heritage with that of the Indian lay at the base of the Renaissance movement in Europe in the 16th century. "We know definitely from Masudind Ibn Hauqal that Arab settlers live side by side with their Hindu fellow-citizens for many years on terms of amity and peace, and Amir Khusrav mentions that the Arab astronomer Abu Mashar came to Benaras and studied astronomy there for ten years.

Finally, the significance of the Arab conquest of Sind lies in the tolerance that was shown to Hinduism by Islam. Although jaziya was collected, the Arab governors chose to leave Hindu religious practices untouched. What India witnessed after the invasion of Mahmud of Ghazni was not Islamic influence as pioneered by the Arabs but central-Asian culture of the Turkish, nomads who carried the banner of Islam. In other words, what the history of Arabs in Sind conveys is the fact that persecution of other religions was not the avowed doctrine of Islam.

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5.1.2 Causes for the Arab Invasion of India

The chief causes for the Arab invasion of India were (1) *Political ambition*, (2) *Religious zeal*, (3) *Economic greed*, (4) *Immediate cause-plunder of Arab ships at Debal in Sind by pirates*.

Political Ambition: The martial spirit infused by Islam compelled the Arabs to establish their suzerainty in new lands. That is why after the conquest of Egypt, Syria, Persia, they coveted India. as such the Arab invasion of Sind was only a part of their world wide conquest.

Religious Zeal: The religious zeal of the Arabs to spread their new faith 'Islam' to distant lands was the potent cause for the invasion of India. It was with this aim, that the Caliphs viz., Omar and Osman sent two expeditions, one in 636-37 A.D. against Thana (near Bombay) and another in 643-44 against Broach and Debal. These expeditions ended in a failure. However at the beginnings of the 8th Century A.D. they conquered Makran or Baluchistan and made it as a base for future conquest. As said by Lane-poole, another cause for the conquest was the *temptation of wealth*. The fabulous wealth of India attracted the Arabs to plunder it.

Immediate Cause-Plunder to Arab Ships at Debal in Sind by Pirates: The immediate cause for the invasion of Sind was the plunder of Arab ships carrying some Muslim women and presents sent by the king of Ceylon to Khalifa (Walid) of Baghdad and Hajjaj, the Governor of Persia at the port of Debal in Sind by pirates in 708 A.D. Hearing the news, Walid demanded reparations from Dahir, the ruler of Sind. Dahir refused to meet their demand on the grounds that port of Debal was not under his control and he had no control over the pirates. Enraged by this reply the Khalifa ordered Hajjaj to invade Sind and punish the infidellers.

Condition of Sind: On the eve of Arab invasion, Sind was ruled over by Dahir, a Brahmin ruler of Chacha dynasty. Alor was the capital of Sind. The population of Sind was mostly Buddhists by religion. The religious intolerance and mis government of Dahir created a lot of discontent among the people. The provincial chiefs became independent.

Early Attempts of the Conquest of Sind: At first Hajjaj sent two expeditions under the command of Ubaidullah and Budail to deal with Dahir. But Dahir drove away them. Ashamed by this failure, Hajjaj sent third expedition under the command of his own son-in-law, Mahammad Bin Qasim, an young man of seventeen years.

Conquest of Sind by Qasim 712 A.D.: Qasim's invasion of Sind is one of the romances of history. Marching through Persia and Baluchistan, Qasim reached Debal in 712 A.D. and stormed it. Next he captured Nerun, Sehwan and Siam. At this juncture the nobles of Dahir (Mokah and his brother), the Buddhists and Sindhi Jats treacherously invited Qasim and helped him in crossing the river Indus. Then a pitched battle was fought at Rewar between Qasim and Dahir on 20th, June, 712 A.D. In the battle Dahir was killed and his queen Ranibai performed jauhar. His two daughters viz., Parimal Devi and Suraj Devi were captured and sent as presents to the Calipha by Qasim. After his victory over Dahir, Qasim occupied Brahmanabad and Alor, the capital of Sind. Thus the conquest of Sind was completed.

Afterwards Qasim captured and plundered Multan in 713 A.D. which was called by Arabs as *the city of Gold*. Next Qasim planned an attach on Kanuj. In the meanwhile Hajjaj and Walid died. The new Khalifa was an enemy of Hajjaji's family. Hence Qasim was recalled to Persia and put to death in 716 A.D. According to Chachnama, his death was brought about by two revengeful daughters of Dahir.

Causes for the fall of Sind: (1) The weakness and unpopularity of Dahir. (2) Religious intolerance of Dahir, (3) The treacherous act of the nobles of Dahir viz., Mokah, his

brother and Buddhists. (4) Geographical isolation of Sind etc., were responsible for the fall of Sind into the hands of Arabs.

Sind after Qasim: After the death of Qasim, Arabs failed to consolidate their power at Sind. Taking advantage of the Abbasis Revolution in 750 A.D. the governors of Sind became independent. By the beginning of the 11th century A.D. Mahammad of Ghazni conquered Sind and put an end to the Arab rule. The failure of the Arabs to consolidate their position were: (a) Death of Qasim, (b) Mutual jealousies among the Caliphas. (c) Entry from wrong quarter i.e., the barren condition of Sind. (d) Superiority of Hindu culture. (e) Rigid caste rules of the Hindu society. (f) Rise of powerful Rajput states like Gurjara Pratiharas. (g) Lack of proper means of transport and communication etc.

Effects of the Arab Conquest of Sind

- 1) According to **Lane-poole**, *it was an episode in the history of India and Islam, a triumph without results*. This statement is correct, since the Arabs neither held Sind permanently nor penetrated into the heart of the country. Further they failed to transform this country into a land of Islam. The Arabs instead of persecuting Hindus, granted religious freedom and satisfied by collecting Jiziya. Moreover some of the Arabs married Hindu women and were absorbed into Hindu society. Further they left no legacy in the form of buildings, customs or language.

However the Arab conquest of Sind yielded far reaching results. They were:

- 2) It exposed the weakness of India to the world. The result was the recurring of foreign invasions and the fall of India into the hands of Muslims.
- 3) It led to the spread of Islam in India.
- 4) The expedition proved that Sind was a wrong quarter to proceed with the task of the conquest of India.
- 5) Trade and commerce flourished between India and Arab world.
- 6) The Hindus failed to learn the lessons of History. Even after the Arab conquest of Sind, the Hindus neither united to drive away Arabs nor prepare themselves to defend the country from the future Islamic invasions of Mahammad of Ghazni and Ghor.
- 7) In the cultural field the Arabs learnt a lot from Indians. It was said, *"a great many of the elements of Arabian culture which afterwards had such a marvellous effect upon European civilization has borrowed from India"*. The Arabs learnt Astronomy Mathematics, Philosophy and Medicine from the Hindus. A large number of Hindu books like, *Brahmasiddhanta*, *Charakasamhita*, *Panchatantra* etc., were translated into Arabic. Many Indian scholars were patronized by the Caliphas. For ex: Two indian scholars viz. Manka and Saleh were the court physicians of Calipha *Harunal Rashid*. In fact it was through Arabs that indian culture made its way to continent of Europe.

Conclusion: In view of these far reaching effects, we have to say that the Arab conquest of Sind was an episode in the history of India.

5.2 GHAZNAVIDS

Mahmud of Ghazni (October 2, 971 – April 30, 1030 C.E.), also known as Yamin ad-Dawlah Mahmud, was the ruler of the Ghaznavid Empire from 997 C.E. until his death. Mahmud turned the former provincial city of Ghazni into the wealthy capital of an extensive empire which included modern-day Afghanistan, Pakistan, most of Iran and parts of northwest India. He was also the first ruler to carry the title Sultan. He is remembered

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as a hero of Islam by some, as a defiler of Hindu, Jain, and Buddhist shrines by others (this legacy may have contributed to the destruction of ancient Buddhist shrines by the Taliban in Afghanistan in 2001, although other Muslims opposed this destruction). In any case, in the long run, no believer will be proud of historical attacks or destruction of other people's religion and sacred places. By establishing Muslim rule over a substantial part of the Indian sub-continent, he permanently changed the nature of sub-continental politics, religion, and culture. Arguably, the partition of India into the Muslim majority and Hindu majority states of Pakistan and India in 1947, was a consequence of Mahmud of Ghazni's military success.

Lineage

Mahmud's grandfather was Alptigin, a Turkic slave-guard of the Samanids, in Balkh, who crossed the Hindu Kush mountains to seize Ghazni from the declining Samanid Kingdom, located strategically on the road between Kabul and Kandahar. Alptigin was succeeded in 977 C.E. by his slave and son-in-law Sabuktigin, who enlarged upon Alptigin's conquests, extending his domain north to Balkh, west to Kandahar and Khorasan province, and east to the Indus River. According to Ferishta, Mahmud's mother was a Persian noble from Zabulistan although, this information contradicts Ferdowsi's satire of Mahmud for "being descended from slaves on both maternal and paternal side."

Sabuktigin was recognized by the Caliph in Baghdad as governor of his dominions. Sultan Alptigin died in 997 C.E., and was succeeded by his younger son, Sultan Ismail of Ghazni. Mahmud rebelled against his younger brother, Sultan Ismail of Ghazni, and took over the Ghazni as the new Sultan.

Military Campaigns

In 994 C.E., Mahmud was engaged with his father, Sabuktigin, in the capture of Khorasan from the rebel Fa'iq in aid of the Samanid Emir Nuh-II. During this period, the Samanid state became highly unstable, with shifting internal political tides as various factions vied for control, chief being Abu'l-Qasim Simjuri, Fa'iq, Abu Ali, the General Behtuzun, as well as the neighboring Buyid and Qarakhanids.

Consolidation of Rule

Sultan Mahmud's first campaign was against the Qarakhanid empire in the north to his empire. After his defeat, he had to enlist the alliance of Seljuk Turks in southern Soghdia and Khwarazm and diplomatically secure his northern border by 998 C.E. In 999 C.E., under the reign of 'Abdal-Malik-II, the Samanids engaged in hostilities with Mahmud over Khorasan after political alliances shifted under a new Samanid Emir. These forces were defeated when the Qarakhanids under Nasr Khan invaded them from the north even as Fa'iq died. He then solicited an alliance and cemented it by marrying Nasr Khan's daughter.

The Multan and Hindu Shahi Struggles

Mahmud's first campaign to the south was against the Ismaili Fatimid Kingdom at Multan in a bid to curry political favor and recognition with the Abbasid Caliphate engaged with the Fatimids elsewhere. Raja Jayapala of the Hindu Shahi Dynasty of Gandhara at this point attempted to gain retribution, for earlier military defeats at the hands of Ghazni under Mahmud's father in the late 980's, that had lost him extensive territory, and is defeated once more. His son, Anandapala, succeeded him and continued the struggle, assembling a powerful confederacy which was defeated once more at Lahore, in 1008, bringing him control of the Hindu Shahi dominions of Updhanpura.

There is considerable evidence from writings of Al-Biruni, Soghdian, and Uyghur and Manichean texts that the Buddhists, Hindus, and Jains were accepted as People of the Book and references to Buddha as Burxan or as a prophet can be found. After the

initial destruction and pillage Buddhists, Jains and Hindus were granted protected subject status as dhimmis.

Condition of India on the Eve of Mahammad's Invasion

On the eve of Mahammad's invasion, India was split up into number of independent states. Lacking unity, these states were indulged in mutual wars.

- (1) There were two Arab kingdoms in Sind, one at Multan and the other at Mansurah.
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- (3) Kashmir was ruled over by the Lohara dynasty. Sanramaraja was its ruler.
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- (7) Gujarat was ruled over by Bhima of Solanki dynasty with Anhhilwad as the capital.
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Mahammad & His Invasions (998-1030 A.D.): Mahammad was a mighty conqueror, a fierce and fanatical Muslim and a greedy fellow. The calipha recognized his sovereignty and conferred on him the titles, "*Yamin ud doula*" and "*Amin-ulMullah*". He assumed the tile "Sultan", the first muslim ruler to hold such title. According to his court historian, Urbi, he took the sacred vow to wage Holy war or jihad on the infidels on the coronation day.

Causes for the Mahammad's Invasion of India

Mahammad's invasion of India was purely religious and economic and not political.

Religious zeal

Even though scholars like Habib, Nazim etc. did not attribute the invasion to religious fanaticism but there are strong grounds to believe that his raids were missionary. This is evident not only by the destruction of Hindu temples but also by the account of his court historian Utbi.

Plunder the Riches of India

Mahammad had insatiable thirst for wealth. To quote **Dr. Iswari Prasad**, *All that Mahammad wanted was the vast wealth which India possessed, and this was obtained, he returned to Ghazni, unmindful of annexation.* According to **E.B. Havell**, *he would have sacked Baghdad with little compunction (or regret) as he plundered Somnath, if that undertaking had seemed as profitable.*

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Invasions of Arabs, Ghaznavids and Ghoris and Delhi Sultanate

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- 4) In the fourth expedition (1006 A.D.), he attached Multan, imprisoned its ruler Fateh Daud and annexed it. Later he appointed Sukhapala, the grandson of Jayapala as its ruler and made him to embrace Islam. After the departure of Mahammad, Sukhapala renounced Islam and rose in revolt.
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- 11) The next two expeditions (fourteenth and fifteenth 1019 A.D.) were directed against Chandella kingdom of Bundelkhand. The Chandella king bravely fought against Mahammad. Though Mahammad ravaged the Chandella kingdom, but he could not subjugate Vidyadhara. Vidyadhara was the only king whom the Sultan could not subjugate.
- 12) The sixteenth expedition undertook in 1026 A.D. against Somanath temple in Kathiawar was famous of all the expeditions of Mahammad. Somanath was one of the richest holy shrines of India. It had ten thousand villages as endowments. It consisted of one thousand Brahmins, five hundred dancing girls and two hundred musicians. In the conflict that ensued Mahammad defeated Bhimadeva of Aahilwad killed about 5000 Hindus and plundered the temple. The linga in the temple was broken and its pieces were sent to Mecca, Madina and Ghazni.
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- 1) The Hindu Shahi kingdom of Punjab, the Arab kingdom of Multan and Mansurah and the Gujarapratihara kingdom of Kanuj came to an end.
- 2) Though Mahammad did not aim at the permanent conquest of India but his expeditions resulted the annexation of Punjab. As such Punjab served as the key to unlock the gates of the India interior.

- 3) His expeditions drained the wealth of India. to quote *Smith*, “he was a bandit”.
- 4) It exposed the inherent weakness of the Rajputs viz., their mutual quarrels, lack of common feeling, etc., To quote **Lane-poole**, “*has proved the undoing of India again and again*”. This weakness prompted the Turks to conquer India.
- 5) By destroying the military might of the Rajputs by his repeated expeditions, he paved the way for the foundation of Delhi Sultanate or Muslim empire in India.
- 6) As a result of the destruction caused by his raids, various rare works of art and architecture and many scriptures vanished from India for ever.
- 7) Lastly, his invasions led to the popularity and spread of Islam in India.

Estimate

Mahammad was not only a great military genius but also a great lover of learning and art. Though illiterate, he patronized a galaxy of eminent poets and scholars. According to **Lane-poole**, *Napolean imported the choicest works of art from the countries he subdued to adore Paris, Mahammad did better, he brought the artists and the poets themselves to illuminate his court*”. Among the prominent scholars and poets that adorned his court were: (a) Alberuni, a great astronomer and Sanskrit scholar, (b) Utbi, the historian, (c) Farabi, the philosopher, (d) Unsari etc. The most famous of all the poets of the age was Firadausi, the Persian Homer. His work *Shahnamah* narrates the heroic deeds of Mahammad. Mahammad established a college at Gazni and promoted learning. He adorned Ghazni with fine buildings, and mosques. To conclude in the words of **Dr. Isari Prasad**, He is born leader of men, a just and upright ruler, an intrepid and gifted soldier, a dispenser of justice, a patron of letters and deserves to be ranked among the greatest personalities of the world”.

Indian Campaigns

Following the defeat of the Rajput Confederacy, Mahmud then decided to teach them all a lesson for combining against him and soon found out that they were rich and that the temples were great repositories of wealth, he then set out regular expeditions against them, leaving the conquered kingdoms in the hands of Hindu vassals, annexing only the Punjab region. He was also on record for having vowed to raid Hind every year.

Mahmud had already had relationships with the leadership in Balkh through marriage, its local Emir Abu Nasr Mohammad, offered his services to the Sultan and his daughter to Mahmud’s son, Muhammad. After Nasr’s death, Mahmud brought Balkh under his leadership. This alliance greatly helped him during his expeditions into Northern India.

The Indian kingdoms of Nagarkot, Thanesar, Kannauj, Gwalior, and Ujjain were all conquered and left in the hands of Hindu, Jain, and Buddhist Kings as vassal states and he was pragmatic enough not to shirk making alliances and enlisting local peoples into his armies at all ranks. The later invasions of Mahmud were specifically directed to temple towns as Indian temples were depositories of great wealth, in cash, golden idols, diamonds, and jewelery; Nagarkot, Thanesar, Mathura, Kanauj, Kalinjar, and Somnath. Mahmud’s armies routinely stripped the temples of their wealth and then destroyed them. Varanasi, Ujjain, Maheshwar, Jwalamukhi, and Dwarka.

Controversy

It is also noted that Ghazni reveled in being renowned as an iconoclast. He is also frequently criticized for his desecration of temples and has been called a bloodthirsty tyrant and robber as well as being accused of persecution for the nature of his expeditions, in the Indian sub-continent, which were marked by a large baggage train of slaves as plunder and has led to the accusation that he attempted to convert non-Muslims by force. Holt and Lewis state that “he shed no blood except in the exigencies of war,” and

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was tolerant in dealings with his own Hindu subjects, some of whom rose to high posts in his administration, such as his Hindu General Tilak. However, there is little proof to authenticate or corroborate these stories.

5.2.1 Political Challenges and his Death

The last four years of Mahmud's life were spent contending with the influx of Oghuz Turkic horse tribes from Central Asia, the Buyid Dynasty, and rebellions by Seljuqs.

Sultan Mahmud died on April 30, 1030. His mausoleum is located at Ghazni (in modern Afghanistan).

Mahmud's campaigns seem to have been motivated by religious zeal against both the Fatimids Shiites and non-Muslims: Buddhists, Jains, and Hindus. His principal drive remained the Shiites, Buyid Iran, as well as favor and recognition of independence from the Abbasid Caliphate. The wealth plundered from the Rajput Confederacy and his Indian campaigns went a long way towards meeting those ends. By 1027, Mahmud had accomplished this as well as capturing most of Pakistan and North Western India as well as obtaining formal recognition of Ghazni's sovereignty from the Abbasid Khalifah, Al-Qadir Billah, as well as the title of Yameen ud Daula.

Regional attitudes Towards Mahmud's Memory

In Afghanistan, Mahmud is celebrated as a national hero and a great patron of the arts, architecture, and literature, as well as a vanguard of Islam and a paragon of Virtue and piety. In modern Pakistan, he is hailed as a conquering hero who established the standard of Islam upon heathen land, while in India, he may be depicted as a raiding iconoclastic invader, bent upon the loot and plunder of a peaceful Hindu population. Conversion to Islam of the native population has also become a controversial topic with the versions of sword enforced mass conversions vs. inspirational missionary activity. Over the past century, with the rise of Hindutva and the partition of India, a lot more attention has been focused on casualties, temple destructions, slavery, and forced conversions to Islam than before. This controversy has been further stoked by the depictions of the historical Mahmud as either a hero or a villain by the polarization of nationalist or ideological orientations.

Iranians remember him as an Orthodox Sunni who was responsible for the revival of the Persian culture by commissioning and appointing Persians to high offices in his administration as ministers, viziers and generals. In addition Iranians remember him for the promotion and preference of Persian language instead of Turkish and patronage of great nationalist poets and scholars such as Ferdowsi, Al-Biruni, and Ferishta as well as his Lion and Sun flag which is still a national symbol in the modern state of Iran.

Relationship with Ayaz

It is related that Mahmud fell in love with a young male slave by the name of Ayaz. The love he bore his favorite, and the latter's devotion, became a staple of Islamic lore, emblematic of ideal love affairs. The Sultan, in later love poetry was transformed into a symbol of "a slave to his slave." Ayaz became the paragon of the ideal beloved, and a model of purity in Sufi literature.

In 1021, the Sultan raised Ayaz to kingship, awarding him the throne of Lahore. The poet Sa'adi was among those celebrating the two. "Under the Turkish Ghaznavid, Seljuk, and Khawarazmshah rulers of Iran in the eleventh and twelfth centuries, pederasty was quite common in courtly circles."

Legacy

Under his reign, the region broke away cleanly from the Samanid sphere of influence and hastened their end. While he nominally acknowledged the Abbasids as Caliph as a

matter of form, he was also granted the title Sultan as recognition of his independence. By the end of his reign, the Ghaznavid empire extended from Kurdistan in the west to Samarkand in the northeast, and from the Caspian Sea to the Yamuna. Although his raids carried his forces across Indian sub-continent, only the Punjab and Sindh, modern Pakistan, came under his permanent rule. Kashmir, the Doab, Rajasthan, and Gujarat remained under the control of the local vassal Rajput dynasties.

The wealth brought back to Ghazni was enormous, and contemporary historians (for example, Abolfazl Beyhaghi, Ferdowsi) give glowing descriptions of the magnificence of the capital, as well as of the conqueror's munificent support of literature. He transformed Ghazni the first center of Persian literature into one of the leading cities of Central Asia, patronizing scholars, establishing colleges, laying out gardens, and building mosques, palaces, and caravansaries. He patronized Ferdowsi to write the *Shahnameh*, and after his expedition across the Gangetic Plains in 1017, of Al-Biruni to compose his *Tarikh Al-Hind* in order to understand the Indians and their beliefs.

On April 30, 1030, Sultan Mahmud died in Ghazni, at the age of 59 years. Sultan Mahmud had contracted malaria during his last invasion. The medical complication from malaria had caused lethal tuberculosis. He had been a gifted military commander, and during his rule, universities were founded to study various subjects such as mathematics, religion, the humanities, and medicine. Islam was the main religion of his kingdom and Hanafi school thought was favored. The Perso-Afghan dialect Dari was made the official language.

The Ghaznavid empire was ruled by his successors for 157 years, but after Mahmud it never reached anything like the same splendor and power. The expanding Seljuk Turkish empire absorbed most of the Ghaznavid west. The Ghorids captured Ghazni C.1150, and Muhammad Gori captured the last Ghaznavid stronghold at Lahore in 1187. The Ghaznavids went on to live as the Naser-Khans in their home of Ghazni until the twentieth century.

Pakistan today has named one of its medium-range missiles in honor of him.

Invasion of Mahammad Ghazni

After the Arabs, the Turks undertook the conquest of India. Taking advantage of the weakness of the Abbasid Caliphas, the Turks rose to power and became the masters of a vast empire from Egypt to Samarkhand. One of the Turkish Governors by name Alptajin carved out an independent state at Ghazni in Afghanistan in 962 A.D. His son-in-law and successor Sabuktigin 977-997 A.D. defeated the Hindu confederacy headed by Jaipala of Punjab and occupied Peshawar and Lamghan (Jalalabad). Sabuktigin was succeeded by his son Mahammad.

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5.3 GHORI FOUNDATIONS OF MUSLIM RULE IN INDIA

Sultan Shahab-uddin Muhammad Ghori, also known as Muizzuddin Muhammad Bin Sam, was born in 1162 in a small region of Ghor located in the mountains between the old Ghaznavid empire and Seljuk dynasty situated in the western part of the then Ghaznavid Empire. In the present times, the latter is known as Central Afghanistan. Unlike his predecessor Mahmud of Ghazni, Muhammad Ghori remains significant in the medieval history of India for his number of conquests as well as laying the foundation for Muslim rule in India as it was his slave Qutb-uddin Aibak who was the founder of the first Turkish rule in India in the following years.

Early Life of Muhammad Ghori

Born as the younger brother of Ghiasuddin and son of Sultan Bahaudin Suri in the region of Ghor, Muhammad Ghori began his carrier as a general who assisted his brother for his conquests in the west. It was only after re-conquering the city of Ghazna and assisting his brother for his expedition towards the Khwarezmid empire to gain the control over area of Khorasan that Muhammad Ghori turned his attention towards India in the east. Besides being a strategic warrior he also had a lot of interest towards art and culture where he patronised scholars like Fakhr-ud-din Razi and Nizami Uruzi. However, his greatest success was the establishment of the Turkish Empire in India which added a fresh chapter in the Indian history.

Muhammad Ghori's Rise to Power

Muhammad Ghori came to power only after he re-captured the city of Ghazna from the Oghuz Turks. In 1173 AD he finally brought an end to the Ghaznavid Empire and began the new era of Ghorid Empire in which he himself was the governor while made Ghiasuddin the Sultan. It was only after the death of his brother that Shahab-ud-din Muhammad Ghori himself came to power as the Sultan. Muhammad Ghori's initial challenge was the old Ghaznavids. A major crisis which was by faced by the Ghorids was that due to heavy taxes they became quite unpopular among their local people .Also the source of income was also coming to scarcity. This forced Muhammad Ghori to search out new sources of income this diverts the attention of Ghori towards India which had been the richest country in the subcontinent.

Muhammad Ghori's Invasion of India

Muhammad Ghori began his expedition by first capturing Multan in 1175 AD and then building a fort in Uch. Muhammad's first battle was against the Muslim rulers of Multan in 1175 AD in which he came victorious. After his victory over Multan he turned to the south where he captured the region of Uch and established his base by building a fort in 1178 and proceeded towards Gujarat where he had a different fate.

His next big encounter was with Gujarat popularly known as the Battle of Kayadara

in 1178. In his battle of Kayadara Muhammad had to suffer severe defeat from Naikidevi who controlled the command of the Gujarat army. The state of Gujarat was under the rule of Raja Bhimdev-II who due to his young age and inexperience had to take his mother under confidence. The battle of Gujarat gave a serious jolt to Muhammad Ghori who now took it as an experience to learn more. In the process now onwards whenever Ghori faced some defeat he would remove it only to win in near future. In case of Gujarat however he could never win rather humiliation was to large that he never went to Gujarat a second time till it was his deputy Qutub-ud-din Aibak who invaded Gujarat a second time and could establish his authority thought the area was not annexed to Delhi Sultanate.

Muhammad Ghori's next invasion was over Lahore which he captured in 1181 and constructed a fort at Sialkot. Muhammad's army then proceeded towards the city of Lahore which was the capital of old Ghaznavid empire. By capturing Lahore he brought the remaining of Ghanavid empire to an end and included the rest of Ghaznavid region under Ghorid rule in 1181. Muhammad's army then proceeded towards the northern part of India when they confronted the army of Prithviraj Chauhan and other Hindu rulers who could defeat Muhammad's army in the First Battle of Tarain in 1191 AD but had to face severe end in the Second Battle of Tarain in which Ghori came back more vengeance in 1192.

Battles with Prithviraj Chauhan

It was in 1191 AD when Ghori's army of 120,000 men was proceeding towards Punjab through Khyber Pass, was confronted by the army of Hindu rulers under the commandership of Prithviraj Chauhan and other Hindu allied rulers comprising of 200,000 men. Prithvi's army under the command of his general Govind Raj rushed to defend the boundaries of their territories and restricted the invader on the land of Tarain near Thanesar in the present Haryana approximately 150km north of Delhi. The Battle of Tarain was mainly regarded as a strategic warfare in which Ghori's army was mainly divided into three flanks left, right and center, while Prithviraj's army mainly fought with elephant cavalry which was totally unknown to Ghori's army. This brought a sudden jerk to Ghori's army. Although Ghori's army faced severe defeat yet it did not get demoralised and came back to win more vigorously in the simultaneous years.

Muhammad Ghori's ambitions to conquer and defeat Hindu rulers came more vigorously in the second Battle of Tarain in which he now reorganised himself more strongly and strategically. This time his army was divided into five flanks in which one strip of soldiers were kept hidden to attack later. This defeated the Indian army very badly bringing an end to the Hindu rule forever.

Conquests of Muhammad Ghori

Muhammad Ghori with his strategic warfare and ambition to struggle hard made him relevant even after the Battle of Tarain. He and his deputy continued to capture new areas of northern India. After defeating Prithviraj Chauhan's army proceeded towards other regions of Ajmer, Saraswati, Samana, Khoram and Hansi were captured without much difficulty. This brought them near Delhi when Ghori controlled northern parts of Rajasthan and Ganga Yamuna Doab region. With this while Ghori returned to the west to deal with his western frontiers, he left his deputy Qutb-ud-din Aibak to continue his conquests in which he proceeded up to Bengal capturing on his way **Ayodhya** in 1193 reaching the frontiers of Delhi.

Impact of Muhammad Ghori's Invasion on India

Muhammad Ghori who came as an invader in India had been discussed by many scholars from time to time. The impact of Ghori's invasion on India was immense as his invasions

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for the first time proved the weakness of Hindu rulers in securing their territories from foreign invasion. Also for the first time his invasion paved the way for a new dynasty known as the Slave Dynasty. The third impact which is often associated with Ghori's invasion is that it carried the germs of communalism and anti religious feelings towards the non-Islamic religions.

Thus, Muhammad Ghori who came to India in 1175 through Multan, left India after the Battle of Tarain but continued to rule till 1206 till he was assassinated in an upsurge in the western regions of Ghori Dynasty near Jhelum now located in Pakistan. His incessant invasions opened the doors of India to all foreign rulers in future.

5.4 DELHI SULTANATES

The defeat of Prithviraj Chauhan in the second battle of Tarain in 1192 by Shahabuddin Muhammad Ghori inaugurated an era of Muslim rule in India. The sudden death of Muhammad Ghori in 1206 and his failure to specify succession procedures pitted his three slaves Tajuddin Yalduz, Nasiruddin Qubacha and Qutbuddin Aibek against each other.

The period between 1206 and 1526 in the Indian history is known as the "Period of the Sultan Rulers". During this period, rulers belonging to five different dynasties. The Slaves, the Khiljis, the Tughlaqs, the Sayyids and the Lodhis-ruled over India.

5.4.1 Administration

Political Theory of State

The Turkish Sultans in India declared themselves Lieutenant of the faithful i.e., of the Abbasid Caliphate of Baghdad and included his name in Khutba, it did not mean that the Caliph became the legal ruler. The Caliph had only a moral position

Political, legal and military authorities were vested in the Sultan. He was responsible for administration and was also the commander-in-chief of the military forces. He was also responsible for the maintenance of law and justice.

No clear law of succession developed among Muslim rulers. Thus, military strength was the main factor in succession to the throne.

With the exceptions Alauddin Khalji and Mubarak Shah Khalji, all other sultans styled themselves as deputies of Caliph with the title such as Nasir-i-amir ur Momin - assistant of the leader of the faithful or Yamin ul Khalifa i.e. the right hand man of Caliph.

When the Turks conquered the country, they divided it into a number of tracts called Iqtas, which were assigned among the leading Turkish nobles. The holders of the office were called Muqti or Walis. It was these tracts, which later Caliph Province or Subah.

Below the province were the Shiqs and below them the Paragana. We are told that the villages were grouped into units of 100 or 84 traditionally called Chaurasi. The Paragana were headed by Amil.

Central Government

The sultanate of Delhi was a police state, whose strength or weakness depended exclusively on the military powers and personality of its despotic sultan.

The sultan was assisted in the discharge of his function by a number of dignitaries. To begin with the sultans of the slave dynasty constituted four ministers at the top level.

When the sultanate was well-established, two more department heads were raised

to the status of central ministers, viz sadrus-sadur and the diwan-i-qaza

The Commander of the royal army, next after the sultan, the crown prince, and the six or seven dignitaries constituted the nucleus of the council of advisers, called majlis-i-am of majlis-i-khas, which comprised the most trusted and the highest officers of the state.

The wazir, also styled as wakil was the prime minister and his department was called the diwan-i-wizarat. He was the head of the finance department and usually held overall charge of the entire administrative set up.

The head of the army establishment or the ministry of defence was the diwan-i-arz. He was responsible for the organization and the maintenance of the royal army and exercised disciplinary control over it.

The department of correspondence and records of the royal court was called diwan-i-insha; it was held under the charge of a central minister, variously known as the dabir-i-mamlik, dabir-i-khas or amir munshi

The diwan-i-risalat constituted the fourth pillar of the imperial administration of the sultanate. Under the period of slave dynasty, the head of the department was sadrus-sadur, who was primarily a minister for ecclesiastical affairs.

Barid-i-mamlik(intelligence and information);Vakil-i-barbak(royal household); Amir-i-majlis(celebrations & meetings); Amir-i-Shikar(royal hunts);Kotwals(Qazi of metropolis) etc were other important officials of the time.

Economy: India was a prosperous country during the period. We have accounts of the massive amount of wealth Mahmud of Ghazni had made off with, and even invaders post- Sultanate made off with massive loots. However, the state did not follow a coherent economic policy to guide and develop the economy, except for some isolated cases amongst certain kings. Agriculture still remained the major occupation of the people although many industries had now come up in urban and rural areas. India still retained the industrial organization of the past, and the guilds were still active, surviving the sweeping changes that had knocked out other systems. The guilds continued to do useful work and remained an integral part of the economy. Large scale industry to the extent to which we know it today did not exist. Manufacturers dealt directly with traders, although they did do some retail sales at events like fairs. Important industries of the period were, the textile industry especially the manufacture of cotton, woolen and silk cloth, the dyeing industry, the metal, stone and brick work industries and the sugar industries. Other important industries of the period were shoe making, manufacture of arms, scents, liquor amongst many others. Every town would have a market-place where traders and merchants would come together. Fairs were also an important meeting ground. Inns also became popular market places as they were frequented by travelling gypsies who would have various merchandise to sell. Delhi was a very prosperous city and a major commercial centre, in fact it had industries specially catering to its demands.

India had flourishing trade relations and usually operated independent of state control. Sea routes connected her to the distant regions of Europe, China and other countries in the Pacific Ocean. Land routes connected her to Central Asia, Afghanistan, Persia, Tibet and Bhutan. Trade with India was a booming sector and many foreign traders settled down in India giving a cosmopolitan air to its cities. Some even married local women and made India their permanent home. Money lending was also taking place and wealthy bankers were engaged in this sector. Surprisingly, despite the unstable political situations, it was considered a safe sector because of the high level of integrity in India, as recounted by traders and travellers of the period.

India was an important exporter and traders from all over the world came to trade

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gold for a variety of merchandise, like agricultural goods, textiles, herbs etc. India was an important supplier of food to many countries in the Persian Gulf. Currency was also beginning to assume some degree of usage, and coins were being minted and issued during the Sultanate period. The coins circulated throughout the towns of North India. India was an importer of luxury items for the rich as well as animals like mules and horses. Food and goods were generally cheap in the Doab area, although prices during the period varied greatly depending on various factors like shortage or instability. Apparently the prices of commodities were generally low as foreign travellers recount. The villages had become self sufficient and since the needs of the poor were limited, the village was able to produce whatever it needed indigenously. As a result the people in the villages carried on with their routine irrespective of who was the ruler of the country. Every village would have its own craftsmen, weaver, potter, carpenter, metal worker etc, and they catered to most of the village needs. This existence continued uninterrupted until the arrival of the British who completely disrupted the system

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5.4.2 Government

The new entrants brought to India a completely new form of governance. The Sultanate rulers were far more autocratic than any previous Indian ruler. They had an immense amount of freedom and their word was law, though technically they were bound to follow the law of the Quran (the Islamic holy book). The Sultan was able to maintain control of his empire largely through military strength. The Sultan was the commander of the armed forces, the chief law maker and the final court of appeal. These powers essentially meant that he was the supreme controller of the state. Another striking difference between the new kings and previous ones, was that the concept of hereditary monarchy did not exist, a power struggle inevitably broke out. Whoever succeeded would have to have the backing of the nobles, a class of people who were important king makers. Another unique trend in the Sultanate period, which led to so many dynasties and so many kings in a relatively short period, was that if a dynasty was weak, the nobles or generals of the army would overthrow it and set up a new one. Before the Sultanate era, the king was always a member of the royal family, although weak kings were mere puppets in the hands of their nobles. In the Sultanate period however, the nobles would overthrow the ruler and the most powerful amongst them would declare himself Sultan.

Although the Sultan ruled autocratically, it would be impossible for a single man to manage so much. The Sultans of Delhi, right from the beginning of their rule instated a vast administrative machinery to handle the various tasks. None of the departments had much authority and mainly assisted in carrying out the Sultan's orders. The highest officer in the government after the Sultan was the Wazir (chief minister) who looked after the various departments like appeals, military, correspondence, slaves, justice, intelligence, agriculture and pensions amongst others. Each department had a head officer with several subordinate officers. The State also had several officers like an auditor general who looked after the expenditure, an accountant, a treasurer etc. There was also a Chancellor who was responsible for state correspondence and the relation between the court and provincial officials. To achieve this purpose he had agents posted in all corners of the kingdom to keep him informed on any matters of interest to the state. The Sultan also had a council of friends known as the *Majlis-i-Khalwat* who were consulted on important matters regarding the state. The Sultans direct influence was only over a certain radius around the capital. Beyond that the kingdom was divided into several provinces, each with a Viceroy in charge. Each province was essentially a replica of the kingdom, and the Viceroy was a despot who had complete control over his province. He was under the control of the central authority, but such control varied from ruler to ruler and a weak ruler usually led to many provinces declaring themselves independent. In theory, however, the Viceroy was an officer of the king whose job was to administer a province, and the king was free to transfer him to any province he wanted to. The Viceroy was responsible for expenditure of his province, out of which he was paid. The surplus after meeting the costs of his administration was sent to the central exchequer. Often the Viceroy would pocket a part of this surplus, but strong Sultan kings took measures to ensure that such things did not happen. The Viceroy was also required to maintain a militia, which he would have to provide to the Sultan should he require it. The provincial system however never really worked because it was weakened by the general air of intrigue and distrust. Also during certain periods of the Sultanate, the Viceroys had

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hereditary rights, which further weakened the Sultans influence over the area. The system was much like the feudal system of Medieval Europe. Meanwhile village communities remained largely unchanged with the advent of the new system, with the assemblies continuing in most villages. The Sultanate system could however never achieve the great empires of the past or of the future Mughals, because it failed to win the goodwill of the people and the allies. The Sultanate, however, was able to run a fairly efficient system in spite of the various difficulties because of a well developed postal and transport system. The roads were paved with stone and cut across the country, with facilities like rest houses, shops, porter hiring stations etc. for travellers. The post was delivered either on horse or foot, and one could reach almost any village in the empire, though it was not affordable for everyone.

Justice was looked after a *Quazi-ul-Quazat* (Lord chief justice) along with several other judges. Laws were extremely severe during the time, with torture and force widely used to extort confessions. Creditors could take royal assistance in recovering their debts from their debtors. There was also municipal law and economic law (to ensure a fair market). The main source of tax remained revenue from land. There were various other taxes like house tax, grazing tax, water tax etc. Trade duties also were an important source of income. Tax could be paid in either cash or kind. The revenue system varied during the Sultanate, as it depended largely on the personality of the ruler. At one point land revenue touched an unreasonable 50 percent of the produce. Since it was a largely autocratic system of government there was very little that the people could do. One cannot however blame the Sultans for being autocrats, for the times were very unstable and violent. They were aliens to the country and to be able to establish and control their empires they needed to rule with a strong hand. This is evident from the fact that whenever there was a weak ruler, he was overthrown and a new king would take charge. The Sultanate period laid the groundwork for the Mughal empire.

5.4.3 Society

The society of this time was going through some changes, with a fusion between Islamic culture and the Indian culture of the time. Many Indians were embracing the new religion and this resulted in a new variant of the religion, one that absorbed many Indian ideas and beliefs as well. The caste system went through some interesting changes. The Hindus continued to follow the caste system that had been existing. As for the Muslims the situation was a little different. Islamic society did not formally recognize caste. However with the entry in India, many Indian ideas were being incorporated and the caste system was one of them. The development of the caste system in Islamic society started with divisions based on ethnicity. The highest caste was the *Ashraf* which include the Turks, Afghans and the Persians. The next highest caste were upper class Hindu converts. After this there was the usual division of occupation castes and sub castes. Marriages were usually held within caste boundaries. The foreign settlers, although initially attempting to preserve a unique identity, were slowly absorbed into Indian society as they adopted the same dress and food and married outside their community.

Religious rituals of the two religions however remained more or less distinct and did not really join in the fusion process. As a result the education, at least at the primary level remained separate for both communities. Education at the primary level was conducted at the temple or mosque and covered religious learning. Higher education focused on theology and linguistics. Education however did receive patronage from the Sultanate rulers and there was a growth of educational institutions in the country. Unfortunately however, such sponsorship was mainly confined to religious education.

The society of this period was highly polarized with vast differences in the standard of living between the aristocracy and tiller. While the former was rolling in the lap of

luxury, the latter was just able to make ends meet. Slavery became more prevalent but apparently they were taken care of and were usually set free after some years. Many former slaves rose to political power and social eminence. However the existence of slavery was a negative aspect of the society.

Women enjoyed a position of respect but their freedom was increasingly being limited. They were entirely dependant on their fathers, husbands or male relatives. They lived in the seclusion of their homes, and *pardah* (veil worn to cover one's face) became prevalent both in Muslim as well as Hindu families. A justification for such developments is the general air of uncertainty with foreign invaders roaming all over the country. Women were free to take up education and many women from higher classes excelled in the arts and science. Peasant women had more freedom, though this was largely for economic reasons. The inhuman practice of *Sati* (a widow burning herself on her husbands funeral pyre) was increasingly taking place amongst certain classes. Apparently a pass had to be obtained from the Sultan of Delhi before a *Sati* could take place.

A major change that had taken place now, was that previously the rulers and the ruled belonged to the same culture, whereas now they came from two completely different cultures. However, the two cultures were able to peacefully co-exist and in time embraced each others ideas to form a composite Indian culture. This has been a consistent feature of Indian history, whenever a new set of ideas and beliefs were put forward, there was always an exchange between the existing ideas and the new ideas and a synthesis of the two would then prevail. For example the Indian kings were hereditary whereas Sultanate kings were not. By the time of the Mughals, two ideas had been integrated, with the Mughals more or less having a semi-hereditary form of succession (usually a member of the royal family would succeed to the throne). This trend continued in all spheres of life, with even art and architecture absorbing the new ideas and techniques. The ability to absorb new cultures was a positive aspect of Indian society, which helped in the development of the diverse and rich Indian culture that exists today.

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Invasions of Arabs, Ghaznavids and Ghoris and Delhi Sultanate

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5.4.4 Religion

The Sultanate time was a period of great transformation in religious ideas. Not only was the new religion of Islam making significant inroads into the country, Hinduism was also going through a period of re-thinking with the Bhakti movement. To complete the picture even Islam was going through such a movement, with the Sufi saints.

Hinduism had the two main sects of *Vaishnavas* (worshippers of Lord Vishnu) and *Shaivas* (worshippers of Lord Shiv). A Bengal school teacher, Chaitanya was an active personality in the *Vaishnavas* sect and travelled across the country teaching as many people as he could about its teachings. Islam meanwhile was also divided into two main sects, *Sunni* and *Shia*. There was conflict between the two as the Sultans were *Sunnis* and were keen on rooting out the *Shia* power in India, which had survived in some areas.

The *Bhakti* movement began with the aim to reform Hinduism and make it a religion to which the common people could relate to. It sought to end the undue influence the priests had over the religion and stressed on the idea of *Bhakti* (personal devotion to God). *Bhakti* saints travelled far and wide and spread their ideas at the grass root level. The teachings were held in vernacular languages to increase their influence. The *Bhakti* movement challenged many ideas of Hindu society, the Bhakti saints opposed the caste system and the over dependence on idol worship. They also endeavored to raise the position of women and encouraged them to join in the gatherings. The Bhakti

saints wanted to bring the ancient texts to the people, and translated them from Sanskrit into local languages. They tried to explain the nuances of philosophy in a simple way and bring to the people the great ancient literature, what was till then inaccessible to them. Islamic society meanwhile was also experiencing a reform movement, the *Sufi* movement. The *Sufi* 's protested against the misinterpretation of the Quran by the Sultanate rulers. It proposed several liberal ideas and advocated social justice and equality. Unlike their *Bhakti* counterparts however, *Sufi* saints detached themselves from society and inhabited their own world of mysticism and symbolism. They generally lived in seclusion from society, an unfortunate choice for they would have been far more successful in spreading their ideas if they had worked from within society. The *Sufis* often organized themselves under a pir. The members of the order were called *faqirs* or dervishes. These orders had several rituals, some involved dancing until a state of trance was reached.

Two prominent saints during this period were Kabir (1440-1518) and Nanak (1469-1539) Kabir was a Hindu who was brought up by Muslim foster parents. He was a weaver by profession and after studying many religious texts was filled with a desire to change society. He composed many couplets which expressed his ideas. Kabir's followers founded the Kabirpanthis, a short lived religious cult which followed his teachings. It advocated simple living, taking the middle path (avoid extremes), no complicated rituals and a sense of honesty and practicality. This made it popular amongst many sections of society. It faded away with time because it was not able to carve out a distinct identity for itself and merged into the existing religious group. Nanak, a Hindu, was from a rural background, his father was a village accountant. He managed to get an education due to the generosity of a Muslim friend. He left his wife and children to join the *Sufis* for a short period but left them too and went on a pilgrimage of his own. He eventually returned and settled down with his family in Punjab. His teachings were compiled into the *Adi Granth* . Nanak is considered the founder of the Sikh religion in India. Nanak's followers who would later come to be known as Sikhs were able to hold together his ideas and the religion of Sikhism spread. It remains a major religion in India till date.

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Two prominent saints during this period were Kabir (1440-1518) and Nanak (1469-1539). Kabir was a Hindu who was brought up by Muslim foster parents. He was a weaver by profession and after studying many religious texts was filled with a desire to change society. He composed many couplets which expressed his ideas. Kabir's followers founded the Kabirpanthis, a short lived religious cult which followed his teachings. It advocated simple living, taking the middle path (avoid extremes), no complicated rituals and a sense of honesty and practicality. This made it popular amongst many sections of society. It faded away with time because it was not able to carve out a distinct identity for itself and merged into the existing religious group. Nanak, a Hindu, was from a rural background, his father was a village accountant. He managed to get an education due to the generosity of a Muslim friend. He left his wife and children to join the *Sufis* for a short period but left them too and went on a pilgrimage of his own. He eventually returned and settled down with his family in Punjab. His teachings were compiled into the *Adi Granth*. Nanak is considered the founder of the Sikh religion in India. Nanak's followers who would later come to be known as Sikhs were able to hold together his ideas and the religion of Sikhism spread. It remains a major religion in India till date.

5.4.5 Literature

The rise of Persian speaking people to the throne naturally resulted in the spread of the Persian language in India. It was the official language and soon literary works in the language began to appear. Initially Persian literature talked about topics which were familiar to those from Persia. Gradually however as more Indians learnt the language, the literary works began to have a more Indian theme. Amir Khusrav was a noted writer of the period, who was one of the first writers to write Persian literature about events concerning India. His inspiration came from events he saw around, his work soon grew to be appreciated and he became a court poet. He inspired many other Indians to take to writing in Persian.

Sanskrit continued to remain an important language of the time, and despite the increasingly influence of Persian, it was able to hold its ground. Many preferred Sanskrit poets as they were more established and experienced than those that worked in the new languages. A centre for Sanskrit learning opened at Mithila (north Bihar). It preserved the tradition of classical Sanskrit literature and kept it alive. Sanskrit was however beginning to lose its popularity as an intellectual language, and the Brahmins struggled to find patrons to keep it alive.

There was also significant amount of work taking place in regional languages. Both Sanskrit and Persian were languages which the average person did not understand. Various regional languages flourished and soon literary work in these languages began to take place.

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5.4.6 Art and Architecture

The Sultanate period brought to India new styles of art and architecture which were soon absorbed into the existing set up. A number of factors were responsible for events to move in such a direction. The existing Indian styles and the new ideas had many common features, which allowed them to adapt to one another. For instance both the temple and mosque had large open courtyards. Also many temples were converted in mosques by the foreign invaders, and this created a blend of Indian as well as foreign styles.

The Sultanate introduced two new architectural ideas, the dome and the pointed arch. The dome was an important decorative structure in Islamic buildings, and soon was implemented in other structures as well. The pointed or true arch that was introduced during this period, was completely different from the type of arches that were being constructed within the country earlier. The earlier Indian style of creating arches was to first put up two pillars. The pillars would then be cut at intervals accommodate 'plug in' projections. There would be a sequence of squares that would gradually decrease in size creating an arch. The new artisans introduced the true arch. This was achieved by making the middle stone a key stone and to have the other stones distribute the load of on the two pillars.

The concept of the dome was also introduced. This was gradually perfected and one of the most stunning examples is the dome on top of the Taj Mahal. The dome initially started out as a conical dome as we see in the Mehrauli region in Delhi and eventually developed the ultimate bulbous onion shape on the Taj Mahal. The dome effect was achieved by an interesting method. A square base was first constructed and then at varying angles more of these squares were added to the base. This eventually create a rough dome effect. This was plastered to make it completely round and then the squares were removed. The use of concrete was also on the increase, opening up new avenues. Concrete enabled builders to build larger structures covering more area. Local Indian craftsmen were soon trained in Persian styles of art which they used to decorate the structures. They also implemented some of their own ideas, and soon traditional Hindu motifs like the lotus found their way into Islamic buildings. There were other instances as well, for instance although the Islamic buildings used the more advanced pointed arch, they also included for decoration purposes a variant of the Hindu arch.

The early dynasties of the Sultanate period, namely the Slave dynasty and the Khilji

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dynasty created some exquisitely designed structures, with fine works of art adorning them. During the Tughlaq period however, the mood was less decorative, and more simple and austere. This is attributed partly to the religious ideas of the Tughlaqs as well as the depleted state finances. The Sayyids and Lodis who succeeded the Tughlaqs returned to the more lavish styles with the Lodis introducing the new concept of the double dome. They also introduced a new type of decoration, most probably borrowed from Persia, enamelled tiles, which went very well with grey sandstone. Decorative work in terra-cotta continued to be popular.

It was a time of great experimentation, with most artist and engineers in India, keen to learn from the deluge of new ideas that were entering the country. They retained their indigenous techniques but also absorbed some of the new thought that was coming their way. Two unique sets of ideas were able to successfully combine to form a coherent whole.

5.5 INDUSTRY AND TRADE

Hindus occupied an important role in foreign, as in domestic, trade, although foreign Muslim merchants, known as khurasani, also had a large share of it. The rulers of the coastal kingdoms in the Deccan accorded to foreign merchants certain extra-territorial rights and special concessions, in consideration of the heavy taxes which they paid to the treasury. An organized class of brokers handled the business on the coast and inside the country. The imports consisted mainly of certain luxury items for the upper classes, and a general supply of all kinds of horses and mules, in which India was deficient. Hindus had never attached any importance to cavalry, but seeing the success of the Muslim horsemen, they started to substitute horses for elephants. The exports included large quantities of food-grains and cloth. Among the agricultural products were wheat, millet, rice, pulses, oilseeds, scents, medicinal herbs, and sugar. Some of the countries around the Persian Gulf depended on the subcontinent for their entire food supply. Cotton cloth and other textiles were especially important items of export, particularly to Southeast Asia and East Africa, although some reached Europe. They were carried by the Arabs to the Red Sea and from there found their way to Damascus and Alexandria, from where they were distributed to the Mediterranean countries and beyond.

Many industries of considerable size and importance developed during this period, the most important of which were textiles, various items of metal work, sugar, indigo, and in certain localities, paper. The Indian textile industry is very old, but the variety of cloth produced was originally limited. Taking advantage of the local talent, the [[111]] Muslims introduced a number of fine varieties of textiles, most of which had Persian or Arabic origin. Bengal was the main center of this industry, but Gujarat rivaled it as a supplier of the export trade during the sultanate period.

Next in importance were a number of industries connected with metal work: the manufacture of swords, guns, and knives, as well as household needs such as trays and basins. Manufacture of sugar was also carried on on a fairly large scale, and in Bengal enough was produced to leave a surplus for export after meeting the local demand. Paper-making was a minor industry, of which little is known except that Delhi was the center of a considerable market.

These industries were mainly privately owned, but the government equipped and managed large scale karkhanas, or factories, for supplying its requirements. The royal factories at Delhi sometimes employed as many as four thousand weavers for silk alone. The example of the sultan of Delhi was followed by the rulers of the regional kingdoms, and the contribution of the state to the development of the industry was not a minor one.

In certain aspects of social life, the Hindus had virtual autonomy during the sultanate. This was in accordance with the established axiom of Islamic law that while Muslims are governed by the Shariat, non-Muslim zimmi are subject to their own laws and social organization, but it was also a product of the Indian situation. The Muslim rulers from the days of the Arab occupation of Sind accepted the right of the village and caste panchayats to settle the affairs of their community. This meant that the Hindu villages remained small autonomous republics, as they had been since ancient times, and in commerce and industry the Hindu guilds were supreme. This position continued throughout the Muslim rule, but during the sultanate, when the provincial administration had not been properly organized, Hindu autonomy outside the principal towns was particularly effective.

It is often forgotten and Muslim court chroniclers were not anxious to mention it—that a large number of independent or quasi-independent Hindu chiefs remained after the establishment of the sultanate. Some of them were rajas, or kings; others were only petty chieftains, controlling a few villages. Many of them belonged to old families, but new principalities grew up even after the establishment of Muslim power at Delhi. Rajputs often found new kingdoms for themselves in remote, easily defended areas in Rajputana and the Himalayas. From such movements during the sultanate come also some of the large landed estates still held by Rajputs in Oudh and in Bihar. In these predominantly Hindu areas the old religion was fostered, and its cultural expressions kept alive even in the periods of greatest Islamic power.

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5.6 DOWNFALL OF THE DELHI SULTANATE

The Delhi Sultanate came into existence in 1206 A.D. and it continued upto 1526 A.D. Qutb-ud-din Aibak and Ibrahim Lodi were the first and the last Sultans of Delhi. Five dynasties ruled over Delhi during this period. They were the Slave, the Khiljis the Tughluqs, the Sayyids and the Lodis. The authority of the Delhi Sultans reached the zenith of its power during the reign of Mohammad-bin-Tughluq. At the same time disintegration also set in. Gradually it lost all its territories and gave place to a foreign dynasty. There are several causes for the decline and fall of the Delhi Sultanate.

- 1. Dictatorship of Delhi Sultans:** The government of the Delhi Sultans was autocratic. The strength of the state depended on the personality of the Sultan and his military force. When weak and inefficient sultans came to power, disintegration started.
- 2. Absence of Law of Succession:** There was no fixed law of succession among the Sultans of Delhi. As a result there were frequent wars of succession. They undermined the strength of the Sultanate.
- 3. Vastness of the Sultanate:** The Sultanate of Delhi reached its largest dimensions in the time of Mohammad-bin-Tughluq. There were twenty-three provinces in it. There were no well-developed transport and communication facilities. It was very difficult to suppress rebellions and restore order in such conditions. So, vastness of the empire proved to be a weakness of the Sultanate.
- 4. Policy of Mohammad-bin-Tughluq:** His enhancement of taxation in the Doab, transfer of capital and other measures made him unpopular. As a result rebellions broke out. Vijayanagara and Bahmani empires were established. Bengal and Sindh became independent.
- 5. Responsibility of Firoz Tughluq:** Firoz lacked the qualities of a great soldier and a general. He made no serious attempts to re-conquer the lost territories. By his impolitic steps like Jagirdari system and military organization, he quickened the decline of Sultanate.
- 6. Mongol Invasions:** Continuous Mongol invasions also weakened the Sultanate.

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They caused much loss both in men and money.

7. Anti-Hindu policy of the Sultans: The sultans of Delhi did not make any effort to reconcile their non-Muslim subjects to their rule. On the other hand some of the sultans, like Firoz Shab, were fanatics, they persecuted the Hindus and destroyed their temples. Consequently, the Hindus, who formed the majority, turned against the Sultanate and weakened it.

8. Weak successors of Firoz Tughluq: Firoz was succeeded by weak and inefficient rulers. Provincial governors became strong during their rule. Their successors the Sayyids and the Lodis had to struggle hard for their very existence. Ibrahim Lodi, the last of the Delhi Sultans, was so weak that he lost everything in a single better.

9. Timur's Invasion: The invasion of Timur in 1398-99 gave a death-blow to the Sultanate. He not only looted the wealth of India but exposed its weakness also. His invasion created great confusion in the empire and revolts broke out. It shook the empire to its very foundations.

10. Babur's invasion: The final blow to Delhi Sultanate came from Babur's invasion. Ibrahim Lodi was the Sultan of Delhi at that time. He was a weak ruler and inexperienced general. Babur defeated and killed him in the first Battle of Panipat in 1526 and founded the Mughal empire. Thus, several causes led to the fall of Delhi Sultanate.

5.6.1 Hindu-Muslim Contacts

All the foreign invaders before the Muslims had made India their mother land and became either Hindus or Buddhists. But the Muslim invaders tried to convert these people into Muslims by all means. So, there was a clash between the Muslim rulers and their non-Muslim subjects. But in course of time both these sections reconciled to the changed circumstances. They stayed together and influenced each other. This reconciliation resulted in the growth of common language, art and architecture and social customs.

Factors that influenced reconciliation: Long stay as neighbours, influence of Hindu converts, common suffering of Hindus and Muslims, propagation of Sufism and Bhakti cult and other factors brought the Hindus and the Muslims closer. Both of them were influenced by each other in different fields and in several ways.

A. Society

Influence of Islam on Hindu Society: The social structure of the Hindus was greatly influenced by the Muslims, caste system became more rigid. Imitating the Muslims, the Hindus also adopted the Purdah system. Child marriages grew in number. Food habits, dress, court ceremonies and others were also largely influenced.

Influence of Hinduism on Muslim Society: The Hindu converts carried some of the Hindu social practices like marriage celebration and caste system into Islam. The Muslims also began to adore saints. They also believed in magic and astrology like Hindus.

B. Religion

Sufism: The Muslims studied the sacred works of Hinduism like the Vedas and the Upanishads. Like Islam they contained the principles of the unity of God and Brotherhood of all men. They were impressed by their study and this gave rise to a liberal movement known as Sufism. The Sufi saints preached the brotherhood of the Hindus and the Muslims.

Bhakti Movement: There was an intellectual revival among the Hindus as a result of cosmopolitan Islam. It moved Hindus and Hinduism. The principles of Sufism which were similar to those of the Vedas and the Upanishads brought about a change in the preachers of Hinduism. The result was Bhakti movement. K.M. Panikkar called it "the Medieval Hindu Renaissance", Ramanuja, Ramananda, Mirabai, Chaitanya, Kabir and

Guru Nanak were some of the exponents of this cult. Self-surrender to God, equality of all human beings, no belief in rituals were the important principles of Bhakti movement. It developed friendship between the Hindus and the Muslims.

C. Cultural Synthesis

Urdu Language: This is a good example of the linguistic synthesis of the Hindus and the Muslims. It was a mixtue of Persian, Hindi, Turki and Arabic languages.

Literature: The Persian, Sanskrit, Hindi, Urdu and the vernacular literatures flourished during this period. The greatest contribution of the Muslims in this field is their historical literature.

Architecture: Because of mutual influence in the field of architecture a new type of architecture came into existence. It was known as Indo-Muslim architecture. It was a happy blending of Hindu-Muslim ideas. Qutb Minar, Alai Darwaja etc., were the most famous buildings of this period.

Thus, the Hindus and the Muslims influenced each other in various fields. Sir John Marshall rightly remarked “Seldom in the history of mankind has the spectacle been witnessed of two civilizations, so vast and so strongly developed, yet so radically dissimilar as the Mohammadan and Hindu, meeting and mingling together”.

5.7 SUMMARYS

The triumph and career of Muhammad was suddenly cut short by political changes at home. Since the new Caliph was the sworn enemy of Hajjaj. Muhammad was taken prisoner, insulted and tortured to death. A few Muslim traders earlier settled in the Malabar region. But the might of Islam was experienced in Sind. This challenge was met by rulers of the day. It is now well-known that the political ambition. India was a prosperous country during the period. We have accounts of the massive amount of wealth Mahmud of Ghazni had made off with, and even invaders post- Sultanate made off with massive loots. The Sultans of Delhi, right from the beginning of their rule instated a vast administrative machinery to handle the various tasks. None of the departments had much authority and mainly assisted in carrying out the Sultan’s orders. Religious rituals of the two religions however remained more or less distinct and did not really join in the fusion process. As a result the education, at least at the primary level remained separate for both communities. Education at the primary level was conducted at the temple or mosque and covered religious learning.

5.8 KEYWORDS

Invasion of Arabs: The establishment of Arab rule in Sind in 712 A.D. was preceded by a number of efforts to penetrate India. The first military expedition was sent to Tahan near Bombay in 637. More were sent in the coming years against Broach and Debal.

Religious zeal: The religious zeal of the Arabs to spread their new faith ‘Islam’ to distant lands was the potent cause for the invasion of India.

Ghaznavids: Mahmud of Ghazni (October 2, 971 – April 30, 1030 C.E.), also known as Yamin ad-Dawlah Mahmud, was the ruler of the Ghaznavid Empire from 997 C.E. until his death. Mahmud turned the former provincial city of Ghazni into the wealthy capital of an extensive empire which included modern-day Afghanistan, Pakistan, most of Iran and parts of northwest India.

Ghori:In the present times, the latter is known as Central Afghanistan. Unlike his predecessor Mahmud of Ghazni, Muhammad Ghori remains significant in the medieval

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history of India for his number of conquests as well as laying the foundation for Muslim rule in India as it was his slave Qutb-uddin Aibak who was the founder of the first Turkish rule in India in the following years.

Delhi Sultan: The period between 1206 and 1526 in the Indian history is known as the “Period of the Sultan Rulers” . During this period, rulers belonging to five different dynasties- The Slaves, the Khiljis, the Tughlaqs, the Sayyids and the Lodhis-ruled over India.

Literature: The rise of Persian speaking people to the throne naturally resulted in the spread of the Persian language in India. It was the official language and soon literary works in the language began to appear. Initially Persian literature talked about topics which were familiar to those from Persia.

Art and Architecture: A number of factors were responsible for events to move in such a direction. The existing Indian styles and the new ideas had many common features, which allowed them to adapt to one another. For instance both the temple and mosque had large open courtyards.

5.9 REVIEW QUESTIONS

1. What are the causes for the Arab Invasion of India?
2. Explain Political Challenges and death of Ghaznavids.
3. Discuss administration, society of Delhi sultanates.
4. Describe political challenges of Delhi sultanates.
5. Define art and architecture, Industry and trade during Delhi Sultanaes.
6. What are the causes for the downfall of delhisultanates?

UNIT 6

A BRIEF POLITICAL SURVEY OF SOUTH INDIA

6.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Understand the impact of Islam on Indian culture.
- Describe the Sufism and its principles.
- Explain the Bhakti movement.

6.1 IMPACT OF ISLAM ON INDIAN SOCIETY AND CULTURE

Impact of Islam on Indian Society: Although Islam came to India before the invasion of Arabs, spread tremendously only during the Mughal rule. Islam had a great impact on the day-to-day life of the Hindu society. It is desirable to mention its impacts under the following headings.

i) Religious Impact

Before Islam, the Indian society was dominated by the Brahmanas and was synonymous with blind faith and dogmas, sacrifices and rituals of Hindu religion. The coming of Islam was a blow to the supremacy of Brahmanas.

In the later years the saints like Kabir, Guru Nanak etc. who made efforts to remove the ill-practices of Hinduism are ample evidences of impact of Islam.

ii) Social Impact

India was divided into several sects and class when Islam reached here. Especially the condition of those who belonged to the so-called low caste was simply pathetic. They were held untouchables.

Since Islam propounds that all human beings are equal and accordingly make no discriminations on the basis of caste or creed, Hindus in large numbers adopted Islam voluntarily.

However, even the Muslim rulers got many Hindus forcibly converted to Muslim. Islam had its deep impact on the social life too. The practice of purdah has been the result of the impact of Islam.

iii) Cultural Impacts

The impact of Islam could be seen on the cultural life of the Indians too. The Hindus to a great extent have adopted the thoughts and belief of Islam.

It was Islam that for the first time discountenanced all dogmatic teachings and made reason the test of faith. It has to its credit the spread of knowledge not only in India but worldwide.

iv) Impact of Art and Literature

No less was the impact of Islam on the contemporary Hindu society. It is well evident in the scriptures and architecture of those days.

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In every country that was conquered including India, the first duty of Islam was to build a mosque in which Allah would be worshipped. Attached to the mosque was a school where people were taught to read and study the Quran.

From this initial point they enlarged the study of science, literature and art. Schools were founded, great universities established, and libraries were built, which laid the permanent foundation of knowledge.

Muslims made great contributions to the practice of music and have many glorious works of art and architecture to their credit.

6.2 BHAKTI MOVEMENT

The bhakti movement was as remarkable episode of medieval history. It created as new awareness in Indian society. The religious thought of time came under as new influence. Man's spiritual outlooks were enriched. The culture of the age received as fresh vigor.

A number of famous saints preached the cult of Bhakti. Bhakti or devotion was shown as the simplest way to reach God. There was no necessity for deep philosophical knowledge, costly ceremonies, or difficult rituals. Surrender to God was the only need of true religion. The Bhakti cult carried and emotional appeal to the mind of men.

The word 'Bhakti' means devotion to God. The Bhakti movement was not new; its doctrines had their origin in the Bhagavadgita and the Upanishads. The Bhaktas of God did not believe in any sort of caste distinctions. They advocated love and devotion to God and discarded all sorts of rituals and ceremonies. They preached oneness of God and "that all religions were but roads leading to the same goal".

6.2.1 Chief Principles of Bhakti Movement

The chief principles of the Bhakti movement were as follows:

1. It is Bhakti or devotion to God alone that can help man attain salvation.
2. It is important to follow a true guru for realizing God.
3. All men are equal and no one is superior or inferior.
4. Caste distinctions, rituals, fasts, etc., are useless and lead to nowhere.
5. All men should be tolerant.

6.2.2 Some Important Bhakti Reformers

Ramanuja

Born in A.D. 1166 in a small town near Chennai (Madras), Ramanuja was a worshipper of Vishnu and preached Vaishnavism. He had a great following in the South.

Ramananda

The greatest preacher of this cult in north India was Ramananda. He discarded all caste distinctions and his disciples belonged to all castes.

Kabir

He was perhaps the most popular reformer of his times. He was a disciple of Ramananda. Kabir was against idol worship or any sort of rituals.

Namdeva

He was a Maratha saint, born into a low family. He too believed in the oneness of God. He travelled far and wide and had discussions with the Sufis. A large number of Muslims also became his followers.

Chaitanya Mahaprabhu

He was a religious teacher from Bengal and an ardent devotee of Lord Krishna. HE

travelled widely and popularized hymns sung in praise of Krishna.

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Mirabai

Mirabai was a Rajput princess and a passionate devotee of Krishna. She preached in Brijbhasha, the common language of the people. Her song and verses are very popular even today.

6.2.3 Effects of the Bhakti Movement

The Bhakti movement had far-reaching effects on the people. Firstly, it helped a lot in removing the existing bitterness between the Hindus and the Muslims. Both became more tolerant towards each other.

Secondly, the Bhaktas exposed the hollowness of empty rituals and ceremonies and taught the people to give up evils like belief in superstitions etc. This movement dealt a blow to the superiority of the Brahmins, for it propagated the equality of all men. This also helped in checking conversions.

Thirdly, the Bhakti reformers preached in the common language of the people, which gave rise to the vernacular languages such as Bengali in the east, Gujarati and Marathi in the west and Punjabi in the north.

The history of Indian culture is marked by two elements viz., continuity and synthesis. The earliest invaders of India viz., the Greeks, Sakas, Huns etc., were absorbed into Hindu society and embraced Hinduism. But it did not happen in the case of Muslims who had their own distinctive, well established religion and culture. Instead of merging, the Muslims strained every nerve to transform Hindustan into a land of Islam. The Sultans of Delhi adopted many ruthless measures viz., forcible conversions, persecution and massacre of Hindus, demolition of Hindu temples, plunder and loot of the properties of Hindus to convert the Hindus into Islamic faith. In spite of these measures, unfortunately they failed miserably in their goal of transforming India into an Islamic state. Likewise, the Hindus too failed in achieving their object of purpose. They could neither drive out the Muslims nor could make them merge into their own fold as in the case of other foreigners.

Thus, both remained stubborn and both failed to win over the other. Moreover both were compelled to live side by side with their own distinctive religions, customs and cultures. Consequently his living together could not but influence each other's living and religion. The result was the growth of new religious movements, new trends in culture, new way to social life known as Hindustani etc. Sir **John Marshall** remarked *Seldom in the history of mankind has the spectacle been witnessed of two civilizations, so vast and so dissimilar as the Mahamadan and Hindu, meeting and mingling together.*

1. Religion

a) Impact of Hinduism on Islam: The rapprochement (understanding) of Muslims with the Hindus led them intimate contact with the holy scriptures of Hinduism especially the Vedas and Upanishads. The principles of Upanishads viz., the *Unity of God* and the *brotherhood of men* went deep into the hearts of the Muslims and gave rise to a liberal movement called Sufism. The Sufi saints emphasised the Unity of God and the *brotherhood of men* went deep into the hearts of the Muslims and gave rise to a liberal movement called Sufism. The Sufi saints emphasised the Unity of God and the brotherhood of men and brought even the Hindus into their fold.

b) Impact of Sufism on Hinduism: Bhakti cult or Movement: The most important feature of the Medieval period in the field of religion was the emergence of the Bhakti Movement. The influence of Sufism fell upon Hinduism greatly. But the ideas of Sufism

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were not new to Hindus since they form the core of Upanishads. But its emphatic assertion by Sufi saints had a wonderful effect on the teachers of Hinduism viz., Namdev, Nanak, Ramananda etc., and the result was the Bhakti movement. To quote **Dr. A.L. Srinivastava**, *the movement was not altogether new and it did not owe its origin to Islam as has been erroneously supposed by modern writers (but) it received impetus from the presence in iconoclastic Muslim preachers*. Thus Bhakti cult was an intellectual revival in the field of Hindu religion. Hence K.M. Panikar called it the “Medieval Hindu Renaissance”.

1. Objects of the Bhakti cult: The main objects of the Bhakti cult were: (a) to reform and to safeguard Hindu religion (to enable it to withstand) against the onslaughts of Islam. (b) to prevent the Muslim atrocities of Hindus. (c) to bridge the gulf between the Hindus and the Muslims and to pave the way for Hindu-Muslim unity.

2. Teaching of Bhakti: (1) All the teachers of Bhakti denounced idolatry and caste system. (2) They condemned the meaningless rituals and advocated Bhakti as a vehement weapon to achieve salvation. (3) They preached Unity of God, Universal brotherhood of man, equality of all religions.

3. Teachers of the Bhakti cult: there were many religious leaders who propounded Bhakti cult. Among them, the chief were:

i) Ramanuja: He was the earliest exponent of the Bhakti cult. He lived in 12th century A.D. in South India. He was the worshipper of Vishnu. He propounded *Visishtadvaita* and “*Saguna Isvara*”. According to him all the souls are emanated from God as sparks of fire and not one with God.

ii) Ramananda: He lived in 14th century A.D. in Northern India. He preached the worship of Rama and Sita. He admitted the people of all castes as his disciples.

iii) Mirabai: She was a Rajput princess of the 15th century A.D. She was a great devotee of Krishna. She composed and sang many songs about Radhakrishna which are extremely popular even today.

iv) Vallabacharya: He was born at Benaras in a Telugu Brahmin family. He was the exponent of Krishna cult. He advocated *Sudhaadvaita* according to which the individual soul is Brahman. He preached Krishna Bhakti to free oneself from the bondage.

v) Chaitanya: He was a learned Brahmin of Bengal. He renounced the world at the age of 25 and became a Sanyasi. He denounced caste, rituals, ceremonies etc., of Hinduism. He preached love and the worship of Krishna. Haridas one of his followers was an out caste. He was so popular that, his name became the household word in Bengal and millions of people still worship him as an incarnation of Sri Krishna.

vi) Namdev: He was a tailor. He was born in Maharashtra and lived in 15th Century A.D. He preached the unity of God and condemned idol worship. He said, “*One stone is adored, another is trodden under foot. If one is God, the other is also a God*”.

vii) Gurunanak: He was born in Lahore district of West Punjab. He lived in 15th Century A.D. He laid stress on moral virtues and condemned the idol worship. He had both Hindu and Muslim disciples. He said, “*Religion consists not in mere words. He who, looks all men as equal is religious*”. He also taught “*Abide pure amidst the impurities of the world: thus shall you find the way to religion*”. His teachings later, came to be known as Sikhism.

viii) Kabir: The most significant preacher of the Bhakti cult was Kabir. He was born to a Brahmin widow of Banaras who left him near a tank. There, he was picked up by Muslim weaver who brought him up. Tradition represents him as the disciple of Ramanand. He was nominally a Muslim and his thoughts were more that of a Hindu. He made no

distinction between the Hindus and the Muslims and stood for their harmony and compromise. According to him, *“Hindus and Turk were pots of the same clay. Allah and Rama were but different names”*.

He condemned caste, polytheism, and idol worship and laid stress on monotheism and virtues of life. According to him there was no use in worshipping the stone, batching in the Ganges and going on a pilgrimage of Mecca, if the heart was not pure. Regarding the caste barriers, he said *All shades of colour are but broken arcs of light*. He stood for the equality of all religions. According to him, *“the right approach to God is not the monopoly of Brahmins but is freely granted to all who are characterized by the sincerity of heart”*.

6.2.4 Results of Bhakti Movement

The Bhakti Movement led to significant results. Firstly, it was as widespread religious upheaval. However, Kabir, Nanak and Chaitanya were its chief exponents; there were several other preachers to play part in it. Saints like Ramananda, Vallabhacharya, and Namadeva left large following. The movement covered all parts of India, north and south. Thus it developed and all-India base.

Secondly, the Bhakti Movement was not as movement of the wise few, but of the wider mass. It is said that after Buddhism, the Bhakti cult saw the next most popular religious awakening. Since it touched the people of all sections, its effect was lasting. The most ignorant could think of getting God by uttering His Name.

Thirdly, the movement supplied incentive of social reforms in Hindu society. The caste system became less rigid. Social differences got reduced. Hatred of man for man received a severe blow. A sense of social unity developed. Orthodox religious practices lost merit. Religious received as simpler form. Devotion gave an easier meaning to it.

Fourthly, the distance between Islam and Hinduism got reduced. Instead of quarreling over outer things, Hindu and Muslims understood the inner meaning of their religions. While the Hindus paid respect to the Muslim Saints, the Muslims enjoyed the Hindu ceremonies. A new cult, famous as the cult of Satya Pir, appeared. It was founded by King Husain Shah of Jaunpur. Both Hindus and Muslims worshiped the Satya Pir. This kind of harmony and Hindu-Muslim unity prepared ground for as liberal political era under the great Mughals.

Finally, the Bhakti Movement resulted in as great literary wave. The preachers did not preach in Sanskrit, but in the mother tongues of the common people. Thus, everywhere local languages began to develop. New devotional books were written in local languages. Ramananda and Kabir preached and wrote in Hindi. Nanak and his followers taught and wrote in the Punjabi. Chaitanya disciples developed the Bengali literature. Similarly, other preachers wrote in Marathi, Maithali and Braja Bhasa, etc. the regional languages began to develop rapidly because of need for the Bhakti literature.

For all these reasons, the medieval Bhakti Movement forms as significant chapter of Indian history.

6.3 SUFI MOVEMENT

Sufism is the mystic interpretation of Islamic life within the bonds of religious orthodoxy. It stressed the mystical union of human with god.

The Sufis had risen in Islam at a very early stage. Most of them were person of deep devotion who were disgusted by the vulgar display of wealth and degeneration of morals following the establishment of the Islamic empire. Hence these saints wanted to have nothing to do with the state. Some of the early saints laid great emphasis on love as

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the bond between God and the individual soul. This approach often led them into conflict with the orthodox elements. The Sufis were organized in 12 orders called Silsilahs. The Silsilahs were generally led by a prominent saint, who along with his disciples, lived in a hospice called khanqah. The link between the teacher and his disciples was a vital part of the Sufi system. This style of organization and some of their practices such as penance, fasting and holding the breath can be traced to the Hindu yogic and Buddhist influence.

The Sufi orders are broadly divided into two: Ba-shara that is, those which followed the Islamic Law (shara) and be-shara, that is those which were not bound by it. Both types of orders prevailed in India, the latter being followed more by wandering saints.

Sufi movement emerged during the early medieval times in India with the interaction of Islamic Culture with the Hindu culture. There were different trends of the Sufi movement. Some were religious and social, some were linked to the rulers and more engaged in promotion of Islam.

Establishment of Sultanate led to introduction of new cultural and social practices in India. As these were different from the traditional Hindu customs, it was natural that differences might create social disharmony. Sufism bridged this gap. Sufi movement stood for peace and harmony. It reflected mystical dimension of Islam and aimed at its peaceful propagation. The Sufis propagated the gospel of humanity. The monotheistic doctrines of Islam and its concept of equity was a great attraction to sections of people who had faced caste exploitation under Hinduism.

Particularly, the Sufis of Chisti silsilah (stream/school) like Moinuddin Chisti, Fariduddin Ganj-i-Shakar, and Nizamuddin Auliya were mystics who spread peace and harmony in society. People would be attracted to them for their simplicity and holiness. Their khanqas (place of residence) became centres of pilgrimage for adherents of different religions. Their practices also helped movement towards cultural –synthesis by adoption of cross-cultural means of propagation of the message of peace and equality. They used ‘sama’ i.e., Music in prayers, meditation, and ‘pas-i-anfas’ i.e. control of breath exercise; & chilla-i-makus i.e. yogic exercises. Some of these practices were quite similar to those used in Hinduism. There was also interaction between saints of Hindu orders like Bhakti and Nathpanthis with Chistis.

However the Sufi movement also had flip side. Except for the Chistis, most of the silsilahs openly dabbled in politics and took official patronage. Some were orthodox, worldly and filled with proselytising and zeal. These silsilahs like the Suhrawaddis and Qadiris pandered to sentiments of the orthodox Ulema. Later even Chistis Sufis like Shaikh Nasiruddin (Chirag-i-Delhi) and Gesudaraz gave orthodox orientation to Chisti order to mitigate hostility of Ulema towards Chisti practices.

Thus the Sufi movement played some significant role in promoting harmony and bringing the people of the two communities closer to each other, and also helped towards better understanding of the two cultural streams at the people level.

Sufism was born in Persia, the land of Shias. Some religious men and holy saints of Persia after a long deliberation and discussions came to the conclusion that there was no fundamental differences between the Shias and the Sunnis and likewise between Islam and other religions. The Sufis laid emphasis on the “Unit of God” and “Universal brotherhood of men”. They believe in true thought, tolerance and liberalism. Gradually Sufis began to pour into India. Since its principles were a kin to the principles of Bhakti cult, the Sufi saints were held in great esteem and a large number of Hindus embraced Sufism.

Main principles of Sufism

- a) God is one and all powerful (monotheism) and all men are his children.

- b) One should try to love mankind if anyone wants to get the love and blessings of God.
- c) True faith depends on right living.
- d) Different religions are only the different manifestations of the desire to know the truth.
- e) It condemned the social distinctions based on caste, colour, creed etc., and stood for the equality of all men.
- f) Like the Vedantic Philosophy, it laid emphasis on the principle that individual souls are manifestations of the Supreme soul in which they are finally immersed.
- g) It condemned the idol worship.
- h) It is only good actions that leads to salvation rather than meaningless rituals and ceremonies.
- i) It advocates freedom of thought for spiritual advancement.
- j) It stood for tolerance of other religions.

Sufi Saints: The great Sufi Saints of India were: (1) Hazrat Khawaje Mohinuddin chisti of Ajmir, (2) Hazrat Khawaji Niamuddin Aliya of Delhi, (3) Nasiruddin Chirag of Delhi, (4) Salim Chisti of Sikri etc. They advocated that Iswar and Allah are one and the same thing and one should not fight with other regarding religion.

Spread of Sufism: The Sufism gained momentum during the reign of Akbar. He held Shaik Mubarak and his two sons viz., Abul Fazl and Faizi in great esteem because they were all Sufis. It has due to the impact of Sufism that Akbar propounded the new faith “*Din – i – illahi*”. Some poets like Amir Khusru and Malik Mohammed Jayasri also sung in praise of Sufism. However it received a death blow in the hands of orthodoxy sunni Aurangazeb.

Effects of Sufism

- 1) It played an important role in promoting the spirit of tolerance among the Muslims.
- 2) It led to Hindu-Muslim understanding and unity.
- 3) It inspired some of the Hindu reformers to start a new movement called Bhakti Movement.
- 4) It exerted great influence on some Muslim monarchs like. Shershah and Akbar to be secular and national in outlook in the place of narrow orthodoxy.
- 5) The Hindus began to venerate the Muslim Saints and the Muslims on their part began to show respect to the leaders of Bhakti cult.

Composite Culture in Medieval India

Culturally medieval period marks the beginning of new stage in the growth of India’s composite culture. It saw the introduction of new features in art and architecture of India and their diffusion to all parts of the country. The architecture that developed during this period was the result of the synthesis of the traditions of Central Asia and Persia with the pre-existing Indian styles. During the 15th and 16th centuries distinctive styles of art and architecture also developed in the regional kingdoms which had emerged with the disintegration of the Sultanate.

During this time notable advances were made in the development of languages and literature. Two new languages-Arabic and Persian became a part of India’s linguistic heritage. Historical writings for the first time became an important component of Indian literature. Under the influence of Persian, new forms of literature such as the ghazal were introduced. The period saw two great religious movements. The Bhakti movement spread throughout the country.

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It disapproved religious narrow-mindedness, superstitions and observance of formal rituals. The Bhakti saints condemned caste inequalities and laid stress on human brotherhood. The other was Sufi movement. The Sufis or the Muslim mystics preached the message of love and human brotherhood. These two movements played a leading role in combating religious exclusiveness and narrow -mindedness and in bringing the people of all communities together. Sikhism began to emerge as a new religion based on the teachings of Guru Nanak and other saints. The growth of a composite culture reached its highest point under the Great Mughals in the 16th and 17th centuries. The Mughals built an empire which once again brought about the political unification of a large part of the country.

Akbar the greatest Mughal Emperor followed the policy of Sulhkul (peace with all).

Some of the finest specimen of Indian architecture and literature belong to this period. A new significant art form was painting which flourished under the patronage of the Mughal court. Influenced by the Persian traditions the Mughal painting developed into a distinct Indian style. It later spread to other parts of the country in various regional styles. Another significant development was the emergence of a new language Urdu which became the lingua franca of the people of the towns in many parts of the country.

6.4 SUMMARY

The world 'Bhakti' means devotion to God. The Bhakti movement was not new; its doctrines had their origin in the Bhagavadgita and the Upanishads. The Bhaktas of God did not believe in any sort of caste distinctions. They advocated love and devotion to God and discarded all sorts of rituals and ceremonies. They preached oneness of God and "that all religions were but roads leading to the same goal". Finally, the Bhakti Movement resulted in as great literary wave. The preachers did not preach in Sanskrit, but in the mother tongues of the common people. Thus, everywhere local languages began to develop. New devotional books were written in local languages. The Sufis had risen in Islam at a very early stage. Most of them were person of deep devotion who were disgusted by the vulgar display of wealth and degeneration of morals following the establishment of the Islamic empire. The growth of a composite culture reached its highest point under the Great Mughals in the 16th and 17th centuries. The Mughals built an empire which once again brought about the political unification of a large part of the country.

6.5 KEYWORDS

Religious Impact: Before Islam, the Indian society was dominated by the Brahmanas and was synonymous with blind faith and dogmas, sacrifices and rituals of Hindu religion. The coming of Islam was a blow to the supremacy of Brahmanas.

Social Impact: India was divided into several sects and class when Islam reached here. Especially the condition of those who belonged to the so-called low caste was simply pathetic. They were held untouchables.

6.6 REVIEW QUESTIONS

- 1) What is the impact of Islam on Indian cultural
- 2) Define Sufism, what are its main principles
- 3) Briefly sketch the Bhakti movement of 14th & 15th centuries.

MICRO ECONOMICS

I - B.A (ECONOMICS) / I - Semester

As per Choice Based Credit System (CBCS)



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I- B.A. Economics

PAPER - I: MICRO ECONOMICS

UNIT I: INTRODUCTION

Nature, Definition and scope of Economics – Methodology in Economics – Micro and Macro, Static and Dynamic, Normative and Positive – Indicatives and Deductive Analysis – Partial and General Equilibrium – Choice as an economic problem.

UNIT II : CONSUMER BEHAVIOUR

Utility Analysis – Cardinal and ordinal approaches – Law of Diminishing marginal utility, Law of Equi-marginal utility, Indifference curves – Properties of indifference curves – Price (Budget) line – Equilibrium of the consumer with the help of indifference curves. Demand Analysis – Law of demand – Elasticity of Demand – Price, Income and cross elasticities, Demand forecasting – Meaning and factors influencing demand forecasting – Consumer surplus – Engel curve.

UNIT III: THEORY OF PRODUCTION AND COSTS

Objectives of a firm – Production function – Concept of Cobb-Douglas production function – Isoquant – Factor substitution - Law of variable proportions, law of Returns to Scale – Expansion path – Different Concepts – of Revenue and Costs and their interrelation – Equilibrium of the firm – Break – Even analysis.

UNIT IV: MARKET STRUCTURE

Market forms – Perfect and Imperfect markets. Price Determination and Equilibrium of a firm and industry under perfect competition – Monopoly – Price determination under monopoly – Price discrimination – Monopolistic competition – Price determination. Oligopoly (Kinked demand curve).

UNIT V: FACTOR PRICING

Marginal productivity theory of distribution – Theories of wage determination – Wages and collective bargaining: Minimum Wage – Rent – Scarcity rent, Differential rent – Quasi rent. Interest – Classical, Neo-Classical and Keynesian theories – Profit – Dynamic, Innovations, Risk and Uncertainty theories.

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UNIT 1

INTRODUCTION

Structure

- 1.0 Aims and objectives
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- 1.2 Public Expenditure
- 1.3 Effects of Public Expenditure
 - 1.3.1 Impact of Public Expenditure on Production and Employment
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- 1.7 Reasons of Public Expenditure
 - 1.7.1 Causes for the Growth of Public Expenditure
- 1.8 Summary
- 1.9 Review Questions

1.0 AIMS AND OBJECTIVES

After the completion of this unit you should be able to understand:

- **Definition, scope, classification and benefits, effects of public expenditure**
- **Expenditure as a balancing factor, public expenditure and redistribution of Income**
- **Theories of public expenditure, Peacock-Wiseman hypothesis**
- **Wagner's law, Peacock and Wisemen hypothesis**
- **Reasons, growth, effects of public expenditure**
- **Definition, scope, classification of public debt**
- **Economic and social effects of public debt**

Introduction

- **Burden and its sources of public debt**
- **Various methods and growth of public debt redemption**

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1.1 INTRODUCTION

Public expenditure refers to the expenditure incurred by the central, state and local governments to satisfy collective social wants. The advantages of public expenditure were not fully appreciated by the traditional economists. They considered market mechanism as a better method whereby the working of the economy could be guided and the allocation of resources could be decided. But today due to the continuous expansion of state activities and other public bodies the volume of public expenditure has been increasing in almost all countries of the world. As the scope of the functions of the government was restricted in the past there was no need for the theory of public expenditure. In the present century the development of the functions of the state in social matter and public utilities has increased public expenditure in a large degree. Accordingly the importance of public expenditure has also increased.

Government debt (also known as public debt, national debt, sovereign debt) is money (or credit) owed by a central government. In the US, "government debt" may also refer to the debt of a municipal or local government. By contrast, annual government deficit refers to the difference between government receipts and spending in a single year, that is, the increase of debt over a particular year. As the government draws its income from much of the population, government debt is an indirect debt of the taxpayers. Government debt can be categorized as internal debt (owed to lenders within the country) and external debt (owed to foreign lenders). Governments usually borrow by issuing securities, government bonds and bills. Less creditworthy countries sometimes borrow directly from supranational institutions.

A broader definition of government debt considers all government liabilities, including future pension payments and payments for goods and services the government has contracted but not yet paid. Another common division of government debt is by duration until repayment is due. Short term debt is generally considered to be for one year or less, long term is for more than ten years. Medium term debt falls between these two boundaries.

1.2 PUBLIC EXPENDITURE

Public expenditure refers to Government expenditure i.e. Government spending. It is incurred by Central, State and Local governments of a country.

Public expenditure can be defined as, "The expenditure incurred by public authorities like central, state and local governments to satisfy the collective social wants of the people is known as public expenditure."

Throughout the 19th Century, most governments followed laissez faire economic policies & their functions were only restricted to defending aggression & maintaining law & order. The size of public expenditure was very small.

But now the expenditure of governments all over has significantly increased. In the early 20th Century, John Maynard Keynes advocated the role of public expenditure in determination of level of income and its distribution.

In developing countries, public expenditure policy not only accelerates economic growth & promotes employment opportunities but also plays a useful role in reducing

poverty and inequalities in income distribution.

Micro Economics

Scope of Public Expenditure

As far as the scope of public expenditure is concerned, it is possible to divide the main schools of thought into two classes. Traditional thinking and philosophy do not favour the growth of public expenditure. Instead, it considered market mechanism as a better guide in working of the economy and allocation of its resources. It was argued that each economic unit was the best judge of its own economic interests and the government was certainly not able to decide on behalf of others. Adam Smith in the “Wealth of Nations” pointed out that a sovereign nation has only three duties to attend to. They are:

- i) **The duty of protecting the society from the violence and invasion of other independent societies,**
- ii) **The duty of establishing an exact administration of justice and**
- iii) **The duty of erecting and maintaining certain public works and certain public institutions which it can never be for the interest of any individual.**

The other, school is more generally in favor of an increase in the functions of state. They are of the view that it is wrong to believe that private individuals spend money better than their governments do. Hence, it is wrong to advocate that “leave people alone” to pursue his interest in his own way.

German writers go so far as to extend scope of public expenditure to new social undertakings and to magnify the claims of the state against those of the individuals. The popular slogan then was for state intervention in almost every field, government should do everything. Thus Adolph Wagner, a German economist presented his famous “law of the increase of state activities” in these terms.

“Comprehensive comparisons of different countries and of different times shows that among progressive peoples, with which alone we are concerned, an increase regularly takes place in the activity of both the Central and local governments. This increase is both extensive and intensive. The central and local governments constantly undertake new functions, while they perform both old and new functions more efficiently and completely. In this way the economic needs of the people, to an increasing extent and in a more satisfactory fashion, are satisfied by the central and local governments”.

Prof. R.A. Musgrave, a twentieth century economist advocated public expenditure since a government is forced to do many activities such as:

1. **Activities to secure a reallocation of resources.**
2. **Redistribution activities**
3. **Stabilising activities and**
4. **Commercial activities.**

Therefore, public expenditure is increasing in both developed and under developed countries.

Classification of Public Expenditure

Classification of Public expenditure refers to the systematic arrangement of different items on which the government incurs expenditure.

Different economists have looked at public expenditure from different point of view. The following classification is based on these different views.

1. Functional Classification

Some economists classify public expenditure on the basis of functions for which they are incurred. The government performs various functions like defence, social welfare,

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Introduction

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agriculture, infrastructure and industrial development. The expenditure incurred on such functions fall under this classification. These functions are further divided into subsidiary functions. This kind of classification provides a clear idea about how the public funds are spent.

2. Revenue and Capital Expenditure

Revenue expenditure is current or consumption expenditures incurred on civil administration, defence forces, public health and education, maintenance of government machinery. This type of expenditure is of recurring type which is incurred year after year.

On the other hand, capital expenditures are incurred on building durable assets, like highways, multipurpose dams, irrigation projects, buying machinery and equipment. They are non recurring type of expenditures in the form of capital investments. Such expenditures are expected to improve the productive capacity of the economy.

3. Transfer and Non-Transfer Expenditure

A.C. Pigou, the British economist has classified public expenditure as:

1. **Transfer expenditure**
2. **Non-transfer expenditure**

Transfer Expenditure:

Transfer expenditure relates to the expenditure against which there is no corresponding return.

Such expenditure includes public expenditure on:

1. **National Old Age Pension Schemes,**
2. **Interest payments,**
3. **Subsidies,**
4. **Unemployment allowances,**
5. **Welfare benefits to weaker sections, etc.**

By incurring such expenditure, the government does not get anything in return, but it adds to the welfare of the people, especially belong to the weaker sections of the society. Such expenditure basically results in redistribution of money incomes within the society.

Non-Transfer Expenditure:

The non-transfer expenditure relates to expenditure which results in creation of income or output.

The non-transfer expenditure includes development as well as non-development expenditure that results in creation of output directly or indirectly.

1. **Economic infrastructure such as power, transport, irrigation, etc.**
2. **Social infrastructure such as education, health and family welfare.**
3. **Internal law and order and defence.**
4. **Public administration, etc.**

By incurring such expenditure, the government creates a healthy conditions or environment for economic activities. Due to economic growth, the government may be able to generate income in form of duties and taxes.

4. Productive and Unproductive Expenditure

This classification was made by Classical economists on the basis of creation of productive capacity.

Productive Expenditure:

Expenditure on infrastructure development, public enterprises or development of agriculture increase productive capacity in the economy and bring income to the government. Thus they are classified as productive expenditure.

Unproductive Expenditure:

Expenditures in the nature of consumption such as defence, interest payments, expenditure on law and order, public administration, do not create any productive asset which can bring income or returns to the government. Such expenses are classified as unproductive expenditures.

Development and Non-Development Expenditure

Modern economists have modified this classification into distinction between development and non-development expenditures.

Development Expenditure:

All expenditures that promote economic growth and development are termed as development expenditure. These are the same as productive expenditure.

Non-Development Expenditure:

Unproductive expenditures are termed as non development expenditures.

5. Grants and Purchase Price

This classification has been suggested by economist Hugh Dalton.

Grants

Grants are those payments made by a public authority for which there may not be any quid-pro-quo, i.e., there will be no receipt of goods or services. For example, old age pension, unemployment benefits, subsidies, social insurance, etc. Grants are transfer expenditures.

Purchase Prices

Purchase prices are expenditures for which the government receives goods and services in return. For example, salaries and wages to government employees and purchase of consumption and capital goods.

6. Classification According to Benefits

Public expenditure can be classified on the basis of benefits they confer on different groups of people.

Common benefits to all: Expenditures that confer common benefits on all the people. For example, expenditure on education, public health, transport, defence, law and order, general administration.

Special benefits to all: Expenditures that confer special benefits on all. For example, administration of justice, social security measures, community welfare.

Special benefits to some: Expenditures that confer direct special benefits on certain people and also add to general welfare. For example, old age pension, subsidies to weaker section, unemployment benefits.

7. Hugh Dalton's Classification of Public Expenditure

Hugh Dalton has classified public expenditure as follows:

Expenditures on political executives: i.e., maintenance of ceremonial heads of state, like the president.

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Administrative expenditure: to maintain the general administration of the country, like government departments and offices.

Security expenditure: to maintain armed forces and the police forces.

Expenditure on administration of justice: include maintenance of courts, judges, public prosecutors.

Developmental expenditures: to promote growth and development of the economy, like expenditure on infrastructure, irrigation, etc.

Social expenditures: on public health, community welfare, social security, etc.

Public debt charges: include payment of interest and repayment of principle amount.

1.3 EFFECTS OF PUBLIC EXPENDITURE

In a socialist country, the public sector directly produces most of the goods and services and increases production and employment as stipulated in planned programs of the country. Further, inequality income arising from property rights does not arise, since individual property rights are abolished. To the extent there is a difference of income due to work effort; government intervention becomes necessary by way of personal taxation or expenditure programs to correct this discrepancy. The government mainly pursues extra budget policies to attain economic growth, maintain economic stability and reduce income inequality. But in mixed economies, where the private sector plays an important part, the public sector influences production and employment mostly by indirect methods. This is particularly so in mature countries where the private sector sufficiently strong to maintain economic efficiency. In the case of underdeveloped countries, however, direct intervention by the government becomes inevitable to transform the economy, though the private sector is also playing an important role in the process of production. In mixed economies, the public sector produces some important public goods which the private sector cannot produce since the benefits of these goods accrue collectively to the society. The government may subsidize the private production of certain partial social goods for increasing their output. In such cases, the external benefits are recognizable and the market can allocate these goods efficiently, if certain subsidies are given by the government so that their prices reflect marginal social cost. In the case of underdeveloped countries, the public sector may have to produce certain private goods which are considered to be important from the point of view of economic development and which the private sector is unable to produce due to lack of adequate resources, lack of enterprise or technical know-how or lack of experience. The public sector may also produce these goods to have strategic control over the economy. The role of public expenditure accelerating economic development in underdeveloped countries depends on the nature of the country and the political will of the government. Public expenditure may be used as a balancing factor or a counter-cyclical measure to attain full employment and to maintain stability. Public expenditure may bring about equitable distribution of income between different sections of the community. In this chapter we will examine the criteria for determining the economic efficiency of public expenditure since it now constitutes a significant proportion of gross national product in each country. J. B. Say's dictum that the very best of all plans of finance is to spend little and the best of all taxes is that which is the least in amount is no longer valid. In short, public expenditure has a significant role in initiating a process of change in these countries.

1.3.1 Impact of Public Expenditure on Production and Employment

If public expenditure is used as an indirect method of influencing production and employment, it can increase the ability and willingness of the people to work, save and

invest and help to divert economic resources as between different uses and localities. If public expenditure can increase the efficiency of a person to work, it will promote production and national income. For example, public expenditure on education, medical services, cheap housing facilities etc., can increase the efficiency of persons to work. Again, all public expenditure will increase the beneficiary's ability to save, in so far as it gives him any additional margin of this kind. Ability to invest will also be increased if public expenditure places investment funds in the hands of anybody whose business is to undertake capital expenditure.

The effects of public expenditure on the willingness to work, save and invest will depend considerably on the expectation of future benefits. In some cases, these benefits reduce the willingness to work and save. For example, war pensions and interest on war loans will seldom increase the desire to work or save. Particularly, where demand for income in terms of effort is inelastic, such fixed, periodical and unconditional grant will become disincentives. But the cases where the grant increases along with an increase in future effort - the desire to work and save will go up.

Public expenditure can have far-reaching effects on the utilization of resources as between alternative uses. The government can divert resources from one field and increase the production in another. For example, the government can reduce the production of currently consumable goods and increase the expenditure on defence. Alternatively, public expenditure may bring about a better allocation of economic resources between the present and future.

The government may also divert resources among different regions to bring about balanced regional development. This can be done through the help of central grants and regional planning. Further, public expenditure can also modify the allocation of resources and thus, influence the composition of the GNP. For example, if there is no change in the total volume of public expenditure and there is only a variation in the specific purposes of these expenditures, this may depress or encourage particular industries or sectors of the economy with consequent repercussions on the volume of goods and services.

An increase in public investment in highway construction may stimulate automobile and allied industries and this expansion, in turn, may retard railway expansion. Similarly, subsidies given for the assistance of particular industries may develop them at the expense of others. For example, if grants are given for building houses for middle or poor income groups, resources might flow to construction industries.

The effect of public expenditure on the production of private goods depends, however, on the state of employment. With unemployment, government activities may not decrease the production of private goods and services. The government can provide more education, water ways, battleship etc., and all these, instead of causing a reallocation of resources away from privately produced goods may result in the utilization of otherwise idle resources to produce goods that constitute a net increase in the national income. On the other hand, if there is full employment, the output of the private sector of the economy may be reduced with an increase in that of the public sector.

1.3.2 Public Expenditure and Economic Growth

In the case of under developed countries, where the government directly intervenes in the economy to accelerate the process of growth, public expenditure is converted into a theory of public investment. Because without additional government investment, there can be no change in the economic base of the country. In fact, public expenditure determines both the scale and pattern of investment. The more the public expenditure,

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the greater is the magnitude of savings and investment in the economy and so also the change in the rate of growth of income. Also, in some cases, it becomes inevitable to push the rate of investment by curtailing aggregate consumption to overcome indivisibility in the production process. However, the magnitude of investment is limited by availability of resources. The poor countries are poor because there are poor. What the size of investment will be, therefore, will depend on the resources that the government can raise for the purpose.

But once investment resources are known, the government can then determine the pattern of investment. Hence, the government has to make a choice between long-term growth or structural change of the economy and short-term growth or providing immediate employment opportunities and meeting the present needs of the community.

There is no doubt that there is a clash between the maximization of present output and consumption and growth and output in future. This conflict is illustrated in Diagram. 3.1. Consider Diagram in which output is measured on the vertical axis above the origin, labour on the horizontal axis, and a fixed amount of capital (OK) on the vertical axis below the origin. If labour is abundant, and the wage is given in the industrial sector, the wage will rise linearly with the amount of labour employed, given by OW. With the fixed amount of capital, OK output is maximized with the unemployment of labour, OT, but the surplus of production over consumption now is very small. The investible surplus is maximized with the employment of labour OR, where a tangent at 'S' to the total product curve is parallel to the average wage line OW. The more labour-intensive technique will maximize the output in the short run, but the more capital — intensive techniques provide a greater surplus for reinvestment for future growth.

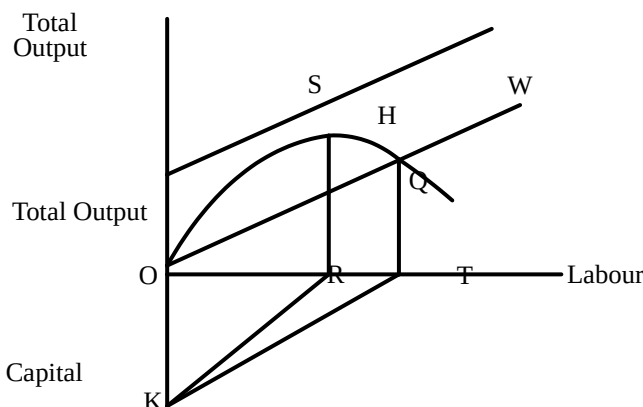


Figure 3.1

In fact, in most under developed countries, since the Second World War, attempts have been made to improve the base of the economy and at the same time provide the basic necessities of life by improving the production of currently consumable goods. Table 3.1 presents the investment pattern during the Five Year Plan periods in India.

Public Sector Outlay During the First Five Plans (Including State's Shares) in Terms of Percentage

Total Outlay and Head of Expenditure	First Plan	Second Plan	Third Plan	Fourth Plan	Fifth Plan	Sixth Plan
Total Outlay (in Rs. Crores)	1,960	4,672	8,577	15,779	39,322	69,380
1. Agriculture & allied Sectors	14.8	11.7	12.7	14.7	11.0	12.4
2. Irrigation & Flood control	22.2	9.2	7.8	8.6	10.7	13.9
3. Power	7.6	9.7	14.6	18.6	26.2	30.0
					(Including S&T)	(Including S & T)
4. Industry and Minerals	2.8	20.1	20.1	18.2	18.7	14.9
					(Excluding Energy)	(Excluding Energy)
5. Transport & Communication	26.4	27.0	24.6	19.5	17.6	15.2
6. Others	24.1	18.3	17.4	20.4	15.8	13.5

Table 3.2

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Because of all these development programs, there has been a considerable change in the Indian economy. Along with an increase in agricultural and industrial production capacity and strengthening of both the agricultural and industrial bases of the economy, the saving-income ratio and saving investment ratio have shown signs of resilience.

From a low figure of 5% in 1950-51, the net domestic savings and net investment as percentage of net national product have gone up to the extent of 18 to 19 % with slight yearly fluctuations. All these show that public expenditure can bring about economic growth and structural changes in the economy.

3.3.3 Expenditure as a Balancing Factor

The importance of public expenditure as a 'balancing factor' in the determination and distribution of national income owes its origin to the 'General Theory'. J. M. Keynes could effectively prove that public expenditure can be used as a balancing factor. If there was an imbalance between investments and savings, thereby causing recession or depression in a country, the government could control such a situation by increasing expenditure on public works or transferring income from the rich to poor whose marginal propensity to consume is higher than that of the former.

This was a challenge to classical tradition. Pigou, the eminent exponent of the classical tradition, maintained that the normal situation in a capitalist economy is stable equilibrium of full employment. In other words, the social policy which guarantees normal full employment was laissez-faire. This analysis was based on several important factors. Firstly, all income is spent, partly for consumption and partly for investment and so there is no reason to expect a break in the flow of the income stream. Second, the desired rate of saving and investment could be secured by manipulating the rate of interest and third if at any time, there is unemployment, this could be cured by a flexible wage rate which falls under the pressure of unemployment until all who are willing to work could find employment.

The classical tradition was so strong in economics that even in 1930, the British treasury cut the salaries of school teachers and retrenched on other expenditure in order to try to bring the budget into balance to meet the challenge of the great depression. However, within a few years, the Keynesian answers successfully repudiated the stubbornly held neo-classical tenants and changed the direction of the economic policy of the government. This represented the complete departure from the traditional policy of laissez-faire. Due to this analysis, public expenditure assumed tremendous importance as a contra-cyclical or compensatory device to maintain stability and promote increased employment opportunities.

The importance of public expenditure in Keynesian economics could be seen in three lines of thought viz., i) Prevention of periodic tendencies to depression in a capitalistic economy, ii) Regulation of the tendency towards secular stagnation in mature economies and improvement in the distribution of income so as to increase aggregate consumption. Since the role of fiscal policy in maintaining economic stability has been discussed, we will briefly highlight some of the important points which have direct relevance to the subject under the study.

Keynes' analysis of periodic tendency to depression in capitalistic economies is based upon the assumption that when national income rises, the volume of savings tends to grow and, probably, more, than in proportion to the increases in aggregate

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income. A further characterization of the consumption-income relationship is the proportion that a small increment in income will be accompanied by a smaller one in consumption. In technical Keynesian terms this states that marginal propensity to consume is less than unity. This idea is an important feature of 'Cyclical Keynesianism'.

The Cyclical Keynesianism that in advanced industrial economies, the long-term prospects of investments are likely 10 lag behind full employment savings. Alvin Hansen in 1938 pointed out that a mature economy may ultimately lead to secular stagnation due to

- i) **Slowing population increase,**
- ii) **Passing of the frontline free land,**
- iii) **High corporate saving,**
- iv) **The vast pilling up of capital goods and**
- v) **A bias towards capital-saving inventions which will imply depressed investment schedules relative to saving schedules.**

Basing his proposition, that the propensity to consume of the poor is greater than that of the rich, Keynes suggests that if there is a less unequal distribution of income, total consumption will increase, which will, due to the multiplier effect, facilitate greater increase in national income and employment opportunities.

3.3.4 Public Expenditure and Redistribution of Income

Keynes advocated improvement in the distribution of income in favor of the poor for increasing aggregate consumption since he assumed that the marginal propensity to consume of the poor is greater than that of the rich. But he did not consider the question of equity in the distribution of income. In a mixed economy, market-determined solution of income distribution may or may not be efficient, but may not be desirable from the ethical point of view. The optimal theory of distribution of income indicates that the ultimate allocation of income among factors depends upon, i) Relative factor supplies, ii) The nature of the productive process, and iii) The relative demands for the various goods and services.

But the argument that the optional return should be based on the existing factor endowments is hardly correct as these are not fixed for all time to come. They may change with technology. In fact, the doctrine of factor endowments is more useful in explaining where a factor has been thrown rather than where it might go. Thus, the so called efficient solution may not be so. It only signifies that it is possible to make some redistribution that will render some members of the society better off without making others worse off.

Such ethical redistribution of income is based on a). The law of diminishing marginal utility of money, and b). The famous Sidwick assumption that persons with the same income possess the same capacity for employment.

First, law of diminishing marginal utility of money is acceptable even in case of a many commodity world on the basis of broad grounds of experience, reflection and conversation. Secondly, satisfactions of different individuals are comparable.

Though the new welfare economics of Hicks, Kaldor, Robbins and Hotelling has pointed out that nothing scientific can be said about equity as it is based on Value Judgements. As Dalton has said, that system of the public finance has the strongest tendency to reduce the inequality of income. The important question is not whether this is true or not, but how far should it be carried? What should be the actual pattern of distribution?

Inequality in a capitalist society arises mainly due to two reasons viz.,

- i) **Differences in the amount of income-producing property held by various individuals; and**
- ii) **Differences in talents or skills among individuals.**

Since in a capitalist state, private property is recognized, the government may change the pattern of resource ownership by levying death and inheritance taxes or by placing limits upon the amounts of possession. In most welfare states, action has been taken to change the pattern of resource ownership by the imposition of such taxes.

Secondly, the government may also alter the pattern of resource price, by establishing minimum wages or minimum prices for certain products. This method is more popular in under developed countries than in developed ones.

Third, the government may alter personal incomes independently of resource ownership or resource prices by personal income taxes, commodity taxes or by the creation of purchasing power on the one hand, and by public expenditure on the other.

In most of the developed economics, taxes play an important part in raising resources. In the case of Sweden and France, taxes constitute 43 and 38% of the GNP respectively in 1976. In the U.K. they are roughly 35% where as in the U.S.A., they constitute about 32%. The tax structure constitutes both direct and indirect taxes. Though direct taxes are progressive, indirect taxes fall heavily on the poor. In some cases, heavy commodity taxes are imposed on luxuries in order to neutralize the regressive character of tax system.

1.4 THEORIES OF PUBLIC EXPENDITURE

1.4.1 Wagner's law of increasing state activities

Public Expenditure is increasing

Adam Smith wrote in the 'Wealth of Nations' that the government should restrict their activities to;

1. **Defence against foreign aggression.**
2. **Maintenance of internal peace and order.**
3. **Public development work.**

All other functions besides these were considered beyond the scope of the state & expenditure on them was treated as unjust & wasteful.

But there had been a spectacular expansion in the functions of state & this resulted in phenomenal increase in public expenditure for this we shall take a look at contribution by Adolph Wagner & Peacock-Wiseman hypothesis.

Adolph Wagner's Law of Increasing State Activity

Adolph Wagner, the German economist made an in depth study relating to rise in government expenditure in the late 19th century. Based on his study, he propounded a law called "The Law of Increasing State Activity".

Wagner's law states that "as the economy develops over time, the activities and functions of the government increase".

According to Adolph Wagner, "Comprehensive comparisons of different countries and different times show that among progressive peoples (societies), with which alone we are concerned; an increase regularly takes place in the activity of both

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the Central Government and Local Governments constantly undertake new functions, while they perform both old and new functions more efficiently and more completely. In this way economic needs of the people to an increasing extent and in a more satisfactory fashion, are satisfied by the Central and Local Governments.”

Wagner’s Statement Indicates Following Points

1. **In Progressive societies, the activities of the central and local government increase on a regular basis.**
2. **The increase in government activities is both extensive and intensive.**
3. **The governments undertake new functions in the interest of the society.**
4. **The old and the new functions are performed more efficiently and completely than before.**
5. **The purpose of the government activities is to meet the economic needs of the people.**
6. **The expansion & intensification of government function & activities lead to increase in public expenditure.**
7. **Though Wagner studied the economic growth of Germany, it applies to other countries too both developed and developing.**

1.4.2 The Peacock-Wiseman Hypothesis

Peacock and Wiseman conducted a new study based on Wagner’s Law. They studied the public expenditure from 1891 to 1955 in U.K. They found out that Wagner’s Law is still valid.

Peacock and Wiseman further stated that:

1. **“The rise in public expenditure greatly depends on revenue collection. Over the years, economic development results in substantial revenue to the governments, this enabled to increase public expenditure”.**
2. There exists a big gap between the expectations of the people about public expenditure and the tolerance level of taxation. Therefore, governments cannot ignore the demands made by people regarding various services, especially, when the revenue collection is increasing at constant rate of taxation.
3. They further stated that during the times of war, the government further increases the tax rates, and enlarges the tax structure to generate more funds to meet the increase in defence expenditure. After the war, the new tax rates and tax structures may remain the same, as people get used to them. Therefore, the increase in revenue results in rise in government expenditure.

Conclusion on the State of Public Expenditure

Wagner’s law and Peacock-Wiseman hypothesis emphasize on the fact that public expenditure has tendency to increase overtime.

1.5 WAGNER’S LAW

Wagner’s law, also known as the law of increasing state spending, is a principle named after the German economist Adolph Wagner (1835-1917). The law predicts that the development of an industrial economy will be accompanied by an increased share of public expenditure in gross national product: Wagner’s law suggests that a welfare state evolves from free market capitalism due to the population voting for ever-increasing social services. Neo-Keynesians and socialists often urge governments to emulate

modern welfare states like Sweden. In spite of some ambiguity, Wagner's statement in formal terms has been interpreted by Richard Musgrave as follows:

As progressive nations industrialize, the share of the public sector in the national economy grows continually. The increase in State Expenditure is needed because of three main reasons. Wagner himself identified these as (i) social activities of the state, (ii) administrative and protective actions, and (iii) welfare functions. The material below is an apparently much more generous interpretation of Wagner's original premise.

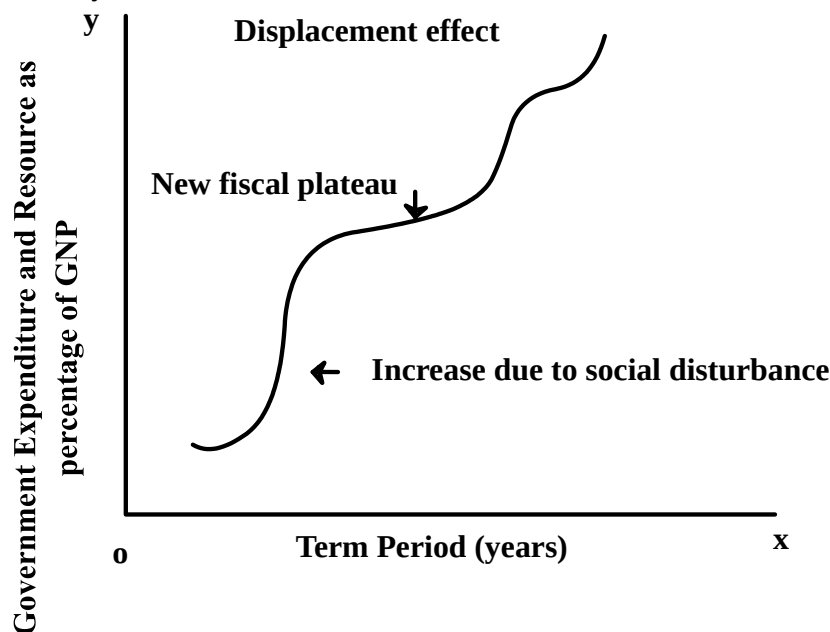
- **Socio-Political :** **the state social functions expand over time: retirement insurance, natural disaster aid (either internal or external), environmental protection programs, etc.**
- **Economic :** science and technology advance, consequently there is an increase of state assignments into the sciences, technology and various investment projects, etc.
- **Historical:** the state resorts to government loans for covering contingencies, and thus the sum of government debt and interest amount grow; i.e., it is an increase in debt service expenditure.

1.6 PEACOCK AND WISEMEN HYPOTHESIS

The second thesis of the growth of public expenditure was given by Wiseman and Peacock in their well known study of public expenditure in the United Kingdom during the period 1890-1955. The main thesis of the authors is that public expenditure does not increase in a smooth and continuous manner. The increase in public expenditure over time has occurred in jerks or step-like manner. The general approach to the hypothesis refers to the three related concepts,

1. Displacement effect
2. Inspection effect
3. Concentration effect

Now the society is used to



Figure

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Using the empirical data for the British economy after 1890, Wiseman and Peacock observe that the relative growth of the public sector in the United Kingdom has followed a discrete step like pattern rather than a 'continuous' growth pattern. In other words during the period of almost seven decades covered by the study the fiscal activities in the country have risen step by step to successive new plateaus. At times some social or other disturbances take place which at once shows the need for increased public expenditure which the existing public revenue cannot meet. While earlier due to an insufficient pressure for public expenditure the revenue constraints was dominating and it restrained any expansion in public expenditure, under the new condition such restraints give way. The public expenditure increase and it reveals the inadequacy of the present revenue. The movement like the older level of expenditure and taxation to a new and higher level called the displacement effect. But when once the social disturbance ended the newly emerged levels of 'tax tolerance' make the society with to support a higher level of public expenditure.

Heavier taxes and realizes that it is capable of carrying heavier tax burden than it previously had thought possible to bear. Thus when the major social disturbance ends, no strong motivation exists for the society to return to the lower pre-disturbance level. The higher government revenues are used to support a permanently higher level of public sector allocation. Figure shows the displacement effect.

In the above figure X-axis measures the time period and Y-axis represents public expenditure as a percentage of gross national product. The figure reveals that as the social disturbances cause a relative expansion of the public sector the displacement effect which occurs helps to explain the time pattern by which the government growth took place. This displacement effect does not require that the new higher plateau of expenditure will continue with the same expenditure pattern that was created by social disturbance.

Although some of the increased government outlays such as debt interest are direct results of a social disturbance, other expenditure items frequently involve the expansion of the government activity into new areas of economic activity. War and other social disturbances force the people and their government to find solutions of important problems which had been neglected. This is known as the inspection effect. This is created by the inadequacy of revenue as the required public expenditure creates an inspection effect.

In addition to the displacement and inspection effects, Peacock and Wiseman also give a concentration effect. It refers to the apparent tendency for the central government economic activities to become an increasing proportion of the total public sector economic activity when the society is experiencing economic growth.

In short Wiseman and Peacock concluded that in the United Kingdom (1) the relative growth of the public sector has occurred in a step-like pattern i.e., displacement effect, (2) an inspection process has occurred whereby existing problems are more clearly defined with the potential solutions more carefully studied during a major disturbance, and (3) a 'concentration' process has existed whereby the central government has become a larger proportion of the aggregate public sector. British data are consistent with this finding, but its application to other countries needs verification. Again this aspect of concentration effect is closely connected with the political set up of the country.

Though Wise man-Peacock hypothesis looks very much convincing, we should remember that it emphasizes jumps in public expenditure only due to abnormal situations. In all recognition to the historical facts we must not forget that on account of the

advance of the economy and the structural changes therein, there are constant and regular increments in public expenditure and public revenue. Public expenditure has a tendency to grow on account of a systematic expansion of the public activities as also an increase in their intensity and quality. An upward movement in public expenditure is the outcome of an increasing population, urbanization, ever increasing awareness of civic rights and duties on the part of the state. In developing countries like India, these days the state is deliberately trying to increase its activities and makes an effort to finance those activities through various tax efforts. Even in developed countries the state has an increasing regulatory duty towards the economy to protect it against instability and from excessive inequalities and wealth. Thus Wise man-Peacock hypothesis is comprehensive and does not isolate the relevant causes at work. Again besides the common factors, like growth of defence expenditure, excessive pressure of population, inflation, and urbanization there are inherent deficiencies of market mechanism which make the economy a prey of economic instability, income and wealth inequalities, defective patterns of consumption, employment, investment and so on. In many cases the market mechanism fails to pull the economy from the vicious circle of poverty and take it to a rapid economic growth.

Nevertheless the Wiseman-Peacock approach to government spending is much more modest in what it aims to explain than the Wagner hypothesis. It contributes significantly to the understanding of the process of the growth of public sector in industrial nations.

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1.7 REASONS OF PUBLIC EXPENDITURE

Public expenditure in developing countries is rising fast due to the following reasons:

1. **Defence,**
 2. **Welfare schemes,**
 3. **Population growth,**
 4. **Transport and Communications,**
 5. **Industrial development,**
 6. **Economic planning,**
 7. **Servicing of public debt,**
 8. **Primary secondary and higher education,**
 9. **Other causes.**
- (1) **Defence: A large part of the total public expenditure is devoted to defence. This is due to the increasing cost of new weapons, sophisticated tanks and guns, modernization of defence forces due to the constant threat from neighboring countries. The total defence expenditure of the Indian government rose considerably.**
 - (2) **Welfare Schemes:** Since wages in underdeveloped countries are low, a number of welfare schemes are undertaken by the government, such as free or subsidized health services, child welfare, welfare of the handicapped, subsidies on food and housing, special schemes for the unemployed, for scheduled castes and tribes as in India, etc. Public expenditure in India on social welfare schemes has gone up phenomenally.
 - (3) **Population Growth:** Population has been expanding fast in developing countries. The population theory of Malthus has been operating in such countries. A large

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amount has to be spent on child welfare, nutrition, social security measures, public health services, family planning programs, such as free supplies of contraceptives, sterilization programs, IUD insertions, couple protection, etc.

- (4) **Transport and Communication:** Transport and communication systems are developing fast in these countries and so is the public expenditure. Roads are constructed in villages, and highways are built in response to the development of industries and markets. The main objective of economic planning in underdeveloped countries is rapid capital formation for which it is necessary to build highways and also develop modern means of communication. A heavy expenditure on railways and airways becomes necessary. Public transport and means of communication play an important role in the country's economic development and hence an increasing expenditure on them.
- (5) **Industrial Development:** A developing country needs industrial development both in the private and public sectors. Cheap credit to small-scale industries, supply of raw materials at concessional rates, export subsidies, tax concessions for industries in the backward regions, setting up of strategic industries in the public sector etc., all these have added enormously to the public expenditure.
- (6) **Economic Planning:** Economic planning has been accepted by one and all both the developing and developed countries for achieving certain objectives. In developing countries, economic planning is necessary for removing the glaring inequalities, regional imbalances and poverty. Huge sums are spent by the government on formulating and implementing plans. A large number of economists and statisticians have to be employed to prepare economic plans, and the administrative machinery has to be expanded to implement them.
- (7) **Servicing of Public Debt:** Developing countries have to depend on large imports of strategic capital goods for their rapid economic development. Their own resources fall short of requirements. Hence, large internal and external loans are taken by the governments of the developing countries. This involves annual payment of interest, the principal and cost of debt management. These charges, called "servicing of public debt", are rising year after year, and are added to the public expenditure. The public expenditure of India on interest payment alone has risen phenomenally.
- (8) **Primary secondary and Higher Education:** Illiteracy was rampant in backward countries half a century ago. With the emergence of national governments after liberation from colonial rule; developing countries have been providing free primary education and highly subsidized secondary and higher education. Education in the fields of medicine, engineering, tannery, science, etc., is being promoted at a heavy cost to the treasury.

The drive against illiteracy in the form of adult education is costing the government treasury in India enormously. Vocational courses and apprenticeship training programs etc., are being introduced and scholarships, maintenance charges etc., are granted on a large scale to students, though the amount as a percentage of the total outlay is very meager. In India, public expenditure on account of education, art, culture, scientific services and research has increased considerably.

- (9) **Other Causes:** Besides the above, there are other causes for increasing public expenditure, which are: rising government expenditure on agriculture (irrigation facilities, subsidized fertilizer supplies, subsidized modern equipment, such as tractors, cheap credit to agriculture, waiving of agriculture plans to small farmers, etc.), maintenance of democratic-institu-

tions (e.g., periodic elections, administration of justice, salaries and pensions to legislators, etc.) and aid to less developed countries. The total of the Union Government expenditure in India has gone up enormously.

Dalton's Norms of Public Expenditure

Dr. Dalton, the former Exchequer of the British Government, has enumerated the following norms for measuring benefits of public expenditure:

- (1) **Expenditure on Defence and Law and Order:** **This is necessary for social welfare for preserving the society.**
- (2) **Expenditure for Improving Production:** Improvement in the efficiency of workers through expenditure on social welfare measures and, community services. Examples: expenditure on education, research, science, subsidies, etc.
- (3) **Expenditure having favorable effects on distribution of income and wealth, reducing inequalities:** Through expenditure on old-age pensions, hospitals, social security measures, sickness benefits, etc.
- (4) **Expenditure to promote Full Employment:** Various schemes to promote effective demand and to promote employment directly through schemes, such as employment guarantee schemes.
- (5) **Planning of Public Expenditure:** to check inflation and deflation and to protect future generations.

According to Dalton, public expenditure should be incurred in such a way as to equalize its marginal social advantage in all directions and should also balance its own marginal social advantage with the marginal social disadvantage of raising additional revenues for the purpose.

1.7.1 Causes for the Growth of Public Expenditure

There has been a phenomenal increase in public expenditure in almost all the countries of the globe. This tendency which was noted in the previous century has become crystallized in the present century, Change in the role of the state and public policy is the root cause of the growth of public expenditure in recent years.

The classical economists assumed the state to have a very limited function under the laissez faire policy. The functions of the state were restricted to justice, police and arms. The classicists therefore believed that every particle of expenditure that is incurred beyond what necessity absolutely requires for the preservation of social order and for protection against foreign attack is waste and unjust and oppressive imposition on the public. According to J.B. Say "The very best of all plans of finance is to spend a little".

Today the role of the state has changed under the welfare criterion and there is a persistent trend towards an extensive and intensive increase in the scale of governmental performance. Apart from performing old functions more efficiently and on a larger scale, the modern states constantly undertake new functions and added responsibilities day-by-day. In short, the increase in the governmental functions has been responsible for an increasing trend of the public expenditures. The main factors that have gone into the huge increase in public expenditure are as follows:

1. **The Concept of Welfare State: Upto 19th century the government followed the notion of police state. The modern state is a welfare state. It aims at promoting the economic, social and political well being of citizens. It makes every effort to improve the standard of living of the common people. For this purpose the state should undertake more functions such as health**

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services, social security, and housing for the poor, subsidies on food and so on. As a result there has been a phenomenal growth in public expenditure particularly after the Second World War.

2. **The Need for Defence:** International political situation is insecure and uncertain. Due to the invention of nuclear weapons there is always a danger of foreign aggression. Hence every nation has to prepare for a strong defence. The defence expenditure is thus perpetually rising. It contains expenditure on war materials, maintenance and growth of armed forces, naval and air wings, expenses on the development of military art, pensions to war personnel, interest on war loans, and rehabilitation of war cost and so on. A larger amount of money is spent on research and development in this area. The modernization of defence forces and defence preparedness account for more than half the public expenditure in many countries.
3. **The Influence of Democratic Forces:** A democratic structure of government is more expensive than a totalitarian government. In India democracy is becoming a very costly affair. The expenditures on election and by-elections keep increasing. The number of ministry and executive offices has also been increased. The ruling party has to fulfill its promises and launch upon new policies and programs. Again from all sections of the community there is clamor for more amenities, more education, more medical aid, and more roads. Government has thus been pressed by the democratic forces to assume more and more functions. State activities have expanded and the functions of government have increased both intensively and extensively. In addition to the performance of old function in a more thorough fashion many new functions are constantly being undertaken. All these necessitate a larger public expenditure.
4. **The Urbanisation Effect:** There is rapid growth of urbanisation in almost all countries. While new cities are coming up there is expansion in the existing cities. As a result the quantity and quality of public services are affected leading to an increase in public expenditure. The government has to deal with the problems of water supply, sanitation, pollution and noise control. It has to provide better and quicker traffic and for different types of educational facilities.
5. **The Rural Development Effect:** In a developing country like India, where rural areas dominate the government has to spend more and more for rural development. It has to undertake schemes like Community Development and Integrated Rural Development.
6. **Modernisation of Agriculture:** To make the country self-sufficient in food production and raw materials modern governments undertake programs for the development of modernisation of agriculture. Big projects are undertaken to provide irrigation, fertilisers, scientific guidance and modern implements to the farmers. Money is to be spent on research and soil conservation, land reform and agricultural reforms. Subsidies and provision of easy credit would encourage agricultural production. All these call for large expenditure.
7. **Population Growth:** The secular growth of population has substantially contributed to the increase in public expenditure. The state will have an added responsibility of solving such problems as food, unemployment. Housing and sanitation. Again an overpopulated country like India should spend more on measures to check the growth of population. The state has to spend more and more on family planning campaigns every year.
8. **Industrial Development:** Industrial production contributes to increase in national income and it improves the standard of living. To ensure that the level of industrial

production is maintained and that there is a dispersal of industries in backward regions, the government offers incentives to private sector which have obviously resulted in increase in public expenditure.

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9. **The Growth of Transport and Communication:** A modern state should necessarily spend a huge sum of money to create and maintain an efficient and adequate transport system. Industrial and commercial developments depend very largely on the quality and extent of transportation and communication services. Hence every year huge amounts are to be spent on modernisation, construction of roadways, railways, waterways and airways. In the cities special arrangements are to be made for the transport of passengers. In rural areas too means of transportations are to be developed. Besides creating new transport net work, money is needed for the maintenance and improvement of the existing services. All these factors result in an enormous increase in public expenditure.
10. **Economic Planning Effort:** In recent years almost all the governments have adopted the principle of planned economic development. The government through the planning commission formulates and implements plans to provide full employment, reduce inequalities of income and wealth distribution, bring about a balanced regional development and to achieve a number of other socio-economic objectives. The government has to spend huge sums on planning leading to an increase in public expenditure.
11. **The Higher Price Level:** The rise in price has contributed to the mounting public expenditure. There has been a rise in prices of almost all commodities and services. Government, like individuals, has to make larger appropriations for the goods they have to purchase. Even to carry on government activities at prior level, they have to spend more. India has undergone such experience.
12. **Education:** In any country economic, social and political developments can never take place unless the citizens are educated. Institutions are started to provide primary, secondary and higher education either free of charge or at very moderate cost. The development of trade and industry has led to a demand for specialization in different fields. This has created the need to impart education in different fields of technology and business administration. Programs have also been launched to eradicate illiteracy. Substantial grants are given to primary and secondary schools, to colleges and universities. Different patterns of education are introduced to make education more and more practical and vocational. In order to carry the benefits of education to weaker sections of society, the government offers them free scholarships and even maintenance grants which enable them to buy books. Hence a substantial increase in public expenditure.
13. **Servicing of Large Public Debt:** Modern governments require huge finance for its various development activities. It cannot raise funds by taxation alone. Therefore it must resort to internal and external borrowing. Hence it has to pay interest and repay capital. This leads to an increase in public expenditure.
14. **Income Elasticity and Rise in Per Capita Income:** With increase in public expenditure the per capita income has also steadily increased. There is an association between the rise in per capita income and a rising share of public expenditure in GNP. In other words, one factor that explains the relative rise in public expenditure is the increase in per capita income. Rising per capita income causes change in the product mix between private and social goods such that the share of social goods increases. Increasing per capita income is associated with decline in the elasticity of public expenditure will be neither zero nor one but greater

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than one. In other words, the demand for social goods rises faster than the per capita income increase.

15. **Technical Change:** Technological changes may be such as to increase the relative importance of goods whose benefits are largely external. Such goods must be provided by government. For example the invention of internal combustion engine resulted in the rise of the automobile industry. This led to increasing demand for travel and so for highways. Change in war weapons technology is another example of this nature causing substantial increase in defence expenditure.
16. **Price Elasticity of Demand and Differential Productivity:** To Baumol public sector is sheltered from the competitive forces of the market economy, it is believed that (1) there is a low price elasticity for government services, (2) improvements in productivity are more likely in the private than in the public sector, (3) relatively uniform wage rates prevail in both public and private sectors. Therefore costs in the public sector would rise relative to the private sector.
17. **Ability to Finance Public Expenditure:** The increasing ability to finance public expenditure is also responsible for their absolute and relative increase. In poor economies public expenditure remains at a low level as tax collection is less. But as larger and more adequate tax handles are available to them, their governmental outlay increases.
18. **Dilemma of rising Public Expenditure:** "here is a dilemma particularly in a developing country about the enormous increase in public expenditure. It is called "tax-welfare backlash". Normally people are happy to consume government services but they are very much reticent in paying for them. Both individually and collectively people try to avoid tax payment which has grown enormously. But they resist cut in government services, subsidies and grants. The backlash is more prominent in those countries, which have greater reliance on personal income taxes and property taxes. This backlash is positively correlated with visibility of tax structure. Countries like Italy, France, Belgium and Netherlands rely heavily on invisible indirect taxes. Therefore they have better chances of dampening this effect.
19. **The Concept of Functional Finance:** Today the notion of public finance has been changed from sound finance to functional finance. The efficacy of fiscal policy has been recognized to control cyclical fluctuation. Thus the government has to incur huge expenditure during depression.

In a less developed economy, the theory of functional finance requires the growth of public expenditure in the accomplishment of the state functions visualized in the context of the development strategy adopted by the country. There is need for a huge public spending which may cause inflation and which in turn calls forth more spending.

Colin Clark however opines that inflation occurs when public expenditure exceeds 25 per cent of the aggregate national income even when the budget is balanced. Clark's hypothesis is however difficult to verify. But public expenditure beyond a stipulated limit will cause inflation. As a matter of fact, in underdeveloped countries, there is always the danger of inflationary spiral caused by excessive public expenditure by the government for the simple reason that the gap between the production potentiality frontier and the actual production frontier will be slow on account of overall paucity of resources and efficiency which are the basic characteristics of a poor country. But in a developing economy, an increase in public expenditure is justifiable as long as it is not wasteful and has no tendency as to generate inflation. A democratic state should be prudent in public

spending. The theoretical optimum is that the social marginal benefit of expenditure in all directions should be equal and just balance the marginal social sacrifice involved in raising additional revenue.

3.7.2 Effects of Public Expenditure

Public expenditure like taxation also influences the national economy to a very great extent. It affects production, distribution, stabilization of income, allocation of resources and unemployment.

(A) Effects on Production

Dr. Dalton while analyzing the effects of public expenditure very correctly said that, just as taxation other things being equal should reduce production as little as possible so that public expenditure should increase as much as possible. He stated that the effects of public expenditure can be evaluated by enquiring into its effect upon the following factors.

1. **Effects upon ability to work, save and invest.**
2. **Effects on willingness to work, save and invest.**
3. **Effects on diversion of economic resources as between different uses and localities.**

Effects on Ability to Work, Save and Invest

In the first place, public expenditure increases production through its effects on the ability to work, save and invest. Public expenditure on food, education, medical facilities, cheap housing facilities, means of transport and communication will increase the efficiency of the persons to work and this leads to increase in production. Public expenditure on social security schemes such as old age pension, unemployment allowance, sickness benefit etc., are helpful in increasing the purchasing power of the people, especially of low income groups and helps to increase the ability to work and save. When children are provided with milk, good food and other medical facilities they would grow healthy and strong, work efficiently and contribute to a substantial extent to the national income. Again public expenditure for increasing the salaries and wages of the people and supply of goods and articles and other essential goods at cheap rates to them will increase their purchasing power, standard of living, efficiency and hence their ability to work and save may increase. Similarly when public expenditure is incurred to maintain law and order it will naturally create confidence in the minds of the people and therefore will encourage them to undertake investments. When investment increases production will increase, increasing the income of the people. With larger income in the hands of the people their ability to work, save and invest also increases.

On the other hand, if public expenditure is spent on wasteful social function, on the production of intoxicants which are injurious to health, it may have adverse effects on the ability to work, save and invest. Again if heavy public expenditure is made on the construction of film studios, cinema houses, hotels and bars instead of constructing roads, banks and other public utility services, it will prove harmful for production and it will affect the ability to work, save and invest. Thus public expenditure should be undertaken in such a way that it is most beneficial to the entire community.

Effects on Willingness to Work, Save and Invest

In the second place, public expenditure affects production through its effects on the will to work, save and invest. As far as this aspect is concerned it depends to a great extent upon the character of public expenditure and the policy of the government. For example if the people are given cash benefits in the form of old-age pensions, unemployment

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allowances or interest on loans and if they are sure of getting these cash benefits in the future as well, their desire to work save and invest would be definitely reduced. Hence the public expenditure should be regulated in such a way that it may not adversely affect the incentive to work of the people. Again a person will not work and save, if he considers that his present savings and investments will not earn an income to him in future i.e., if he finds that his future is insecure. Therefore his willingness to save and invest will be reduced. If on the other hand the benefits increase with increase in work and the volume of savings, the desire to work and save will increase and vice-versa. If the people are confident that their present savings and investments are secure and that they will yield good dividends then the desire to work and save may also increase.

Effects on Diversion of Economic Resources

- (a) **Diversion of Resources:** **Public expenditure diverts resources from private to public use in many ways. The government expenditure on defence, police and civil administration diverts resources from private sector to public sector. Sometimes such expenditure is called as an economic waste. But it is not so. Defence is essential for internal peace and external security. But too much public expenditure on these services may have an adverse effect on the production. Therefore such expenditure should neither be too large nor too small but enough to maintain internal peace and external security.**
- (b) **Development of Infrastructure:** **Public expenditure affects production by building up an infrastructure and social overheads. Public expenditure on the construction of roads, ships, railways, power stations and the like promote a favorable climate for the development of industries, when projects are undertaken to provide irrigation facilities or electricity agricultural production too increases. The diversion of resources from private to public sector for the construction of infra-structure is very essential in a developing country. This type of public expenditure provides incentives to private investment by enlarging the size of markets for various commodities and services.**
- (c) **Encouragement to Private Sector industries:** **Pubic expenditure leads to an increase in production by encouraging die private sector industries. When public expenditure is incurred on subsidies to private industries and for the supply of essential raw materials, equipment and other technical services at moderate rates, there is invariably an incentive to produce more. When public expenditure helps the private sector to import machinery, equipment, raw materials and technical know-how from the industrially advanced countries, it increases national production. Public expenditure on the social overheads like education and training, public health, social security schemes, old age pensions etc., increases the social welfare as well as efficiency and skill of human capital in the private sector and contributes to economic growth and development to a greater extent in developing countries rather than in developed countries. Hence diversion of resources. If the government purchases the goods it needs for its many departments from the private sector, the demand for them goes up, and this leads to a further increase in production in the private sector. If special facilities are given to export-oriented or import substitute industries, domestic production goes up to a considerable extent.**
- (d) **Effect on Research and Development:** **Public expenditure increases production if it is incurred on research and development activities. Research refers to discovery or invention of new items, new methods and so on. As a result of research waste**

of raw materials, power and time can be reduced and cheaper methods can be followed. By so doing research increases the profit margin. This will encourage the industrialists in the private sector too, to step up their production. At the same time research may lead to the introduction of new products that may use indigenous raw materials, skills and equipment which are not otherwise used for productive purposes.

- (e) **Effect on Effective Demand:** Public expenditure increases production by increasing the effective demand. Where expenditure is on productive investment it will lead to an increase in employment, income and demand which will encourage the private sector industries.
- (f) **Effect on Internal and External Peace:** When public expenditure is undertaken to maintain law and order it will create confidence in the minds of the people and it will encourage both local and foreigners to invest in such a country. All said and done it is the peace and stability of the economy that would motivate people undertakes production.

Diversion of Resources for Socially desirable Public Expenditure

The following types of public expenditures are given by Dalton as desirable.

1. **Debt redemption where most of the money repaid will generally be reinvested by the recipients.**
2. **Expenditure on socially desirable productive projects such as the development of transport, construction of roads, railways, big hydro-electric and thermal power projects, afforestation and irrigation. These projects may yield large returns in the long run, but not in the immediate future and therefore they do not attract the private investors.**
3. Expenditure on schools, education and training, research, information and education. Such expenditure is an investment in human capital.
4. Expenditure on research, inventions, technological development, and on the establishment of employment exchanges which provide equal opportunities of employment.
5. Expenditure on public health to improve the efficiency of the people.
6. Expenditure on social security schemes which would promote efficiency and hence production.

There are some people who argue for the curtailment of these expenditures and others believed their scope is to be extended. However most of the modern fiscal economists consider that increased public expenditure in these forms is very much desirable from the point of view of present and future returns. Increased public expenditure in many of these forms is desirable in order to bring about the distribution of the community's resources between different uses, which will give the best results balancing without bias the present and the future. Hence it is to be remembered that it is the diversion of resources that play an important role in increasing production, economic and social welfare of the country.

Diversion of economic resources is important in maintaining economic stability, full employment and price stability. There is lack of coincidence between new investment and new saving. This will create instability in price level in the form of inflation or deflation and lead to unemployment. In such a case government intervention is essential. When savings are more than investments there will be recession giving way to depression. In such a case government expenditure should be more than the revenue. The excess

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expenditure is to be financed through borrowing from banks and should be diverted towards public works program. This expenditure on public works would increase the money incomes in the hands of people and thus the aggregate effective demand may be increased.

To meet this new demand, investment in private sector would increase. The conditions of full employment would soon be created. Thus with the help of public expenditure the equality between investments and savings are brought about.

Conversely, when investment is more than savings, there would be inflation. The government expenditure will be low. It will follow a surplus budget. But this aspect is more true for developed countries rather than developing countries. Thus variation in public expenditure is helpful in maintaining full employment, price stability and economic stability.

Diversion of economic resources between different localities through public expenditure is also important in increasing productive power and reducing territorial inequalities. To achieve balanced economic development special expenditure may be incurred by the government in backward areas. Again to accelerate industrial development in backward areas the government may make provisions for special loans, subsidies and other facilities to the industries established in these regions. This is done by a federal state through grants-in-aid. These grants-in-aid are provided by the central government to state governments, and by state governments to local governments. Such a transfer improves productive power and removes inequalities.

The diversion of resources in different economic systems is also important. Dr. Dalton pointed out that the role of public expenditure for the diversion of economic resources from private use to government use and as between localities is important only when the range of economic activities is narrow as in the case of capitalistic economy. It is less important when the range widens as in the case of socialistic economy. In a mixed economy like India where both private and public sectors have to play important roles, the public expenditure and its influence on division of resources, ability and willingness to work, save and invest is of vital importance for the economic development of the country as a whole.

Thus public expenditure influences production in a variety of ways. But the most important point to be borne in mind is that public expenditure leads to increase in production only in the long run. Though public expenditure increases production, it should not be taken for granted that every increase in it leads to an increase in production. Beyond a certain level it is subject to the law of diminishing returns. Therefore the government should keenly observe the effects of public expenditure and it should stop it as it ceases to produce favorable effects.

(B) Effects of Public Expenditure on Distribution

Public expenditure also influences the distribution of national income and wealth. It can be used as an instrument to reduce inequalities of income and promote distribution justice.

1. Benefit to the Weaker Sections

Public expenditure in the form of social security measures like old age pensions, unemployment allowance, maternity benefits etc., benefits the poor much more than the rich. Such expenditure increases the money income of the poor and helps to reduce the inequalities of income to a very great extent.

2. Increase in Real Income of Beneficiaries

When money is spent on food, medicine, education and commodities of common consumption, the weaker sections of the community are benefited. When essential commodities are produced and distributed free or at a subsidized rate to low income groups, their real income is enhanced, and this directly reduces the inequality of income distribution.

3. Increase in the ability to Work of the Poor

When public expenditure is incurred on food and medical facilities for the poor, the latter become more efficient. Due to this improved efficiency they can work hard and increase their income. Again if public expenditure is undertaken in the form of providing complete education to the poor, they would get better paid jobs and their income would increase. Public expenditure on milk and nutritious food for the poor and the children also has the same effect on their future income.

4. Higher wages to Workers in the Public Sector

If public expenditure is incurred in setting public sector industries it will affect the distribution of income. In the public sector the wage policy is determined by the government. With a view to reduce the inequality of income among the employees the government may raise the wages of the workers and lower the salary of the managerial staff. This is in contrast to the private sector where there is a wide gap in the salary of the management staff and workers.

5. Facilities to Particular Backward Sections

If some part of public expenditure is spent to benefit a particular backward section of the community, it can reduce inequalities in income distribution. If the government spends money to confer special benefits to the poor in the form of educational facilities, medical facilities, special scholarships, good food, clothing and shelter their real income will increase. This will lead to an improvement in the efficiency of the workers. The ultimate result will be reduction in inequalities of income distribution. Public expenditure that is incurred to benefit the people belonging to scheduled caste and tribe is the best example.

Development of Backward Village

In developing countries villages are backward. As a result the income level of these people, living in the villages, is lower. If grants are given by the central government to different local authorities through the state governments the local authorities would spend the money on such services as would improve the efficiency of the people which would increase the income in its turn. A transfer of public expenditure from the developed to the backward regions brings about new industries in underdeveloped areas. This will help the unemployed and under-employed to get more work and earn more income. The remuneration of the factors of production would increase in the backward regions of the country and bring about a more equitable distribution of the national income.

Development of Agriculture

If public expenditure is spent on improvements in the agricultural sector it reduces inequalities. Agriculture is the prime occupation in developing countries. Most of the people depend on agriculture for their livelihood. The number of small farmers is very large, poverty is rampant. Hence if public expenditure is incurred to provide irrigation facilities, fertilisers, scientific equipments and guidance to farmers the agricultural production would go up and income of the farmers would increase. This will also reduce

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inequalities in income.

Progressive, Regressive and Proportional Public Expenditure

The effects of public expenditure on income distribution depend on the nature of public expenditure. The grants and subsidies given by the government may be progressive, proportional or regressive. If they are progressive the proportion of benefits offered by public expenditure increases with a reduction in income. Therefore the benefits of progressive grants go mostly to those who have low income and reduce the inequality of income distribution. The expenditure on social security is progressive in nature. If public expenditure is regressive its benefit increases with an increase in income. The benefits from public expenditure in this case go mostly to the rich. This will lead to further inequalities in income. The subsidy and interest offered by the government on public debt or private savings are best examples. If grants are proportional it will reduce inequalities of income distribution by adjusting individual incomes more closely to individual needs. The needs of the individuals keep changing. They require funds for old age and health services. When these requirements are satisfied public expenditure will bring a sort of improvement in the distribution of income.

The two objective viz. increasing production and improving the distribution of national income are to some extent conflicting. When public expenditure increases the income of the poor, their propensity to consume is higher. Hence it may not increase their savings. It is well known that only rich can save. If the public expenditure leads to even distribution of the national income, the capacity to save of the rich may be reduced. This will affect production adversely. Therefore the government should keep a proper balance between the two objectives.

(C) Effects on Stabilization

Public expenditure is used in modern days to maintain stability of national income, employment and prices. It is used to prevent inflation and deflation. In short it is used as an anticyclical weapon. This role of public expenditure was given by Keynes and it became more significant after great depression in 1930. The process of checking inflation and deflation through public expenditure may be explained in the following manner.

When there is depression the national income will be affected. There will be a reduction in effective demand for different goods and services in the private sector leading to a further fall in price. During such time the government should increase the expenditure in such a manner that it would push up the effective demand of the poor whose propensity to consume is the highest. Such an increase in demand will increase private investment resulting in an increase in national income. The increase in expenditure by the government during times of depression will be financed by borrowing or creating money. This is called compensatory spending.

If compensatory spending is to be effective the recipients of cash benefits, do not hoard money. It should actually reach those low income groups who do not have enough to spend. When such people spend their new income or consumption effective demand and investment rise. Again during compensatory spending if the funds are spent on construction of roads, irrigation and power projects, the cost of production is reduced in the private sector accelerating investment in that sector. Again compensatory spending should be used in those sectors to exploit idle resources. This may result in an increase in national income.

The compensatory spending should take place as quickly as possible. It is in this context P.E. Taylor remarked that "the sooner the expenditure actually enters in income stream, the more effective it can be in preventing a downward pressure upon

the economy from accumulating and reinforcing one another”.

In the case of big projects the time interval between decision and implementation is long. Therefore many short projects are to be undertaken. Again projects which have already been started but suspended due to shortage of finance should be given preference. Open-ended programmes where administrative organisation already exists may be undertaken. For instance in the case of unemployment, compensation the payment increases automatically with an increase in the number of unemployed persons. Expenditure on public works creates employment opportunities. This will lay a foundation in the private sector and a cyclical instability is controlled.

Public expenditure also controls inflation effectively. During inflation that part of the public expenditure which reduces the funds going to the people with higher propensity to consume is reduced. But public expenditure can be made for this purpose only to a certain extent. This is because the construction of the projects which are already in hand cannot be abandoned as it would result in the wastage of resources. During inflation the government can postpone the construction of new projects and finance only such projects that are justified. The government should reduce the aggregate demand by not spending large amount on the purchase of goods and services and by reducing its expenditure on social security measures.

(D) Effects on Real location of Resources

Public expenditure affects distribution through reallocation of resources, directly as well as indirectly. The public expenditure is used to give subsidies to units located in a particular part of the country. In such a case resources will move to that area where new industries are likely to be set up. If the government spends money to provide raw materials, power, transportation, water and other needed essential services at a cheaper rate to a particular underdeveloped part of a country, resources will move from other parts of the country to this part. This is the direct effect of realization of resources. On the other hand when special grants are given to create infrastructural facilities and social overheads in a particular area, then the foundation will be laid and the entrepreneurs are tempted to start industries in that area to take advantage of the infrastructure. This will reduce regional imbalance. By starting a public sector enterprise, public expenditure may re-allocate the resources between different regions. By constructing industrial estates and by making finance available at a subsidized rate of interest realization of resources can be brought about. Thus through public expenditure unbalanced and lopsided regional development may be corrected.

Public expenditure affects distribution through the allocation of resources between different industries and uses. There are some industries which are very, very essential for national development. These industries are beyond the scope of the private sector to be undertaken and managed. For example in industries where profits margins are low, huge investments are required, great risks are involved or the gestation periods are long, the private sector will not venture. In such cases if these industries are undertaken by the government then the lopsided development of different industries can be corrected.

Public expenditure can reallocate the resources among different uses too and affect distribution. In the first place by giving subsidies for certain products, resources can be diverted to those products. In the second place by making provision to supply raw materials, power, transport, credit and other facilities at concessional rate for the production of the desired products, resources can be transferred. The resources may also be transferred to a particular product when there is an assured demand from the government. It is in this way the government can bring about the transfer of resources from the production of non-essential or luxury commodities to the production of essential

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or mass consumption goods, from the products domestically consumed to export-oriented industries from the products which are available in abundance to the products which are in short supply. Resources can also be transferred to import substitute industries and in industries manufacturing equipments needed for defence purposes. Such a transfer will be beneficial as it brings growth and stability. Public expenditure affects distribution by allocating resources for the benefit of future generation. While the private sector is very much interested in the present than in the future the government has to make provisions for the benefit of future generations. Public expenditure on projects with long gestation period provides benefit to future generations. Again public expenditure on big water projects, transport, irrigation and power yields bigger social and economic benefits to the present generation. Expenditure incurred for the preservation and conservation of economic resources also benefit future generation to a large extent. Expenditure incurred on health and training is an investment in the future.

(E) Effects on Unemployment

The government should undertake expenditure to provide full employment. When the government spends money on large scale industries and public utility services like water supply, sanitation, public health services, education and the like it has to employ a large number of staff to administer the expenditure to be incurred on them. Moreover, the expenditure incurred for creating infrastructural facilities and social overheads generate direct employment opportunities.

Provision of infra structural facilities create a favorable climate for the private sector to set up new industries. This will create additional employment opportunities. This is an indirect benefit of public expenditure. Again public expenditure on certain industries which have backward and forward linkages is likely to generate employment. For example, development of weaving industry will lead to the development of spinning industry under backward linkage effect and garment industry under forward linkage effect. Again provision of cheap credit, raw materials and power at concessional rates will enable the entrepreneurs to start small Industries which being labor intensive will create more employment. During depression public expenditure through compensatory spending plays a crucial role in maintaining the level of employment. When depression sets in, prices go down, due to lack of effective demand and investment in the private sector suffers. This creates unemployment. Public expenditure undertaken in such a manner on those whose propensity to consume is more will help to increase the effective demand. This in turn will increase effective demand in private sector and generate additional employment opportunities.

In a developing country there is unemployment which is found to prevail on a wider scale in rural areas than in urban areas. By giving special grants to such areas the government can create more employment opportunities. Industrialization in backward areas will increase by providing special subsidies and other facilities like raw materials, and industrial estates which would help to generate employment opportunities and narrow down the regional disparities.

1.8 SUMMARY

There is not one explanation of increase in government spending. Ideology, bureaucratic control, demographic changes, income elasticity of public goods, increasing cost of government production have all been the contributing factors. And looking ahead, we may anticipate growth in spending partly by demographic transitions and partly by movement towards an increased reliance on democratic institutions. There are also forces operating to check the trend such as austerity programs of the 1980's calling for reductions in public spending under structural adjustment. The demise of many socialist and centrally planned economies, the market oriented thinking of the 1980's eventually resulted in a lower GDP elasticity of government spending in the 1990.

1.9 REVIEW QUESTIONS

1. Elucidate the scope and definition of public expenditure.
2. Discuss different types of public expenditure.
3. How do you classify public expenditure?

Micro Economics

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Introduction

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UNIT 2

CONSUMER BEHAVIOUR

2.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand:

- Describe Utility and its approaches.
- Explain Indifference curves and its properties.
- Discuss demand and its types.
- Define elasticity of demand and its measurements.

2.1 INTRODUCTION

Utility is usefulness, the ability of something to satisfy needs or wants. Utility is an important concept in economics and game theory, because it represents satisfaction experienced by the consumer of a good. Not coincidentally, a good is something that satisfies human wants and provides utility, for example, to a consumer making a purchase. It was recognized that one can not directly measure benefit, satisfaction or happiness from a good or service, so instead economists have devised ways of representing and measuring utility in terms of economic choices that can be counted. Economists have attempted to perfect highly abstract methods of comparing utilities by observing and calculating economic choices.

In the simplest sense, economists consider utility to be revealed in people's willingness to pay different amounts for different goods. To better understand total utility, one must understand the law of diminishing marginal utility, which states that as more of a single good or service is consumed, the additional (marginal) satisfaction drops. The first good consumed provides the highest marginal utility, the second good has a lower marginal utility, and so on. Therefore, total utility grows less rapidly with each additional unit of the same good or service.

2.2 CONCEPT OF UTILITY, IN DIFFERENCE CURVE ANALYSIS –CONSUMER'S EQUILIBRIUM, INCOME AND SUBSTITUTION EFFECTS

The Utility Analysis is otherwise called as cardinal utility theory of consumer behaviour and it is also known as traditional approach to the measurement of consumer behaviour. This approach is based on the assumption that the volume of utility of a commodity can be measured exactly in terms of numbers.

On the other hand, Indifference curve analysis is otherwise called as ordinal utility theory of consumer behaviour and is called as modern approach to the measurement of consumer behaviour.

2.2.1 Utility Approach

People buy goods because they satisfy the wants of the people. Utility means the want satisfying power of a commodity. Utility is defined as a property of the commodity

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which satisfies the wants of the consumers. Utility is purely subjective in character. It depends upon the mental attitude of the consumers. Being subjective, it varies from individual to individual. It means, different persons derive different utilities for the same product. People know utility of goods by means of introspection. The desire for a commodity by a person depends upon the utility he expects from a commodity. If the desire for the commodity is greater, then its utility to the person is also higher. It should be noted that the question of morality does not influence the utility. The commodity may not be useful in the ordinary sense of the term, even then it may provide utility to some people. For example, cigarettes have no utility for non-smokers. But for the smokers, cigarettes bring utility. Thus, the concept of utility is ethically neutral.

Utility refers to want satisfying capacity of a commodity.

Total Utility

Utility of a commodity or commodities is additive. It means utility of various goods or different quantities of the same goods can be added to obtain total utility. Total utility refers to the sum total of satisfaction which a consumer receives by consuming various units of the same commodity. The more units of a commodity that a consumer consumes, his total utility of that commodity is high. As a consumer goes on consuming more and more units of a commodity, he eventually reaches the maximum point and if the consumption increases beyond this point, total utility also diminishes.

Marginal Utility

There is another concept in theory of consumption namely the marginal utility. Marginal utility refers to the utility of every additional unit of a commodity consumed. Marginal utility can be defined as a change in total utility resulting from a one unit change in the consumption of a commodity at a particular point of time. Normally, when a person is buying a commodity, he consciously weighs the utility and the price he is going to offer. He will continue buying different units of a commodity till the marginal utility of the units is equal to the price. This concept is very well explained by Stonier and Hague as "A consumer will exchange money for units of a commodity up to the point where last (marginal) unit of A which he buys has for him a marginal significance in terms of money just equal to its money price".

2.2.2 The Law of Diminishing Marginal Utility

Marshall, who was the famous exponent of the theory of marginal utility, defines the law of diminishing marginal utility as follows: "The additional benefit which a person derives from a given increase of his stock of a thing diminishes with every increase in the stock that he already has". Prof. Lipsey defines it as "For any individual consumer, the value that he attaches to successive units of a particular commodity will diminish steadily as his total consumption of that commodity increases". This means that as the consumer consumes more of a commodity, the utility of every additional unit consumed diminishes.

The Law of DMU states that if a consumer consumes more of a commodity the utility of additional unit consumed diminishes.

Assumptions of the Law of Diminishing Marginal Utility

1. Marginal utility of money remains the same.
2. Various units of a commodity are homogeneous.
3. Every consumer wants to maximize utility.
4. There is no time gap between the consumption of different units.
5. The tastes and preferences of the consumer remains the same during the period of consumption.

The law can be explained with the help of the following example.

Units of a commodity (Apple)	Total Utility	Marginal utility
1	20	20
2	37	17
3	51	14
4	62	11
5	68	6
6	64	-4
7	64	-4
8	50	-14

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In the above example, total utility goes on increasing until the consumption of 5th unit. It is very important to note that the increase is in the diminishing rate. The total utility is the maximum at 6th unit (68), then afterwards it falls.

In the case of marginal utility, it is 20 for the first unit and goes on decreasing with every additional unit consumed. It becomes zero for the 6th unit and becomes negative for the subsequent unit. If the table is converted into a graph, the diagram appears as shown in next page

The total utility curve rises gradually and reaches the maximum at the 6th unit of the commodity and afterwards diminishes. Marginal utility curve slopes downwards from left to right from the first unit onwards. Marginal utility curve cuts OX axis at the 6th unit and falls below the axis afterwards. It shows that, as the quantity of the commodity with the consumer increases, its marginal utility decreases. This is called the Theory of Diminishing Marginal Utility. The question now to be solved is why marginal utility falls when the quantity of the commodity with the consumer increases. The reasons for this phenomena are even though human wants in the aggregate are unlimited, yet a particular want can be satisfied fully. Therefore, when a person consumes more and more units of a commodity, his want is satisfied and that he does not want any more. Thus, his marginal utility decreases as consumption of that commodity increases. A stage is reached that further consumption brings marginal utility to zero.

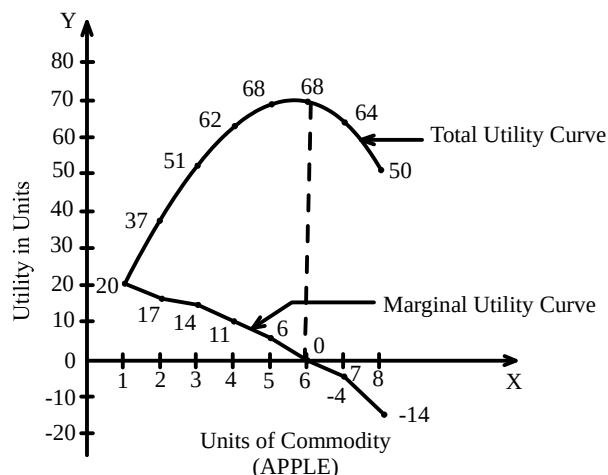


Figure 2.1

Another reason is that goods are imperfect substitutes to one another. Different commodities satisfy different wants. When a person goes on consuming more and more units of a commodity, the marginal utility falls as his want is satisfied. But, if the commodity could be substituted for other commodities, it would have satisfied other wants. Hence,

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its marginal utility would not have decreased even though its quantity increases.

Limitations of the Law of Diminishing Marginal Utility

The law of diminishing marginal utility suffers from certain limitations. These are discussed below

- i) **Homogeneity:** It is assumed that the units of the commodity consumed must be homogeneous. The size of the unit and the quality of the unit must be the same. Unless the units are of suitable size and quality, the law will not hold good.
- ii) **Suitable Time:** The time of consumption should not vary. The commodity is consumed within a certain time. If you take the first cup of coffee at 8 a.m and the next cup at 3 p.m, there is no reason why the utility of the second cup of coffee is less. If the second cup of coffee is taken at 8.10 a.m, the third cup at 8.20 a.m and the fourth cup at 8.30 a.m, then the law of diminishing marginal utility will definitely operate.
- iii) **No Change in the Taste of the Consumer:** This is an important assumption in which the character of the consumer should not change. After taking a cup of coffee at 8 a.m., he takes a cup of tea at 9 a.m., the utility increases.
- iv) **Normal Persons:** The law of diminishing marginal utility applies to normal persons and not to eccentric or abnormal persons. The law assumes that the consumer behaves rationally. If he behaves in an irrational manner, the law does not operate.
- v) **Constant Income:** The law assumes that the income of the consumer remains the same during the period of consumption. Any change in income then the law does not operate. If the income of a consumer rises in the course of a given consumption time, the presently consumed commodity becomes inferior and he goes in for a superior commodity. Even here if the person buys more and more units of a superior good, then the additional units of commodity bring less utility.

Thus, the law of diminishing marginal utility is a statement of tendency. It depends upon so many conditions if these conditions are not fulfilled, law does not operate.

Uses of the Law of Diminishing Utility

The law of diminishing utility is very much useful in both economic theory and policy.

1. In determining the price of a commodity, the concept of marginal utility plays a crucial role.
2. The law has helped in explaining paradox of value - namely water - diamond paradox. Though water is essential for life it has no price. On the other hand, diamond is not essential, but has a high price. Water on account of its plentiful supply, its relative marginal utility is less. Therefore, it has less price. On the other hand, diamonds are scarce and its marginal utility is very high and hence it commands a high price.
3. The law of diminishing marginal utility explains the reason for the downward sloping of a demand curve. Further, the concept of consumer's surplus is based upon the law of diminishing marginal utility.
4. Another important use of this concept is in the field of direct taxation. For the rich people with higher income, marginal utility of money is low. On the other hand, the poor people with less income find marginal utility of money very high. Hence, higher direct taxes are levied on the rich while the poor are exempted.

Exceptions of the Law of Diminishing Utility

- **Alcoholics:** The consumption of liquor is not subject to this law. The more he drinks the greater is the intoxication and hence he drinks more.

- **Misers:** Miser gets more happiness and his greed increases with every increase of his stock of money.
- **Money:** In the case of money, it is said that the more one has of it the greater is the desire to acquire still more.
- **Reading:** More reading will give more knowledge and it can be increased only by reading different books and not the same one again and again.
- **Hobbies and Rare Collections:** Hobbies like stamp collection, old paintings and antiques, coins etc. are an exception to the law of diminishing marginal utility. The more the collection, the greater is the desire to have more.
- **Arts:** Arts like music poetry or drama is better appreciated even after the first.

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2.3 LAW OF EQUI - MARGINAL UTILITY

The consumer with a given outlay of money, has to spend on various goods and services. Now, the question is, how he should allocate the given money among various goods.

Supposing he has to buy only one commodity, he will attain equilibrium at a point of units of the commodity where the marginal utility equals price. In the case of more than one commodity, the same principle is extended. It means the marginal utilities of goods and their prices should be equal. This is called the Law of Equi-marginal Utility. The Law of Equi-marginal Utility states that the consumer would distribute his money income between the goods in such a way that the utility derived from the last rupee spent on each good is equal. In other words, a consumer attains equilibrium when marginal utility of money expenditure on each goods is the same.

In other words,

$$\frac{\text{Marginal Utility of 'X' commodity}}{\text{Price of 'X' commodity}} = \frac{\text{Marginal Utility of 'Y' commodity}}{\text{Price of 'Y' commodity}}$$

The law of Equi-Marginal Utility states that the consumer would distribute his money income between the goods in such a way that the utility derived from the last rupee spent on each good is equal.

Assumptions of the Law

The law of equi-marginal utility is based on the following assumptions:

- There is perfect competition in the market and the consumer has to accept the prevailing price.
- Utility is measurable in terms of money.
- The income of the consumer remains constant and it is limited.
- The consumer behaves rationally.
- The marginal utility of money remains constant.
- The utility schedule of one commodity is independent of the utility schedule of the other commodities.
- The law of diminishing marginal utility operates.

Illustration

Let us take up the following example in order to understand this principle clearly.

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Units	Marginal utility of x commodity	Marginal utility of Y commodity
1	20	24
2	18	21
3	16	18
4	14	15
5	12	9
6	10	3

Let us assume that price of X commodity is Rs.2 per unit and that of Y is Rs.3 per unit. Reconstructing the above table by dividing them with price, the reconstructed table will be as follows:

Units	M of X commodity / Price of X	M of Y commodity / price of Y
1	10	8
2	9	7
3	8	6
4	7	5
5	6	3
6	5	2

Now, with a given money income, i.e he allots Rs.19 to buy these goods, he will purchase 5 units of X commodity and 3 units of Y commodity and attains equilibrium. At 5th unit of X

Commodity $\frac{\text{mu of X}}{\text{price of X}}$ is equal to $\frac{\text{mu of Y}}{\text{price of Y}}$ of 3rd unit of Y commodity. The

diagrammatic expression of the theory of consumer's equilibrium is as follows:

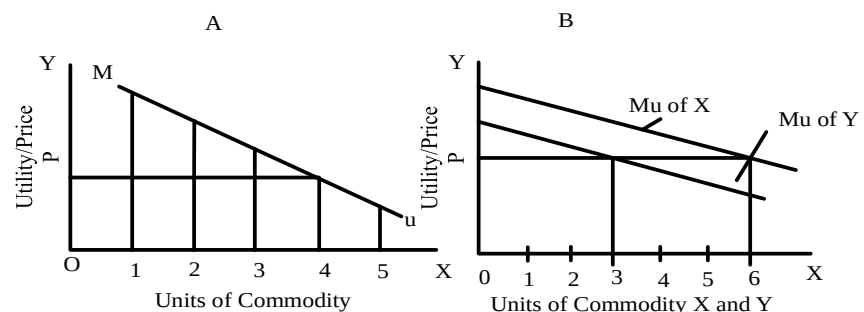


Figure 2.2

In the case of one commodity, the consumers buy (A) 4 units of X commodity because the price is equal to utility of the 4th unit. In the 'B' diagram, consumer buys two commodities X and Y. He buys 6 units of X and 3 units of Y commodity and attains equilibrium.

The Significance of the Law of Equi-Marginal Utility

As Marshall says "The application of this principle extends over almost every field of economic enquiry." Some of the applications are given as follows:

- Helps in the determination of optimum budget for the consumer.
- Helps in the distribution of earnings between savings and consumption.
- The entrepreneur can apply this law to maximise his profits.
- The ideal distribution of resources is possible in such a way that the marginal social utility in each use is the same.

- An individual can distribute his assets among alternative forms using this principle.
- It is also applicable in public finance particularly in taxation.
- It is more useful to a person who has limited time to be spent among alternative uses. He can distribute time in such a way that the marginal utility gained from those uses is equal.

Limitations of the Law of Equi-Marginal Utility

This law is based on unrealistic assumption and hence this law is subjected to the following criticisms.

1. Consumers cannot act as a rational person always. Quite often he purchases a commodity under the influence of desire and rational thinking is absent.
2. Marginal utility of money does not remain constant always and for everyone. It varies between rich and poor.
3. This law cannot be applied if certain commodities are not available in the market for consumption and hence consumer cannot maximise his satisfaction from expenditure on various goods.
4. Utility is a subjective concept and it cannot be measured.
5. The equi-marginal principle can work only if goods are divisible but certain goods are not divisible. This restricts the free working of the equi-marginal principle.

Because of these limitations, the-law lacks practical use. Hence Hicks and Alien have put aside Marshall's utility approach to consumer's equilibrium and advanced an alternative approach which is called as the "Indifference Curve" approach.

Importance of Utility Analysis

- Utility analysis is the basis of demand theory. With the help of law of diminishing marginal utility, the law of demand is formulated.
- Diminishing marginal utility is an universal truth for all consumers.
- Utility approach explains the equilibrium condition of rational consumers.
- Utility analysis (LDMU) forms the basis for ordinal measurement of utility i.e. indifference curve analysis.
- The law of equi-marginal utility helps the consumer in distributing his assets and commodities which gives maximum satisfaction to him as well as to the community.
- Utility analysis also forms the basis for taxation policy of the government.

2.4 INDIFFERENCE CURVE ANALYSIS

Utility analysis was based on the assumption that utility can be cardinally measured. It means utility can be measured in cardinal numbers, i.e., 2, 4, 6, 8, 10 units. The economists observed that utility can not be measured in practice. The economists developed new alternative to utility analysis, i.e., indifference curve analysis. The indifference curve analysis is based on ordinal measurement of utility.

Edgeworth and Fisher were the major contributors to the theory of indifference curve analysis. According to them physical measurement of utility is not feasible. A consumer can only rank the utility derived from various commodities. Ordinal measures express the preference of consumers for different goods.

Indifference curve means different combination of two commodities which gives equal satisfaction to the consumers. The consumer is indifferent about their choice. In other words, consumer gives equal satisfaction to all combination of goods. The concept

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of indifference curve has been defined by eminent economists as under:

- In the words of Hicks, it is the locus of the points representing parts of quantities between which the individual is indifferent and so it is termed as an indifference curve.
- According to Meyres, an indifference curve may be defined as a schedule of various combination of goods which will be equally satisfactory to the consumer concerned.
- In the words of Ferguson, an indifference curve is a combination of goods, each of which yield the same level of total utility of which the consumer is indifferent.
- According to Leftwich, a single indifference curve shows the different combinations of X and Y that yield equal satisfaction to the consumer.

2.4.1 Assumptions of Indifference Curve Analysis

The indifference curve analysis is based on the following assumptions

1. **Rationality:** The consumer is assumed to be rational. Consumer wants to get maximum utility, given his income and market prices of commodities. Consumer has full knowledge of market information.
2. **Ordinal Utility:** It is assumed that consumer can rank his preferences according to the satisfaction of each combination.
3. **Diminishing Marginal Rate of Substitution:** The rate at which certain amount of one commodity is substituted for another is called the marginal rate of substitution.
4. **Consistency:** It is assumed that the consumer is consistent in his choice. If in one period, consumer chooses combination A over B, consumer will not choose B over A in another period, when both combinations are presented to him. This assumption may be symbolically written as If $A > B$, then $B < A$.
5. **Transitivity:** It is assumed that consumer choices are determined by transitivity. Assume, there are three combinations of goods A, B and C. If A is preferred to B, and B is preferred to C, then A must be preferred to C. Similarly, if A is indifferent to B, and B to C, then A is indifferent to C. Symbolically we may write it as If $A > B$ and $B > C$, then $A > C$.

2.4.2 Indifference Curve Schedule

It indicates different combinations of two commodities which gives equal satisfaction to the consumers. In other words, consumer becomes indifferent towards them.

Table 1.1: Indifference Schedule		
Combination	Commodity (X)	Commodity (Y)
A	1	10
B	2	7
C	3	5
D	4	4

The above table highlights that consumer gives equal preference to combinations A, B, C or D. The consumer gets equal satisfaction from different combination of two commodities. For example, in combination A, consumer gets 1 unit of X and 10 units of Y and in D combination 4 units of X and 4 units of Y. It shows that different combinations of the commodities give equal satisfaction to the consumers. The above table also highlights that if consumer wants to have additional unit of X, he/she will have to sacrifice some units of Y in order to get equal satisfaction from different combinations.

2.4.3 Indifference Curve

Indifference curve is derived from data contained in the indifferent schedule. Indifference curve is negatively sloped. It indicates that if consumer wants to have more units of X commodity, he will have to sacrifice some units of Y commodity to get equal level of satisfaction. In the above diagram combinations, A, B, C and D drawn on indifference curve gives same level of satisfaction. This can be observed in the following figure 2.3.

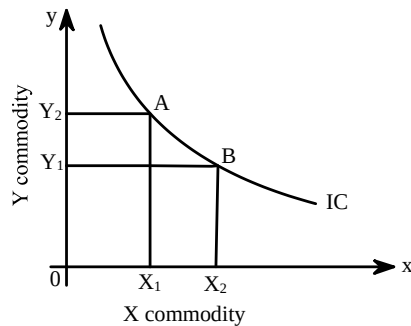


Figure 2.3

2.4.4 Properties of Indifference Curve

The properties of indifference curve are based on following assumptions:

- Non-safety:** It is assumed that the consumer will always prefer a large amount of a commodity to small amount of other commodity, provided the amount of other goods at his disposal remains unchanged. This means that the consumer has yet not reached the point of satiety in the consumption of any good.
- Transitivity:** This implies that the tastes of the consumer are consistent. Let us suppose that there are three combinations of two goods, i.e., A, B and C, and the consumer is indifferent between A and B, B and C, then obviously the consumer will also be indifferent between A and C. Thus, if the consumer prefers A to B and B to C, the consumer will also prefer A to C.
- Diminishing Marginal Rate of Substitution:** The consumer is to substitute more and more units of Y for one unit of X. So the consumer will give up fewer units of Y for each additional unit of X.

2.4.5 No Two Indifference Curves Cut Each Other

Two indifference curves do touch each other. It will highlight the same amount of two commodities at lower and higher indifference curve. It is against the assumption of properties of indifference curves. Let us assume that two indifference curves touch each other. It means at indifference curve IC_1 .

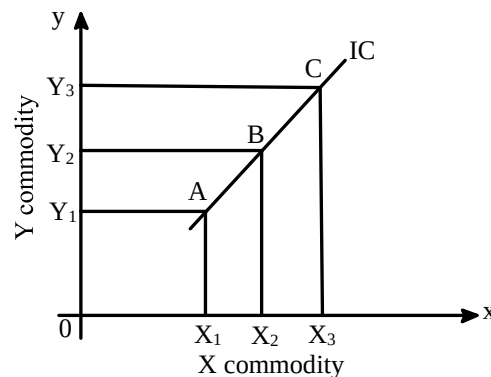


Figure 2.4

Combination A = Combination B

..... (1)

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At higher indifference curve IC_2

Combination A = Combination C

..... (2)

From equations (1) and (2), one may conclude that

Combination B = Combination C

..... (3)

Which is not feasible one. Equation (3) highlights that consumer is having same amount of commodity X for indifference curve (IC_1) and indifference curve (IC_2).

2.4.6 Higher Indifference Curve Represents Higher Level of Satisfaction

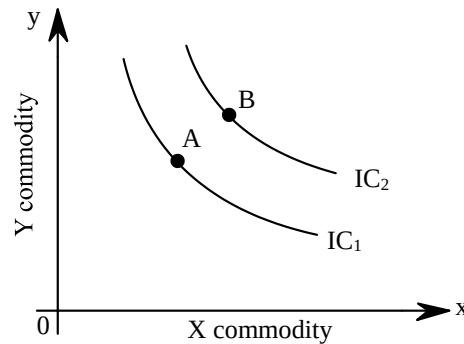


Figure : 2.5

It means consumer gets more satisfaction when consumer moves from lower indifference curve to higher indifference curve. In the following figure consumer is getting more satisfaction from indifference curve IC_2 as compared to lower indifference curve IC_1 .

2.4.7 Indifference Curve will not Touch either X-axis or Y-axis

It means consumer is having only commodity X or Y, which is not feasible under indifference curve analysis.

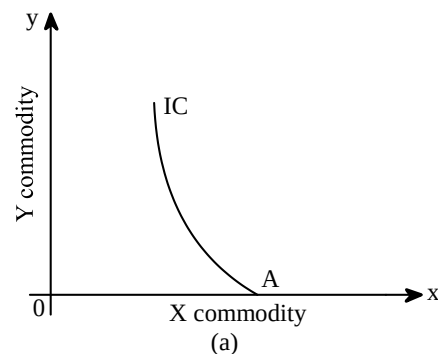


Figure 2.6

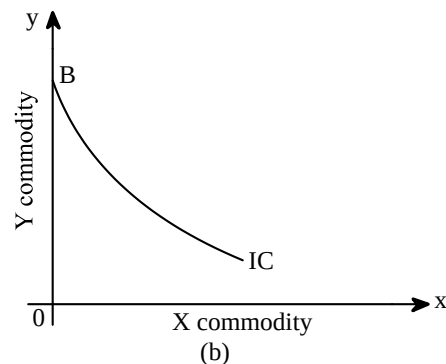


Figure 2.7

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Part A of the Figure 2.6 reveals that consumer is having only X commodity at point A. Part (b) of the diagram 2.7 highlights that consumer is having only Y commodity at point B.

2.4.8 Indifference Curve Need not be Parallel to Each Other

Indifference curve need not be parallel to each other. It means different indifference curves can have different MRS. They can be parallel but should not cut each other. This can be observed in the following figure 2.8.

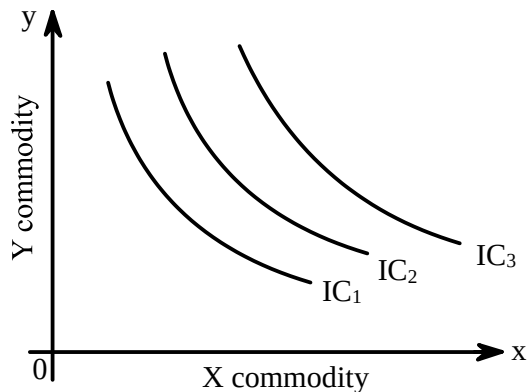


Figure 2.8

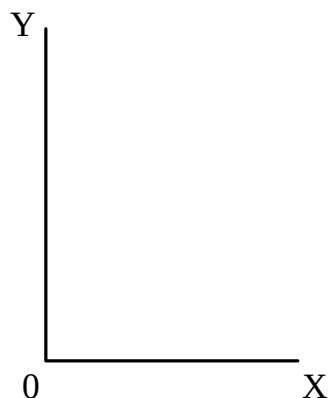


Figure 2.9

2.4.9 Indifference Curves are Convex to Origin

Indifference curves are convex to origin. This property of indifference curve is based on diminishing marginal rate of substitution. It means marginal rate of substitution of commodity X for Y will go on diminishing as consumer wants more units of commodity X. It has been shown in the figure 2.9.

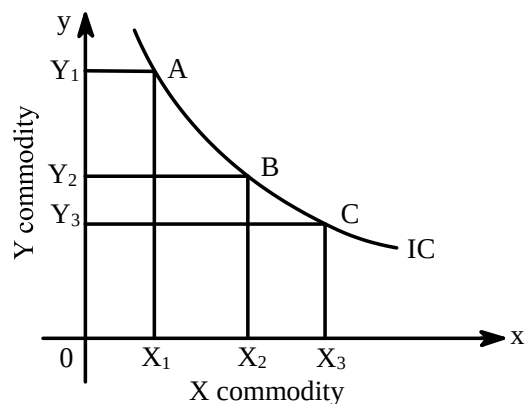


Figure 2.10

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The Figure reveals the diminishing marginal rate of substitution. It means if consumer wants to have more unit of commodity X, consumer will leave less and less units of commodity Y. Indifference curves can not be concave to origin, it means the marginal rate of substitution of commodity X for Y will go on increasing. It is not feasible under the indifference curve analysis. It means, if consumer wants to have more units of X commodity, he/she will leave more and more units of commodity Y. It has been shown in the figure 2.10.

2.4.10 Consumer's Equilibrium

The technique of indifference curves has been developed by J.R. Hicks as an alternative to utility analysis to provide logical explanation of the consumer's equilibrium position.

A consumer is said to be in equilibrium position when has no tendency to make any change in his purchases of good. According to indifference curves technique a consumer is in equilibrium when he purchases that basket of goods which give him maximum satisfaction at given income and prices. It means consumer will be in equilibrium when he purchases that combination of good which is on the highest indifference curve to his budgetary constraints. In order to find out the equilibrium purchases we assume that:

- i) The consumer has an indifference map showing his scale 'of preference.
- ii) Consumer acts rationally.
- iii) Consumer's income and prices are given (price line is given)

Two conditions must be fulfilled for the consumer to be in equilibrium-

- i) Price line must be tangent to an indifference curve at the point of equilibrium on and
- ii) indifference curve must be convex to the origin at the point of equilibrium, i.e., MRS_{xy} must be diminishing. The consumer's equilibrium is explained by fig. (a)

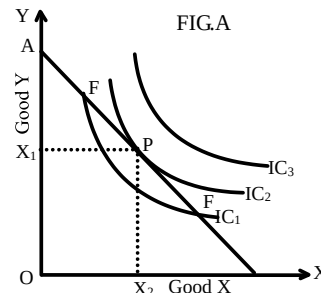


Figure 2.11 A

In fig. (a) AB is price line and it shows all those combinations of X and Y goods which a consumer can purchase with given money income at given prices. The consumer cannot purchase any combination on IC₃ because IC₃ combinations are beyond his purchasing power our hypothetical consumer can purchase any combination of two goods which are at the price line AB. Consumer will be in equilibrium at P combination because at point P both the conditions of equilibrium are satisfied. At equilibrium point P where price line AB is tangent to IC₂ indifference curve, the slope of the budget line (P_x/P_y) and the slope of IC₂ indifference curve are equal, that is

$$MRS = \frac{P_x}{P_y}$$

The second condition of equilibrium is also satisfied by the point of tangency because at point O the indifference curve IC₂ is convex to the origin. It means that at point of equilibrium P, the marginal rate of substitution is falling.

The consumer cannot be in equilibrium at E and F because at both the point $MRS_{xy} \neq P_x/P_y$. At point E, $MRS_{xy} > P_x/P_y$. Therefore, the consumer will substitute X for Y to equalise MRS_{xy} and P_x/P_y . At point F, $MRS_{xy} < P_x/P_y$. Therefore, the consumer will substitute Y for X to equalise MRS_{xy} and P_x/P_y . Equilibrium position of the consumer will change with change in income of the consumer or price of a commodity.

Income Effect

Income effect refers to change in consumer's equilibrium position or change in the purchase of goods when money income of the consumer changes, other thing remaining the same. It is illustrated by fig. (b).

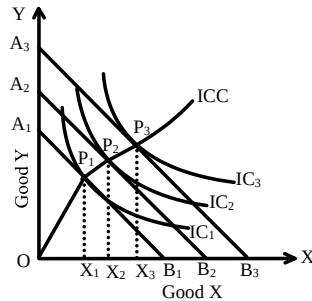


Figure 2.11. B

Suppose at given money income and given prices of X and Y good, initially the price line is A_1B_1 . Now the consumer is in equilibrium at P_1 point and he purchases OX_1 quantity of good X and OY_1 quantity of good Y. Now suppose money income of the consumer increases, prices of X and Y goods remains the same. Now the price line will shift to the right and becomes A_2B_2 (A_2B_2 is parallel to A_1B_1) with the increase in income consumer's equilibrium position changes from P_1 to P_2 and his purchases of good X increases from OX_1 to OX_2 . With further increase in consumer's income, price line becomes A_3B_3 and equilibrium position shifts to point P_3 on IC_3 . If we join the P_1 , P_2 and P_3 equilibrium points, we get a curve called income consumption curve (ICC). ICC curve shows the income effect. The position of ICC depends upon the nature of goods. If both goods are normal goods then ICC will slope upward. If good X is superior and Y is inferior, then ICC will bend towards X-axis and vice-versa.

Price Effect (PE)

Price effect (PE) refers to the change in the position of consumer's equilibrium and his purchases of goods when price of one goods changes income and price of the other goods remaining same. (No compensatory variation in income is made). When the price of a goods changes, the consumer would be either better off or worse off than before depends upon whether price falls or rises. Price effect is illustrated by fig. (c).

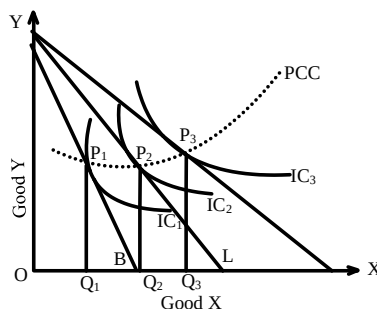


Figure 2.11 C

Suppose initially price line is AB and now the consumer is in equilibrium at point P_1 . When he is in equilibrium at point P_1 , he purchase OQ_1 quantity of goods X and OY_1 quantity of good Y.

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quantity of good Y. When price of good X falls, money income and price of Y remaining the same, the price line shifts to the right on X-axis and becomes AL. With the change in price line the consumer's equilibrium shifts from P, to P₂ point and the resultant increase in demand of goods X is Q₁Q₂. Thus, Q₁Q₂ is price effect on the demand of goods X as a result of fall in its price. If further price line becomes AK as a result of fall in "price of X, the equilibrium of the consumer changes from P₂ to P₃ point. If we join P₁, P₂ and P₃ equilibrium points the price consumptions curve shows the price effect. The PCC shows the different quantities purchased of X goods at its different prices. It reveals the same information which is revealed by a demand curve.

Substitution Effect (SE)

Substitution effect refers to change in purchases of goods (change in equilibrium) by a consumer when one good, say X, becomes relatively cheaper, real income remaining constant. Substitution effect is shown in fig. (d).

In fig. (d) AB is the price line and the consumer is in equilibrium at; point P. and consumer purchases OQ, quantity of good X. Now suppose the price of goods X falls. With the fall in the price of goods X, the real income of the consumer increases. Now a compensatory variation in the money income of the consumer is made in such a way that the consumer is neither better-off or worse-off, i.e., the consumer remains on the same, indifference curve. Here compensatory variation in income means that the consumer's money income is reduced so much that consumer remains on the same indifference curve. After reducing the money income equal to compensatory variation the price line becomes LM and consumer's equilibrium shifts P₁ to H point on the same IC₁ curve. Due to shift in consumer's equilibrium from P₁ to H point the demand of goods X is increased by Q₁H quantity. Q₁H is substitution effect of relative change in price of goods. Now if the money income reduced by compensatory variation is returned to the consumer, the equilibrium position shifts from H to P₂ point and demand of goods X increases from ON to OQ₂, i.e., by NQ₂. Change in equilibrium position from point H to P₂ shows income effect of change in price. Here income effect of change in price is NQ₂.

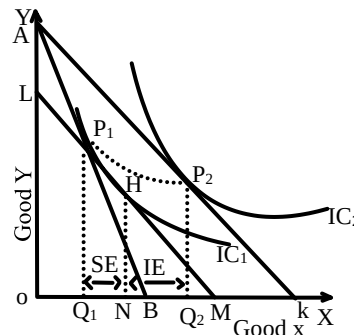


Figure 2.11 D

In figure (d) shift in equilibrium position from P₁ to P₂ point shows the price effect and due to price effect demand of X good increase from OQ₁ to OQ₂, i.e., as a result of fall in price of X its demand increase by Q₁Q₂ (other thing remaining constant). Thus Q₁Q₂ is price effect.

It is also proved by the fig. (d) that price effect is the sum total of substitution effect and income effect because Q₁Q₂ = Q₁H + NQ₂. Where Q₁H is substitution effect and NQ₂ is income effect.

Thus, substitution effect refers to the substitution of that goods which has become relatively cheaper for that goods which is now relatively dearer leaving the consumer

neither better off nor worse off. It is also clear that the direction of price effect depends upon the nature of income effect and degree of substitution effect.

Indifference Curves of Consumer Behaviour

Prof. J.R. Hicks developed the 'indifference curves technique' to explain consumer behaviour as an alternative to 'Utility Analysis'. This technique is based on ordinal measurement of utility.

An indifference curve is a locus of points, each representing a different combination of two goods, which yield the same level of satisfaction to the consumer. According to Prof. Leftwitch, "A single indifference curve shows the different combination of X and Y goods that yield equal satisfaction to the consumer." Indifference curves slope negatively and are convex to the origin. Higher indifference curves represent higher level of satisfaction.

Indifference curve technique is based on preference hypothesis. It assumes that the consumer is rational and consistent in his choice of basket of goods. Rationality means, he wants to maximise his satisfaction at a given level of money income and at given prices of goods.

Consumer's Equilibrium. The aim of the consumer is to allocate his money between different goods in such a way that he gets maximum satisfaction. According to indifference curves analysis a consumer will be in equilibrium position when he purchases such a combination of goods that yield maximum satisfaction in a given price-income situation.

For the consumer to be in equilibrium, the following two conditions must be satisfied:

- i) Price line (budget line) must be tangent to the indifference. It means marginal rate of substitution (MRS_{xy}) between two goods (X and Y) should be equal to their price ratio (P_x/P_y),

$$MRS_{xy} = \frac{P_x}{P_y}$$

- ii) The MRS_{xy} must be diminishing, i.e., the indifference curve should be convex to the origin at the point of equilibrium. The consumer equilibrium is shown in figure 2.12 (a).

In figure 2.12 (a), A B is price line and IC_1 , IC_2 and IC_3 curves show his scale of preference.

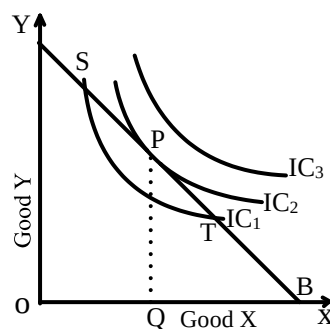


Figure 2.12 A

The price line AB is tangent to the indifference IC_3 at point P. All other points lying on the price line are on lower indifference curve. Therefore, the consumer will be in equilibrium at point P because this gives maximum satisfaction to the consumer. At point P the slope of price line (P_x/P_y) and the slope of the indifference (MRS) are equal, i.e. at point P, $MRS_{xy} = P_x/P_y$. At Pmt S and T, $MRS_{xy} \neq P_x/P_y$. At point P, the indifference curve IC_1 is convex to the origin. Therefore, the consumer will be in equilibrium when he

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purchases P combination (OQ of X goods and QP of Y goods) of goods X and Y.

The consumer's equilibrium will change in the following situations

1. When money income changes, prices of goods remaining unchanged (income effect).
2. When price of one goods changes while money income and price of the other goods remaining unchanged (price effect).
3. When relative prices of goods changes and real income remaining the same (substitution effect).

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2.4.11 Derivation of Demand Curve

The demand curve of a good can be derived with the help of indifference curve analysis. Demand curve illustrates the law of demand i.e., inverse relation between price and quantity demanded of a goods. Other things being constant, demand curve shows the various quantities of a goods will be purchased by the consumer at different prices. According to indifference curves analysis an individual's demand curve. According to indifference curves analysis an individual's demand curve for a goods is related to the price consumption curve (PCC) for the goods. PCC reveals the same information that a demand curve tells us. It means that we can derive an individual's demand curve for a goods from its PCC. PCC shows consumer's equilibrium at different prices of a goods, say X. Derivation of demand curve is explained by figure 2.12 (b)

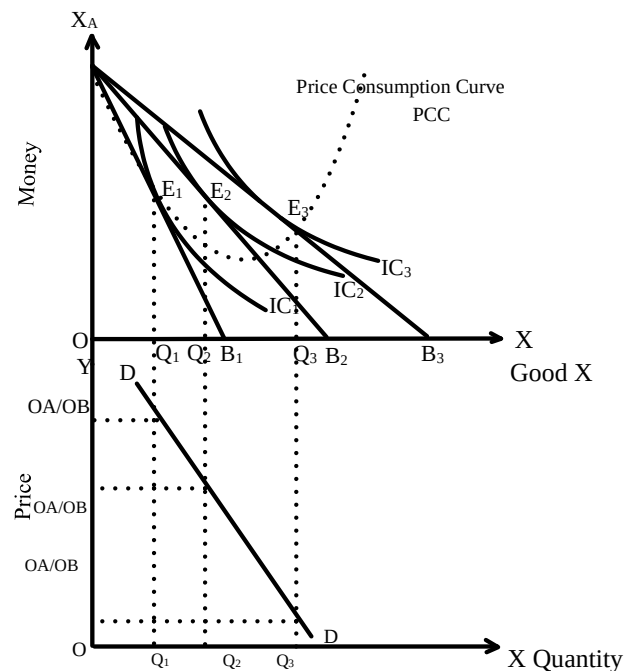


Figure 2.12B

In figure 2.12(b), point E_1 , E_2 and E_3 on the PCC show consumer's equilibrium at different prices of goods X. Supposing initial price line is AB_1 . The consumer is in equilibrium on indifference curve IC_1 at E_1 point. It means the consumer is willing to buy OQ_1 of goods X at OA/OB_1 (slope of AB_1 price-line). With the fall in price of goods X, price line becomes AB_2 and price falls to OA/OB_2 (slope of AB_2 price line). As a result of fall in price consumer's equilibrium shifts to point E_2 on indifference curve IC_2 . Now the consumer purchases OQ_2 quantity of goods X at lower price OA/OB_2 . Again with the fall in price line becomes OA/OB_3 (slope of AB_3 price line).

Price	Quantity Purchase
OA/OB ₁	OQ ₁
OA/OB ₂	OQ ₂
OA/OB ₃	OQ ₃

By plotting the above demand schedule in the lower part of fig. (b) we get the downward sloping demand curve DD for goods X. This is a demand curve for a normal commodity.

The slope of the demand curve depends upon the nature of the commodity whether the goods is normal or inferior one. We know that 'price effect' is the composite effect of 'income effect' and 'substitution effect'. The income effect may be negative or positive; it depends upon the nature of the goods. Thus, the slope of demand curve and relation between price and demand of goods depends on the nature and strength of 'income effect' of change in price. There can be following three situations:

- Income effect is positive: where income effect of change in price is positive then there will be inverse relation between price and demand for a good. This is the case of normal goods.
- Income effect is negative but less than the degree of substitution effect. In this situation also demand curve of the goods will slope downward from left to right. This happens in case of inferior goods. In both the above situations Marshall's demand theorem applies, though he could not explain the nature of income effect.
- Income effect is negative and its strength (degree) is greater than substitution effect. In this situation demand curve of goods will have a positive slope. This happens in case of Giffen goods (most inferior goods). Marshall considered this situation an exception to his demand theorem as he ignored income effect.

2.4.12 Criticism of Indifference Curve Analysis

Indifference curve technique is definitely an improvement over utility analysis and it has a number of uses and merits. In spite of merits, indifference curve analysis suffers from shortcomings and these are followings

- Unrealistic Assumptions.** It is based on unrealistic assumptions of rationality, perfect competition, divisibility of goods and perfect knowledge of scale of preference. The purchases of a consumer are very much affected by habits, customs and fashion. Therefore, a consumer does not act always rationally. We cannot expect a consumer to know his indifference map. Goods are not divisible and perfect compaction is a myth.
- No Novelty.** Prof. D.H. Robertson remarked that the indifference curve technique is merely "An old wine in new bottle." This technique is similar to the utility analysis because it merely gave new names to old terms. The concept of utility is replaced by scale of preference, tendency of diminishing marginal utility is replaced by diminishing marginal rate of substitution and cardinal numbers such as 1, 2, 3 etc., were labelled as ordinal numbers I, II, III, etc. The conditions of equilibrium in both analyses are

similar. According to utility analysis the consumer is in equilibrium when: $\frac{MU_x}{MU_y} = \frac{P_x}{P_y}$

According to Q.C., equilibrium is given by

Where $MRS_{xy} = \frac{MU_x}{MU_y}$

By substituting $\frac{MU_x}{MU_y} MRS_{xy}$, we get $\frac{MU_x}{MU_y} = \frac{P_x}{P_y}$

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Therefore, condition of equilibrium is similar in both the techniques.

But this criticism is untenable. **Prof. Hicks** claims, "The replacement of diminishing marginal rate of substitution is not mere translation. It is a positive change in the theory of consumer demand." We need not measure utility in fact to know the marginal rate of substitution. The consumer is simply asked to tell how much of *Y* he gives to take an additional unit of *X*.

3. **Indifference, Curve is Non-Transitive.** **Prof. W.E. Armstrong** has argued that a consumer is indifferent between close alternative combinations only because he is not able to perceive the difference between the two. But as the difference of combinations increases, the difference in the satisfaction of different combinations becomes evident and so the different combinations on the same indifference curve do not yield equal satisfaction. Thus, if Armstrong argument is accepted different points on an indifference curve give different satisfaction. The indifference curve will become non-transitive.
4. **Fails to Explain Risky Choice.** Indifference curve analysis is criticised on the ground that it cannot explain consumer behaviour when he has to choose among alternatives involving risk or uncertainty of expectation. To make a choice among uncertain alternatives quantitative measurement of utility is needed to decide whether the risk is worth taking. In such situations cardinal system of utility can explain consumer behaviour.
5. **Absurd and Unrealistic Combinations.** Indifference curve analysis is based on hypothetical combinations. When we consider different combinations of two goods, then there may be some combinations that are meaningless and cannot be possible in real life.
6. **Does not provide Behaviorist Explanation of Consumer Behaviour.** The indifference map is hypothetical in nature and is not based on observed market behaviour. It is subjective in nature instead of objective. The reason is that it does not set up functions and curves in purely objective terms. Purely objective indifference curves can be possible only if it is possible to obtain quantitative data. The logical structure of indifference curve theory is such that it is difficult to quantify indifference curves. Though attempts have been made to quantify indifference curve but success is very limited.
7. **Based on Weak Ordering.** Indifference curve analysis is based on the weak ordering hypothesis i.e., a consumer can be indifferent between a large number of combinations. But, according to Prof Samuelson, it is not possible to find many situations of indifference in real world. The weak ordering makes it subjective in nature.

But ordinal analysis is certainly better than cardinal analysis as it is based on fewer assumptions.

Significance of Indifference Curve Technique: The technique of indifference curves has assumed special significance because of its application in almost every sphere of economic activity. A few such applications can be mentioned as follows

1. **In the theory of Production.** The basic aim of a producer is to attain a low cost combination. Indifference curves are useful in the realisation of these objectives. When we use these curves in the theory of production, they are called iso-product curves. Producer's equilibrium i.e. low cost combination is obtained at the point where producer's budget line becomes tangent to one of the iso-product curves on the map.
2. **In the theory of Exchange.** Prof. Edgeworth used the technique of indifference

curves to show the mutual gains from the exchange of two goods between two consumers. Exchange makes it possible for both the consumers to reach a higher level of satisfaction. The process of shifting to the higher level of satisfaction is explained with the help of contract curves.

3. **In the field of Rationing.** This technique can also be made use of in the field of rationing. Ordinarily two commodities are rationed out to different individuals, irrespective of their preferences. But if their respective preferences are considered and the amounts of the two commodities be distributed among consumers in accordance with their scale of preferences, each of them shall be in a position to search a higher indifference curve and satisfaction.
4. **In the Measurement of Consumer's Surplus.** Indifference curve technique has rehabilitated the old Marshallian concept of consumer's surplus that has lain buried almost for decades under the weight of unrealistic and illusory assumptions. Consumer's surplus can be measured with the help of this technique without any need for making unrealistic assumptions.
5. **In the Field of Taxation.** The technique is also applied to test preference between a direct and indirect tax. With the help of indifference curves it can be shown that a direct tax is preferable to an indirect tax as regards its effects on consumption and satisfaction of the tax payer.

In view of the above application of the technique, it may be asserted that it forms an integral part of the modern welfare economics. However, there are certain writers who also assert that the indifference curves technique is merely 'the old wine in a new bottle' for example, Prof. Robertson is of the view that this analysis has substituted new concepts and equations in place of the old ones.

2.4.13 Consumers Surplus

The concept of consumer's surplus was introduced into economic analysis by Prof. Marshall. If the price we actually pay for a commodity is less than what we are willing to pay for it, we get an excess or surplus satisfaction. This surplus satisfaction is called 'consumer's surplus'. The consumer does not actually pay the maximum amount of money that he is willing, to pay for the purchase of commodity. For example, in a place where salt is very scarce we would have paid one rupee for a spoon of salt, rather than go without it. It shows the price we are willing to pay. But suppose the actual price in the market is only two paise per spoon of salt. We are getting a surplus satisfaction of 80 paise because the price we were willing to pay was one rupee while the actual price we pay is two paise. Such consumers surplus is to be found especially in the case of commodities which are highly useful but which are cheap, for example, post card, newspaper, matches, salt etc.

Definition: Prof. Marshall defined consumer's surplus as follows - Consumer's surplus is the excess of the price which the consumer would be, willing to pay rather than go without the thing over that which he actually does pay..... 'Prof. Trussing defines it as the difference between potential price and actual price. 'Potential price' is the price which the consumer would have paid rather than go without the commodity.

In short, consumer's surplus is what we are prepared to pay minus what we actually pay.

Consumer's Surplus based on Diminishing Utility

According to the Law of Diminishing Marginal Utility, each additional unit of a commodity gives less and less satisfaction/Therefore, the price of the consumer will be willing to pay for the additional units will be lower than the earlier units. An example is given below:

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Apples	Marginal Utility	Price
1	10 utils	Re. 1-00
2	5 utils	Re. 0-50
3	2 utils	Re. 0-25

For the first apple, the consumer is willing to pay Re. 1-00 se its utility is high. For the Second apple, he is willing to pay only 50 paisa and for the third apple, twenty five paisa only as the utility of each extra apple is falling. Price is determined by the utility of the last unit. If the stock of apples is three, the market price will be twenty five paisa each. Therefore, he buys the three apples for seventy five paisa only ($0-25 \times 3$). But, he would have paid one rupee for the first apple, fifty paisa for the second apple and twenty five paisa for the third apple. Thus, the consumer was willing to pay Rs. 1-75 for the three apples whereas according to the market price he buys all the three apples for seventy five paisa only. Consumer's surplus is therefore, one rupee.

Thus, consumer's surplus arises because market prices are determined by marginal utility (utility of the last unit) and not by total utility.

Market Consumer's Surplus: Market consumers surplus is the sum total of individual consumer's surpluses. We can calculate market consumer's surplus in two ways. 1) by adding the consumer's surplus of each individual in tire-market or 2) we take a representative consumer and multiply his consumer's, surplus by the number of consumers in the market.

Diagrammatic Representation

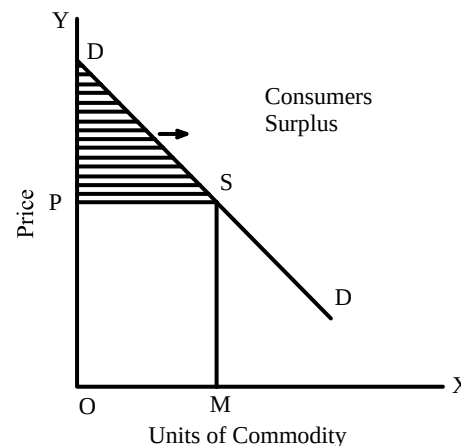


Figure 2.13

In the above diagram OP is the market price. At that price he buys OM quantity. Therefore, the total money he pays is $OP \times OM = OMSP$. But according to the demand curve he is willing to pay $OMSD$. Therefore, consumer's surplus $OMSD - OMSP = PD$. (shown by the shaded area).

Consumer's Surplus result of Environment or Conjuncture: Prof. Marshall says that consumer's surplus is a part of the benefit which a person derives from his environment or conjuncture.

Conjuncture means the social and economic progress and it's benefits. The introduction of new methods, new technology etc., has resulted in mass production of goods, lower costs and lower prices. Therefore, in an advanced society the consumers are able to get goods and services at prices lower than he would have paid.

Assumption of Consumer's Surplus: The concept of consumer's surplus is based.

on the following assumptions

1. Expected and realised utility are same.
2. Tastes and preferences of the consumer remains same.
3. Marginal utility of money remains same.
4. Utility of a commodity depends on the quantity of that commodity only. Each commodity is treated as an independent commodity.
5. While considering market consumer's surplus, the differences between consumers are ignored.

Criticism: The concept of consumer's surplus is criticised by several economists. The following are some points of criticism.

It cannot be measured: Consumer's surplus cannot be measured for the following reasons.

1. **Potential Prices are not Known:** It is not possible to know the prices that consumers would be willing to pay. A complete list of demand prices is not available. What we would have paid is something imaginary.
2. **For Necessaries it is Immeasurable:** People would be willing to give up entire wealth for necessities of life, if it is a must. For example, a multi-millionaire may be willing to part with all his wealth in a desert to get a morsel of food. If he actually gets food for one rupee, does that mean that consumer's surplus is million rupees minus one rupee? Therefore, we get fantastic and ridiculous results if we measure consumer's surplus in the case of necessities of life. Further in the case of necessities, consumption only removes pain. We do not get any pleasure or positive satisfaction and hence there cannot be excess satisfaction.
3. **Difference in Consumer's Circumstances:** Rich man would be willing to pay much more for a commodity than a poor man. Therefore, consumer's surplus differs from person to person.
4. **Differences in Sensibilities:** Tastes and sensibilities differ from person to person. Therefore, some persons may be willing to pay much more than other.
5. **Market Consumer's Surplus difficult to Measure:** As the circumstances, sensibilities etc., differ from person to person, market consumer's surplus cannot be measured.
6. **Marginal Utility of Money not Constant:** As we go on buying a commodity, we have less and less money with us. Therefore, the marginal utility of money increases. It does not remain constant.
7. **Utility of Earlier unit's Changes:** As we purchase more units of a commodity, the utility of the earlier units purchased will also diminish. The utility schedule will not be as before. It has to be changed every time when we make a purchase.
8. **Presence of Substitutes:** Many commodities have substitutes. Tea and coffee are substitutes. When there are substitutes, there is no question of 'what the consumer is willing to pay rather than go without it'. He can use a substitute if the commodity is not available.
9. **Goods having Prestige Value:** Goods like diamonds have prestige value because their prices are high. If they become cheap rich people may not buy them because they have lost the prestige value. When the satisfaction is less at a lower price, there is no consumer's surplus.
10. **Assumption of Independent utilities Wrong:** The utility of a commodity depends on the supply of other commodities also. But, consumer's surplus is based on

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independent utilities.

11. **Based on Subjective Utility** - cannot be measured: Utility is a mental feeling. It cannot be measured.
12. **Prof. Gobbi's Criticism difference between Potential Price and Actual Price does not Exist: According to Prof. Gobbi** there is no difference between what the consumers is willing to pay and what he actually pays. In practical life, the consumer decides the price he pays after considering the utilities of all the units. So consumer's surplus does not exist at all. It is zero.
13. **Nicholson's Criticism not useful to Compare Welfare:** If prices in England are lower than in South Africa, it does not mean that economic welfare is greater in South Africa. Prof. Nicholson says, it is absurd logic to say that 300 in England are equator 1000 in Africa.

Thus, the concept of consumer's surplus is criticized as unreal hypothetical, imaginary and illusory.

However, it cannot be said that it is a totally incorrect and useless concept. The excess benefit we enjoy as a result of lower prices and better facilities and services cannot be denied. It may not be possible to measure it exactly.

Practical Importance

The concept of consumer's surplus has some practical uses also.

1. **To compare Economic Welfare or Conjunctual Advantages:** The concept of consumer's surplus helps us to compare the economic condition of people living at different places. We can compare the standard of living in different parts of the world. Economic welfare is greater in countries where consumer's surplus is greater. Consumer's surplus will be high in places where prices are low.
2. **Shows the advantages derived from Falling Prices:** When the price of a commodity falls the consumer's surplus will increase. The sum total of satisfaction increases. Therefore, it is a useful tool in the analysis of Economics of welfare.
3. **Determination of Monopoly Price:** The concept is useful for a monopolist in fixing his price. He can fix a higher price for a commodity having large consumer's surplus because the consumer would be willing to pay higher prices. An idea of the consumer's surplus is useful for a monopolist to determine the price he should charge.
4. **In International Trade:** The gain from international trade can be measured with the help of this concept. Generally, a country imports goods because they are cheaper. If we produce in our country they cost more. Therefore, the difference between the price of imports and the price we would have to pay if produced within the country is the consumer's surplus or gain from international trade.
5. **In Public Finance:** In taxation, the Finance Minister should carefully select commodities on which the consumers enjoy large consumer's surplus.
6. **Consumer's Surplus and Elasticity of Demand:** If the consumer's surplus on a commodity is very high, the demand for that commodity will be inelastic because people do not mind paying a higher price. For example, consumer's surplus is high for necessities and so the demand for them is inelastic.
7. **Measures the difference between value-in-use and value- in-exchange** Value-in-use indicates the price we would be willing to pay. Value-in-exchange is the price we actually pay. Consumer's surplus clearly brings out the distinction between value-in-use and value-in- exchange. Consumer's surplus is high on

commodities which have high use-value but low exchange-value like salt, matches etc. Thus, the concept of consumer's surplus has theoretical and practical uses. It is really an 'intellectually respectable' tool which is useful to guide us in practical actions. As Pigou observed the engine which Marshall has devised; though limited-in range, can often serve us'.

Measurement of Consumer's Surplus with Indifference Curves - (Hicksian method).

Prof. Hicks applied indifference curve analysis to explain consumer's surplus. Different combinations of X-commodity and money that give equal satisfaction to the consumer can be shown by indifference curves. The difference between the quantity of money that he actually pays to buy X-commodity as per the market price and the money that he is prepared to pay for it, is the consumer's surplus.

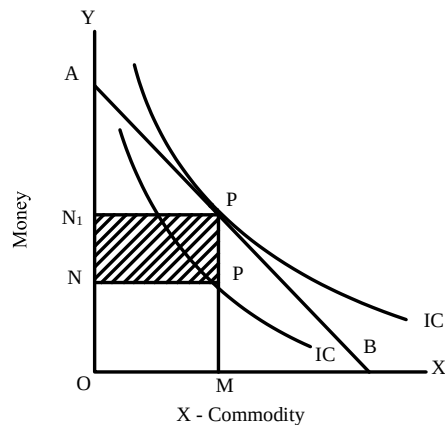


Figure 2.14

IC, indifference curve shows the different combinations of money and commodity - X. It shows that to buy OM quantity of X-commodity he was willing to pay a quantity of money. But AB price line shows that he actually pays price P1 to buy OM quantity of commodity. That is, he actually pays AN. Therefore, the difference between AN and N is NN1, which is the consumer's surplus. It is shown by the shaded area.

Problem on Consumers' Surplus

Using the following data calculate consumer's surplus for each unit and also make a graphic representation

Units bought	1	2	3	4
Price in Rs.	40	40	40	40
Total Utility in Rs.	80	75	60	40

Note : C.S. = What we are ready to pay - What we actually pay.

Solution

Units bought	Price in Rs.	Total utility in Rs.	C.S in Rs.
1	40	80	40
2	40	75	35
3	40	60	20
4	40	40	nil
Total units bought = 4	Total price paid = 160	Total utility = 255 units	C.S. = 255 - 160 = 95

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$$\text{ODPQ} = 255.00$$

$$\text{ORPQ} = 160.00$$

$$\text{RDP} = 95.00$$

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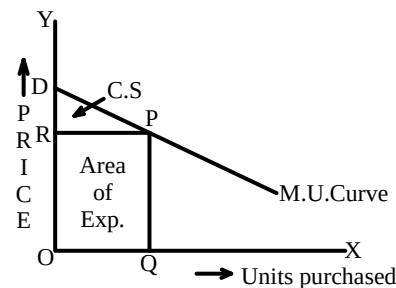


Figure 2.15

2.5 DEMAND ANALYSIS

Demand for goods and services constitute one side of the product market, supply of goods and services forms the other. It is needless to say that if there is no demand for a good, there is no need to produce that good. Also, if the demand for a good exceeds its supply, there may be need to expand its production. Further, production generally takes time, and so one may like to know the likely demand for a relevant product at a future date to plan its production properly.

Demand analysis seeks to identify and analyze the factors that influence the demand. It has the capacity to create demand as well. Thus, a study of demand is necessary for a decision-maker, for it has bearings on its production schedule, and influence on its profit, among other critical variables, it is also subject to manipulation by the decision-maker and it is crucial for attaining the firm's objectives. Before we pursue this matter further, it is necessary to explain certain concepts. Demand analysis is needed basically for three purposes.

- To provide the basis for analyzing market influences on the demand.
- To provide the guidance for manipulating the demand.
- To guide in production on planning through forecasting the demand.

To achieve the above objectives, demand analysis must include the factors which have bearings on the demand. We will see the below about the consumption pattern of an average household in our country

2.5.1 Meaning of Demand

The demand for a commodity is its quantity which consumers are able and willing to buy at various prices during a given period of time. So, for a commodity to have demand the consumer must possess willingness to buy it the ability or means to buy it, and it must be related to per unit of time i.e. per day, per week, per month or per year. Demand is a function of price (p), income (y), prices of related goods (p_r) and tastes (t) and is expressed as $D=f(p,y,p_r,t)$. When income, prices of related goods and tastes are given, the demand function is $D=f(p)$. It shows the quantities of a commodity purchased at given prices. In the Marshallian analysis, the other determinants of demand are taken as given and constant.

Demand Function

Identify the various variables effecting the demand for the given product to construct demand function. A demand function of general form may be

$$Q_x = f(p_x + y + p_s + p_e + u)$$

Where,

Q_x = Quantity demanded of product X

p_x = Price of X

Y = income of GDP

p_s = Price of substitute

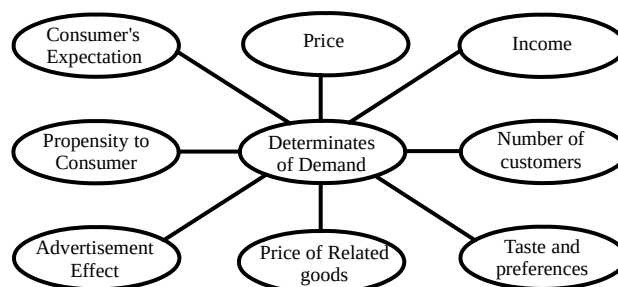
p_e = Price of complement

u = Error term representing random or unspecified factors.

2.5.2 Demand Determinants

Demand for the product is determined by several factors like price of the product, taste and desire of the consumers for commodity, income of the consumer, the prices of related goods such as substitutes and complements, advertising and sales promotion. These factors have the greatest influence on sales of the products. Let us discuss fully these variables which influence demand.

- i) **Price of a Commodity:** This is the basic factor in determining demand. There is a definite relationship between the quantity demanded and the price of the product. If a person wants to pay a certain price to the commodity, he must get satisfaction which is equivalent to the payment of price. No rational human being will pay for a product more than what it is worth to him in terms of utility. If the price is high, the individual has to sacrifice much, therefore he buys less. If the price falls, his sacrifice is less, he buys more. This inverse relationship between the price and the quantity demanded is called the Law of Demand.
- ii) **Consumer's Income:** The income of the consumer is another important variable which influences demand. The ability to buy a commodity depends upon the income of a consumer. The higher the income, larger is the quantity of a product that the consumer will buy. For example, a rich man can afford to buy more because his purchasing power is high. When the income of consumer increases, they buy more at a given price or at a higher price. When the income falls, the consumers are forced to buy less.



- iii) **Tastes and Preferences of Consumers:** The demand for a commodity depends upon tastes and preferences of consumers. These depend upon the cultural and social standard of consumers. If the consumers develop a taste for a commodity, they buy whatever may be the price. The particular life style influences the consumers to buy luxury goods and quality products. For example, a few years back, the demand for soft drinks was very low. But now the demand for soft drinks has increased very significantly, which is due to change in taste. Advertisement and sales campaign and improved knowledge are some of the factors which cause

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changes in consumers' tastes and preferences.

- iv) **Prices of Related Goods:** The demand for a product is also affected by the prices of substitutes and complements. Generally, commodities have alternatives and also they are used as complements. For example, coffee and tea are substitutes. Ink and pen are complements. When coffee becomes cheaper, the consumers substitute coffee for tea and as a result the demand for coffee increases and that of tea decreases. If the price of ink rises, the demand for pen falls. Likewise, when the price of cars falls, the demand for them would increase which in turn will increase the demand for petrol.
- v) **Advertisement and Sales Campaign:** In these days of modern civilization, the advertisement and sales campaign in newspapers and television influence the demand for products very significantly. They can change the demand pattern of the upper class people.
- vi) **Consumer's Expectations:** A consumer's expectations about the future changes in the price of a given commodity also affect its demand.
- vii) **The number of customers in the market:** In a country like India and China, the number of consumers is vastly increasing owing to an alarming increase in population. Consequently, the demand for essential goods is also high. It is also easy for the sellers to find market for their goods in such thickly populated countries. Thus, the greater the number of buyers for a product, the greater is the market demand for it.
- viii) **Changes in the propensity to consume:** Propensity to consume is another important factor in determining the demand for a commodity. During the period of inflation, propensity to consume is high. Consequently, the demand for goods is also high. During the depression, the propensity is low owing to fall in income and gloom about the future. The propensity is low. Then the demand curve shifts downward. Changes in propensity to consume will bring about changes in the demand schedule.
- ix) **Income distribution:** Income distribution refers to the equitable distribution of income among people by a Government's tax and public expenditure policies. When distribution of income is equal among the people, then the propensity to consume by the society as a whole increases and consequently the demand will be high. For example, if progressive taxes are levied on high income groups of people and the same revenue is spent on the betterment of poor people, their incomes rise and which in turn increases the demand for goods and services. If the growth of wealth and income is concentrated in the hands of the rich people, their number being small in a society, the purchasing power of a large percentage of the people will remain low and the demand for goods also will be low. Then the demand curve shifts downward.

Apart from the above mentioned factors, there are certain other factors like changes in climate or weather conditions, savings of the people, real income, quantity of money in circulation, inflation, conditions of trade prevailing in the market that also cause changes in the demand for a commodity.

Thus, all these factors contribute for the demand for a commodity. We can analyse the concept of demand in the form of a formula as $q = f(p_y, p_r, w)$, where q stands for quantity demanded, p stands for the price of the commodity, y stands for income of the consumers, p_r stands for price of the related goods and w stands for tastes and preferences. If income, price of related goods, tastes and preferences are assumed to be constant, the quantity demand for a commodity depends upon the price. Then, the formula for demand is $q = f(p)$.

2.5.3 The Law of Demand

The law of demand is based on the law of diminishing marginal utility. The law states the relationship between the quantity demanded and price. Experience tells us that ordinarily if the price of a commodity falls, the quantity demanded goes up and vice-versa there is an inverse relationship between the price of the commodity and the quantity demanded. In economics, this relationship is called as the Law of Demand.

Statement of the Law

Prof. Marshall writes, “The amount demanded increases with a fall in price and diminishes with a rise in price.”

According to Bilas, “The law of demand states that other things being equal, the quantity demanded per unit of time will be greater, the lower the price and smaller, higher the price.”

Prof. Samuelson writes, “Law of demand states that people will buy more at lower prices and buy less at higher prices, other things remaining the same.”

The law of demand states that other things being equal, demand varies inversely with price.

Assumptions of the Law

According to Stigler and Boulding, the law of demand is based on the following assumptions.

1. There should be perfect competition in the market.
2. There should be no change in the income of the consumers.
3. There should be no change in the tastes and preferences of the consumers.
4. Price of the related commodities should remain unchanged.
5. The commodity should be a normal one.
6. The size of population should not change.
7. There should be no expectation of rise in price of related goods.

Explanation of the Law

This law can be explained with the help of a demand schedule and demand curve.

Demand Schedule

The law of demand can be presented through a demand schedule-Demand schedule is a series of prices in descending (or ascending) order and the corresponding quantities which consumers would like to buy per unit of time.

Demand Schedule for Milk

Price per cup of Milk (Rs.)	No. of cups of tea demanded by a consumer per day	Points representing price-quantity combination
7	1	i
6	2	j
5	3	k
4	4	l
3	5	m
2	6	n
1	7	o

Table presents seven alternative prices of tea and the corresponding quantities (number of cups of milk) demanded per day. At each price, a unique quantity is demanded.

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As the table shows, as price of tea per cup decreases, daily demand for tea increases. This relationship between quantity demanded of a product and its price is the basis of the law of demand.

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The Demand Curve

The law of demand can also be presented through a demand curve. A demand curve is a locus of points showing various alternative price-quantity combinations. Demand curve shows the quantities of a commodity which a consumer would buy at different prices per unit of time, under the assumptions of the law of demand. By plotting the data given in the above table. We obtain an individual demand curve for milk, as shown in below figure the curve DD' is the demand curve. It shows the law of demand

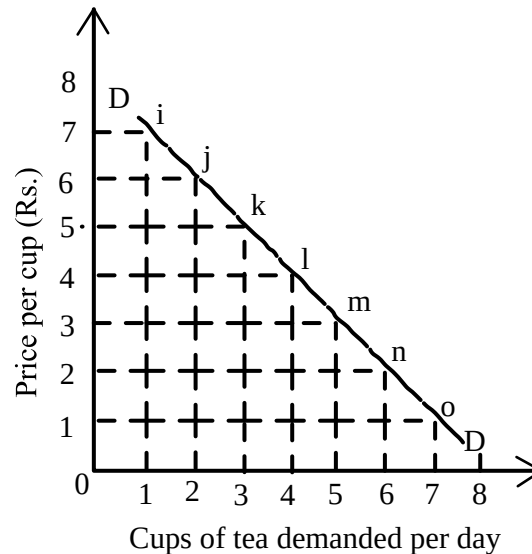


Figure 2.16

Each point on the demand curve shows a unique price-quantity combination. The combinations read downward along the demand curve showing decreasing price of tea and increasing number of cups of tea demanded. Price-quantity combinations read upwards shows increasing price of milk per cup and decreasing number of cups of milk consumed by an individual per day. Thus, the demand curve shows a functional relationship between the alternative prices of a commodity and its corresponding quantities which a consumer would like to buy during a specific period of time, say, per day, per week, per month, per season, or per year.

Characteristics of Law of Demand

- 1) The law states that demand varies-inversely with price, not necessarily proportionately. If the price falls by 10 percent, it does not follow that demand will rise exactly by 10 per cent. It may be more than 10 per cent or less than 10 per cent.
- 2) Price is an independent variable while the quantity demanded is a dependent variable. It means that demand is entirely dependent on the price.
- 3) The law of demand depends upon certain conditions such as constancy of tastes and preferences, incomes of the individuals, prices of substitutes, etc. If these change, demand also changes.

2.5.3.1 Factors behind the Law of Demand : As demand curve slopes downward to the right. The downward slope of the demand curve depicts the law of demand, i.e., the quantity of a commodity demanded per unit of time increases as its price falls, and vice versa. The factors that make the law of demand operate are the following.

Substitution Effect: When the price of a commodity falls, prices of its substitutes remaining constant, then the substitute becomes relatively costlier. Or, in other words, the commodity whose price has fallen becomes relatively cheaper. Since a utility maximizing consumer substitutes cheaper goods for costlier ones, demand for the cheaper commodity increases. The increase in demand on account of this factor is known as the substitution effect.

Income Effect : When the price of a commodity falls, other things remaining the same, then the real income of the consumer increases. Consequently, his purchasing power increases since he is required to pay less for a given quantity. The increase in real income encourages the consumer to demand more of goods and services. The increase in demand on account of an increase in real income is known as the Income effect.

It should, however, be noted that the income effect is negative in case of inferior goods. In case the price of an inferior good (accounting for a considerable proportion of the total consumption expenditure) falls substantially, consumers' real income increases and they become relatively richer. Consequently, they substitute the superior goods for the inferior ones. As a result, consumption of the inferior goods falls. Thus, the income effect on the demand for inferior goods becomes negative.

Utility-Maximizing Behavior: The utility-maximizing behavior of the consumer under the condition of diminishing marginal utility is also responsible for increase in demand for a commodity when its price falls. As mentioned above, when a person buys a commodity, he exchanges his money income for the commodity in order to maximize his satisfaction. He continues to buy goods and services so long as Marginal utility of his Money (MU_M) is less than the Marginal Utility of the Commodity (MU_C).

Given the price of the commodity, the consumer adjusts his purchases so that $MU_m = P_c = MU_c$

When price of the commodity falls, $(MU_m = P_c) < MU_c$, and equilibrium is disturbed. In order to regain his equilibrium, the consumer will have to reduce the MU_c to the level of MU_m . This can be done only by purchasing more of the commodity.

Therefore, the consumer purchases the commodity till $MU_m = P_c = MU_c$. This is another reason why demand for a commodity increases when its price decreases.

2.5.3.2 Income and Substitution Effects of Law of Demand

The law of demand states that if the price of a commodity falls, the demand for the commodity rises and vice-versa. It means that demand responds to the price in the reverse direction. This aspect can be explained with reference to the behaviour of buyers. The buyers are classified into marginal buyers and intra-marginal buyers. Intra-marginal buyers are those who increase or decrease their consumption of a good but do not start or stop their consumption when faced with price variations. The behaviour of marginal buyers can be explained in terms of income and substitution effects.

- i) **Income Effect:** The fall in the price of a commodity is equivalent to an increase in income of the consumer, because he spends less while buying the same quantity of the commodity as before. A part of the money so gained can be used to buy more of the same commodity. When the price rises, the consumer's income is reduced since he has to spend more money to buy the same units of the commodity, by curtailing the consumption of other commodities. If the consumer does not want to buy more units of the same commodity when price falls, he may use the surplus money to buy some units of a superior commodity. The reverse takes place when price rises. Thus, income effect of a change in price is negative for superior goods and positive for inferior goods.

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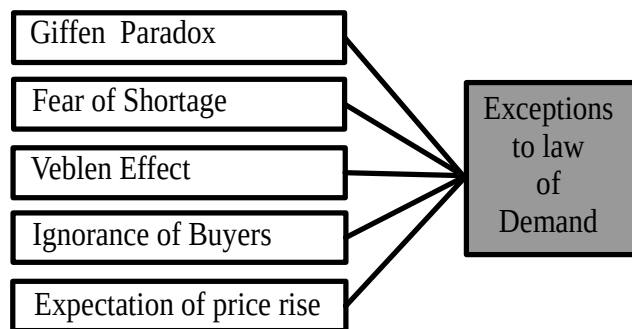
- ii) Substitution Effect:** When the price of a commodity falls, the consumers can buy more units of the same commodity or they can substitute that commodity for some other commodity or commodities which have now become relatively dear. If the price of tea falls, the consumers will now buy less of tea and more of coffee. It is also possible that if the price of coffee falls, others may now use coffee in place of tea. When the price of tea rises, more of tea will be used while consumption of other commodities is reduced. This is 'substitution effect'.

A change in price gives rise to both substitution effect and income effect. Income effect is positive and substitution effect is negative. The sum of income and substitution effects measure the price effect. For superior goods, both the income and substitution effects work in the same direction, while for inferior goods they work in opposite direction.

2.5.3.3 Exceptions to the Law of Demand

The demand curve generally slopes left to right downwards. But sometimes, it may rise from left to right upwards. This is called exceptions to the law of demand. It means, when prices rise, more units of a commodity may be demanded. If price falls, less units of the commodity may be demanded. This is shown in the form of a rising demand curve. Such cases are very rare. However, there are some cases in our every day life. They are often referred to Giffen goods. Giffen goods are those inferior goods on which consumers spend a large part of their incomes. Giffen paradox states that the demand is strengthened with a rise or weakened with a fall in price.

- i) Giffen Paradox:** People spend a major portion of their income on staple foods like wheat, jowar, etc. If the price of wheat or jowar falls, the people are forced to give up buying of these goods and buy more of rice and other superior goods. When the price of wheat or jowar rises, the consumers buy more of wheat or jowar and forego the buying of other goods. Sir Robert Giffen found that in the nineteenth century in Ireland, the people were so poor that they spent a major portion of income on bread and a small amount on meat. Bread was so cheap while meat was very costly then. When the price of bread rose, they spent their entire income on bread and abandoned meat. Thus, a rise in the price of bread resulted in increased sales of bread. This phenomenon happens in all communities when they spend a major portion of their income on staple commodities.
- ii) Fear of Shortage:** When a shortage is feared, people become panicky and buy more even though the price is rising.



- iii) Veblen Effect:** There are some commodities which are purchased by the upper sections of the society for their 'snob appeal' or ostentation. If price of goods of ostentation rise, some people buy more units of these goods. Veblen calls this conspicuous consumption. For example, diamond. When the price of diamond rises, rich people buy more in order to exhibit their superiority in society. When the price of diamond falls, its demand will also fall for it loses its prestige.

- iv) **Ignorance of buyers:** Sometimes people buy at a higher price in sheer ignorance.
- v) **Expectation of price rise:** In the speculative market, a rise in price of shares and stocks is followed by large purchases, while a fall in their prices is followed by less purchase. When the prices of shares rise, people expect that their prices would rise further and rush to buy. When the price falls, they anticipate further fall in the price and stop buying.
- vi) **Necessities of Life:** In case of necessities like, rice, wheat, milk, cloth, etc. people purchase the same quantity even at a higher price. Therefore demand for such commodities is inelastic.
- vii) **Price Delusion:** Some consumers will be deluded by the price under the notion that high price articles are superior and low priced are inferior. Due to this price delusion, people will demand more of the commodity, if the price increases. This holds good in the case of fashion and fancy goods.

Basis of the Law of Demand - Diminishing Marginal Utility (Reason for downward sloping demand curve)

The fundamental question in the demand analysis is, why do consumers buy more when the price falls and vice versa. The answer is that the consumer acting rationally calculates deliberately the satisfaction he gets from the consumption of various units of a commodity at a given time. The goal of a consumer is to derive maximum satisfaction or utility from the purchase of various units of a commodity. In order to maximise satisfaction or utility, the consumer allocates his expenditure on a commodity in such a way that he receives the same marginal utility for the last unit of money spent on that commodity. The same is explained in the law of diminishing marginal utility.

Thus, the basis of law of demand is operation of the law of diminishing marginal utility. The consumer will buy more only if the price falls, because the more he buys, the lower is the marginal utility. Because of this reason, the demand curve slopes downwards.

2.5.3.4 Changes In Demand

The demand curve shows the inverse relationship between the price and quantity demanded, i.e., how various quantities of a commodity can be sold at different prices assuming other things such as tastes and preferences, prices of the related goods and consumer's money income are remaining constant. Classical economists were quite aware that price is not the sole factor determining sales and changes in other things may change the demand schedule. The effect of changes in demand consequent on changes in other things is called shift in demand schedule. If the shift is upward it is called "increase in demand" and the downward shift is called "decrease in demand." On the other hand, if changes in demand arise due to changes in price, it is called as "expansion or strengthening" of demand and "weakening or contraction" of demand. When the demand rises due to fall in the price, it is called expansion of demand. On the other hand, if the demand falls due to rise in price, it is called contraction of demand. There is vast difference between the terms of expansion of demand and increase; and contraction of demand and decrease in demand.

Expansion and Contraction of Demand

Here, the movement of expansion and contraction of demand takes place on the same demand curve because the demand schedule is fixed. The price simply goes up and down the same curve. This is illustrated in the following diagram.

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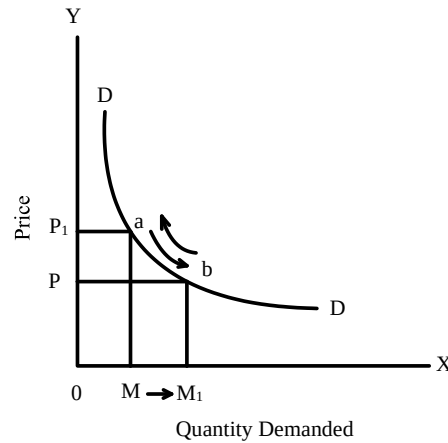


Figure 2.17

The consumers demand curve is DD . At OP price, OM_1 , is the quantity demanded. If the price rises to OP_1 , his demand will be reduced to OM . If the price falls he will slide back. The consumer in this case is purely guided by price. Such a change in demand is called expansion and contraction of demand.

Increase and Decrease of Demand

Shifts in the position of the demand curve may take place due to the change in the conditions of demand. These shifts may be of two types the upward shift or increase in demand and the downward shift or decrease in demand.

The demand is said to increase when the consumers are ready to buy more at the same price or willing to pay more for buying the same quantity as before.

The demand is said to decrease when the consumers buy less at the same price or pay less for buying the same quantity as before.

The increase and decrease in demand are shown in the shifting of demand schedules. In the following diagram, the changes in demand schedules are shown.

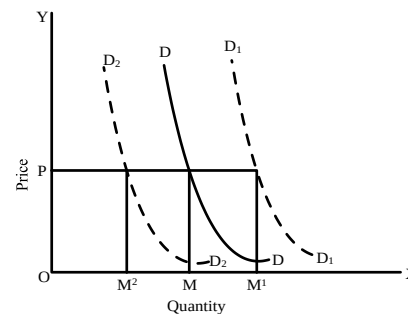


Figure 2.18

In the beginning, DD is the demand curve. If there are favorable changes in factors determining demand, the demand curve (DD) shifts upward to D_1D_1 . At price OP , the consumers will buy more, i.e. from OM to OM_1 . When the other factors become unfavourable the demand curve shifts downward to D_2D_2 . Then the demand falls to OM_2 .

The increase in demand occurs due to the following factors

- The fashion for goods increases or people's tastes and preference become more favourable for goods.
- Consumer's income increases.

- c) Price of substitutes of a commodity in question rises.
- d) Price of complementary goods have fallen.
- e) Propensity to consume of the people increases.
- f) Increase in the number of consumers owing to increase in population.
- g) Transfer of income in favour of middle and low income groups of people.

In all the above cases, the demand curve shifts upwards. Decrease in demand occurs when the following situations arise

- a) A good goes out of fashion or people may develop distaste for the goods.
- b) Incomes of the people fall.
- c) Prices of substitutes fall.
- d) The prices of complements rise.
- e) There arises decline in the propensity to consume by the people and
- f) Income is transferred in favour of rich people.

In all the above cases, the demand curve shifts downward or backward.

2.5.3.5 Types of Demand

Demand analysis is studied for specific purposes. The main purpose is for the business objectives. The business people are required to make a thorough study of demand analysis with a view to solve business problems and to make business decisions. The business people have to produce goods which have great demand in the market. In order to study the demand potential for goods, they are classified into several types. They are as follows

1. Producers' goods and consumers'-goods,
2. Durable and non-durable goods,
3. Derived demand and autonomous demand,
4. Industry demand and company demand,
5. Short run demand and long term demand,
6. Joint Demand and Composite demand,
7. Price demand, Income demand and Cross demand,
8. Market demand and market segments.

1. Producers' Goods and Consumers'-goods

Producers' goods are those goods which are used in the production of goods which may be consumer goods or producers' goods. Example: machines, tools and implements, ships, locomotives etc. **Consumer goods are those goods which are in use in the final consumption.** Examples of consumer goods can be given any number-food items, ready made clothes, utensils and so on and so forth. There are intermediate goods such as yarn to produce cloth, steel to produce machinery which are producers' goods. There are single use goods and durable use goods. Manufactured food items are single use consumption goods. Sewing machines are a single use, durable use goods. A car, a refrigerator are consumer durable goods.

The reasons for the demand for producers goods are the following

- Buyers of produce goods are professionals. They are experts and they can make discrimination price wise, quality wise and are sensitive to substitutes.
- Their motives are purely profit. Products are bought not for the product sake but for making profit.

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- Their purchases are not at all influenced by advertisement, but more sensitive to price differences.
- Demand for producers goods fluctuate more dramatically than consumer goods.

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The distinction between consumer goods and producer goods though serves a successful purpose, is purely arbitrary. Whether goods are producers' goods or consumers' goods, it is based on (i) who buys (ii) why he buys. For example, if coal is used for cooking, it is a consumers' good-if the same coal is used in a railway engine, it is a producers' good. If the car is used by a retired executive, it is a consumers' good and if the same car is used by a marketing executive, it is a producers' good.

2. Durable Goods and Perishable Goods

Durable goods are those which satisfy their owners for a long time to come if they are maintained properly. Perishable goods or non-durable goods are goods which can be consumed only once. In other words, perishable goods are themselves consumed, while in durable goods, the services are consumed.

Durable products present more complicated problems of demand analysis than the nondurable goods or perishable goods. Sale of perishable goods are made to meet the current demand which depends upon current conditions, while the sale of durable goods add to the stock of existing goods which are still serviceable. Therefore, it is necessary to segregate current demand for durable goods with that of existing goods.

Demand analysis for durable goods is not simple. Both replacement and expansion have manifold sets of demand determinants. Physical deterioration is rarely a deciding factor in replacement of durable goods. For durable goods, both consumers' and producers' goods, style, convenience and income play a dominant role in demand.

While buying durable goods, the buyers, apart from their incomes and current prices of the products, look into other things such as maintenance and operating costs in relation to their future income and other demands. They may look into the future sale prices of these products. They consider carefully whether to buy now or postpone the purchase. Thus, for durable goods, not only present prices and incomes, but their current trends and states of optimism are proper variables to include in demand functions. Expectation of proper improved designs are also important.

3. Derived Demand and Autonomous Demand

When the demand for a product is tied with another product, it is called derived demand. For example, demand for steel is related to the production of machinery. Demand for all producer's goods, raw materials and components are derived demand. Demand for building materials like doors and windows, cement, sand etc. is derived from the demand for houses. If the demand for a product is independent of demand for other goods, then it is called as autonomous demand. But this distinction is purely arbitrary and it is very difficult to find out which product is entirely independent of other products.

Derived demand is supposed to have less price elasticity than autonomous demand, assuming that substitutes are equally available. For example, for a 10% cut in the price of steel would cause only two per cent cut in the cost of car, assuming prices of all other components are the same.

Some products are tied to others in their uses and they have no independent demand. For example, television antennas. If a commodity has a number of uses, it is difficult to tie the demand down to parent products.

Derived demand facilitates forecasting when proportions of the two products are fixed. In some cases, demand may not provide a very reliable basis. For example, demand for looms in Cotton Textile Industry would normally be determined by the demand for

cotton textiles. Yet, it may not give the current indicator as the looms may be used in double or triple shifts and the number of looms required may be reduced by half or one third. The recession in motor car industry forced type manufacturers to cut production and reduce stocks.

4. Industry Demand and Company Demand

The total demand for the products of a particular industry refers to “industry demand”. On the other hand the company demand refers to the products of a particular company in that industry. For example, the total demand for television sets denotes the industrial demand, while the demand for “ONIDA” television sets denotes company demand producing that brand of television sets.

In order to understand the relation between company demand and industry demand, it is necessary to know the characteristics of different market structures. There are different market structures, such as monopoly, perfect competition, monopolistic competition and oligopoly. In the case of monopoly, there is a single firm and hence there is no difference between company demand and industry demand. In other words, company demand curve would be the same as the industry demand curve. In the case of perfect competition, the industry demand curve is completely divorced from company demand curve. The company in this market situation has no independent price since all firms are selling the identical product. In the case of company, the demand curve is a horizontal straight line, while the industry demand curve is negative sloped.

In the case of oligopoly, there are two types-one is homogeneous oligopoly and the other is differentiated oligopoly. In the case of homogeneous oligopoly, sellers are few and their products are standardised, the business is highly transferable among themselves. Example: aluminum, steel and cement. There is competition among rivals. The company’s own demand curve is uncertain, for it depends on the rivals. What is generally done is that the sellers charge the same price to stay on in the market, since the product produced by all firms is identical. If a firm would reduce the price, this would lead to a chain of reactions in the industry. In many manufacturing industries, a few large firms dominate and account for substantial portion of the industry’s output. But most products are not uniform and hence there is a small price variation.

There is differentiated oligopoly-few sellers with differentiated products (for example, motor cars, refrigerators, television sets, etc.). The products of the rival companies differ physically, the company’s demand is less closely inter-dependent to industry’s demand, since the consumers express preferences.

5. Short Run Demand and Long Run Demand

Short run demand refers to existing or current demand. Further, there is immediate reaction to price changes, income fluctuation, etc. whereas long term demand refers to demand which ultimately exists due to changes in prices or promotion of product improvement. For example, a cut in price of electricity will induce the existing users of electrical appliances to make greater use of them. This is short term change in demand. In the long run more people will be induced to buy them, ultimately leading to a greater demand for electricity. Thus, a temporary price cut cannot be viewed in the same light as one that is expected to stick. Competition among the producers will result in cut in the prices in the short run. This will lead to the entry of new competitors and exploration of substitutes in the long run.

Factors that cause this distinction are: (1) Cultural lags in information and experience, (2) Capital investments required on the part of consumers to change their consumption patterns.

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A price change today will result in a chain of adjustments in customer's attitudes and competitor's prices. There may be delayed action on the part of the buyers in response to price changes, because in practice, the consumers use patterns are sticky. In the case of new products, price changes may not induce the buyers to buy them more. In the long run, price cuts may accelerate growth considerably, because by that time, there will have been adjustments in the use patterns.

Another factor is with regard to the new investments that will have to be made in order to take advantage of price cuts. In order to buy electrical appliances like refrigerators, T.V. sets, washing machines, etc., a huge investment will have to be made, which may not be possible for many people. Thus, long run growth is not entirely dependent on price-cuts. Yet, price cuts influence the increase in demand considerably.

6. Joint Demand and Composite Demand

Joint demand can also be called as complementary demand. When two goods are demanded together at the same time to satisfy a single want it is called as joint demand.

Examples, pens and ink, bike and petrol, coffee or tea and sugar, bread and jam, torch light and battery etc. In these cases, the change in demand for one commodity leads to a change in the demand for other in the same magnitude and often in the same proportion. The goods which are demanded together are called complementary goods.

Composite demand on the other hand refers to demand for a product, when it is demanded for several different uses. For example, steel is demanded for buildings, manufacturing of automobiles, etc. Electricity is demanded for domestic use, commercial purpose, agricultural use etc. Sugar is demanded to produce different kinds of sweets, toffees etc.

7. Price Demand, Income Demand and Cross Demand

Price demand refers to the quantities of any commodity which consumer is ready to purchase at a given point of time at various hypothetical price keeping other things constant. In this explanation 'keeping other things constant' indicates assumptions which are

- Income of the consumer remains constant;
- No change in the price of related goods; and
- Fashion, taste and behaviour etc. of the consumer don't change. Thus, demand is the function of price.

$$\therefore D = f(P)$$

Income demand refers to quantities of a commodity which consumer could buy in a given period of time at the various levels of consumers income, if other things remains constant means there is no change in the price of the commodity, fashion, taste of the consumers, price of related commodity.

Change in income has different effect on different classes or types of commodities which may be grouped as superior commodities and inferior commodities.

Thus, demand is the function of income.

$$\therefore D = f(Y)$$

Cross demand refers to the different quantities of a commodity consumer purchases per unit of time at different prices of a related commodity, other things remaining the same. The other things include consumer's income as well as the price of the commodities.

Thus cross demand may be stated as follows

i.e. the demand for x commodity depends on the price of y commodity.

8. Demand Analysis in Terms of Market Share

The market share concept of company demand is now being used in demand analysis. The market demand for a product may be 10 million tones of steel. But a company's output may be 2 million tonnes. Then the company's share in the market demand is 20 per cent. It is stated that some companies control 60 to 70 per cent of the product market, which are called dominant companies. The concept of market share becomes important because of the entire demand being the result of vast impersonal economic forces and is usually beyond the capacity of an individual company to control it. The factors that determine the market share are: (1) The price differentials, (2) Promotional expenditure and (3) Product improvement.

The price differential or price spread for product in the market determines the market share of the company. If a company's price is lower than the price charged by other companies, then that company would be able to capture a greater market share. If there is still competition in the market, a company may resort to increased promotional campaign, or it may take up product improvement by using latest technology. Thus, market share concept influences the individual companies to improve their respective positions in the market. In this cultural setting, market share objectives are often defensive.

9. Total Market and Market Segment

Total market for a product refers to its total demand. When the total market for toilet soaps is referred, it includes all the brands or substitutes of toilet soaps. Market segment refers to the part of the total market such as foreign market, local market, regional market and national market. Market segment may also be carved out by sub-products, the uses of products, sensitivity to price, etc. When demand is divided into different segments, this gives rise to the market segment. Total market includes all segments.

When demand forecasting is to be made, total market has to be taken into consideration. When pricing, distribution and promotion is to be taken up, their market segment is preferred. Each of these market segments may differ in prices, packaging, promotion etc. For manipulating price, promotion, production and distribution, a segment concept of demand is appropriate.

10. Individuals Demand and Market Demand

The Demand for a good by an individual buyer is called individual's demand while the demand for a good by all buyers in a market is called market demand. For example, if the milk market consisted of, say, only three buyers, then individuals and market demand (monthly) could be as follows

Milk Price	Milk demand by (litres)			
(Rs./ litre)	Buyer 1	Buyer 2	Buyer 3	All buyers
(1)	(2)	(3)	(4)	market demand (5)
8	5	10	0	15
7	6	12	4	24
6	12	15	7	34
5	20	19	12	51
4	30	25	20	75
3	45	30	30	105

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In this table, columns (1) and (2) represent buyers 1's demand, columns. (1) and (3) buyer 2's demand, columns (1) and (4) buyer 3s demand, and column (1) and (5) the market demand for milk. The market demand is obtained as the sum of all buyers demand at respective prices. The graphical derivation of market demand is illustrated, in figure .2.19

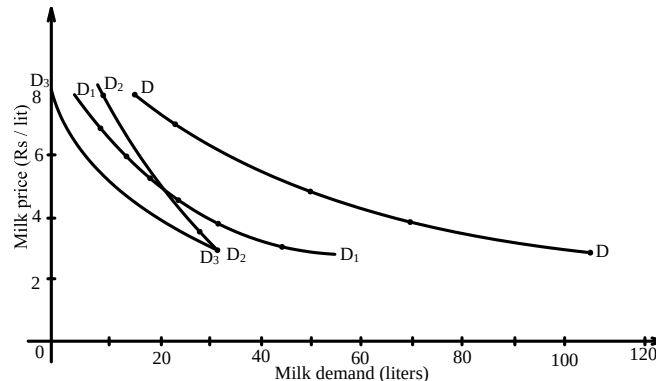


Figure :2.19 Individuals and Market Demand Curves

Incidentally, it should be noted here that since tables are discontinuous and graphs are continuous, we have drawn graphs only to approximate table instead of exacting the two.

In figure 2.19, D_1 D_2 represents demand curve of buyer 1, D_2 D_2 of buyers 2, D_3 D_3 of buyer 3, and DD that of all three of them, called the market demand curve. The market demand curve can be obtained graphically through a horizontal summation of individual demand curves.

It should now be clear to the readers that the firm would be interested in the market demand for its products while each consumer would be concerned basically with only his own individual's demand.

2.6 ELASTICITY OF DEMAND

The concept of elasticity of demand therefore refers to the degree of responsiveness of quantity demanded of a good to a change in its price, consumer's income and prices of related goods. Accordingly, there are three concepts of demand elasticity: Price elasticity, Income Elasticity and Cross Elasticity. Price elasticity of demand relates to the degree of responsiveness of quantity demanded of a good to change in its price. Income elasticity of demand refers to the sensitiveness of quantity demanded to a change in consumer's income. Cross elasticity of demand means the degree of responsiveness of demand of a good to a change in the price of a related good which may be either a substitute for it or a complementary with it. The concept of elasticity of demand has a very great importance in economic theory as well as formulation of suitable economic policies.

$$E_d \frac{\text{Proportionate change in Quantity Demanded}}{\text{Proportionate change in price}}$$

Symbolically

$$E_d \frac{\Delta q}{q} / \frac{\Delta p}{p} = \frac{\Delta q}{q} + \frac{\Delta p}{p}$$

$$E_d \frac{\Delta q}{q} / \frac{p}{\Delta p} = \frac{\Delta q}{\Delta p} \times \frac{p}{q} = (-) \frac{\Delta q}{\Delta p} \times \frac{p}{q}$$

(Negative sign is attached because quantity demanded and prices are inversely related.)

Importance of Elasticity of Demand

The concept of elasticity of demand is of great importance in practical life. These are as follows

1. **Useful for Business:** The elasticity of demand enables the business in general and the monopolists in particular to fix the price. Studying the nature of demand the monopolist fixes higher prices for those goods which have inelastic demand and lower prices for goods which have elastic demand. In this way, this helps him/her to maximize his/her profit.
2. **Fixation of Prices:** The elasticity of demand is very useful to fix the price of jointly supplied goods. In the case of joint products like paddy and straw, the cost of production of each is not known. The price of each is then fixed by its elastic and inelastic demand.
3. **Helpful to Finance Minister:** It helps the Finance Minister to levy tax on goods. After levying taxes more and more on goods which have inelastic demand, the Government collects more revenue from the people without causing them inconvenience. Moreover, it is also useful for the planning.
4. **Fixation of Wages:** It guides the producers to fix wages for laborers. They fix high or low wages according to the elastic or inelastic demand for the labor.
5. **In the Sphere of International Trade:** It is of greater significance in the sphere of international trade. It helps to calculate the terms of trade and the consequent gain from foreign trade. If the demand for home product is inelastic, the terms of trade will be profitable to the home country.
6. **Paradox of Poverty:** It explains the paradox of poverty in the midst of plenty. A bumper crop instead of bringing prosperity may result in disaster, if the demand for it is inelastic. This is specially so, if the products are perishable and not storable.
7. **Effect on Employment:** The effect of machines on employment opportunities depends on elasticity of demand for the goods produced by such machines. In the initial stage, use of such machines cause unemployment and prices will also fall. But when demand for such commodities is more elastic, then fall in prices will generate more increase in its demand. As a result, demand will stimulate greater production and hence more employment. If demand for commodities produced by these machines is inelastic, then even fall in price will not increase demand as well as employment.
8. **Significant for Government Economic Policies:** The knowledge of elasticity of demand is very important for the government in such matters as controlling of business cycles, removing inflationary and deflationary gaps in the economy. Similarly, for price stabilization and the purchase and sale of stocks, information about elasticity of demand is most useful.
9. **Incidence of Taxation:** Incidence of tax lies on the person who ultimately pays the tax. The incidence is on the buyer, if demand is perfectly inelastic. He/she will go on buying as much as before despite the price rise. Thus, the government has to keep the watch on the ultimate burden of the tax, which depends on the elasticity of demand of the commodity taxed. If necessities, which have less elastic demand are taxed the burden will fall more on the poor sections of society. Therefore, principle of justice in taxation is based on elasticity of demand.

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10. Determination of Price of Public Utilities. The elasticity of demand is significant in the determination of the prices of public utility services. Economic welfare of the society largely depends upon the cheap availability of the essential products like water, electricity, cooking gas, transportation etc. For such commodities demand is inelastic and these should be controlled by the government. The government will distribute these products at fair price. Therefore, Government helps to fix the prices of necessities of life.

2.6.1 Definitions of Price Elasticity of Demand

The concept of price elasticity of demand has been defined by different economists as under

“Elasticity of demand may be defined as the percentage change in quantity demanded to the percentage change in price.”
- **Alfred Marshall**

“The elasticity of demand for a commodity is the rate at which quantity bought changes as the price changes.”
- **A.K. Cairncross**

“The elasticity of demand is a measure of the relative change in quantity to a relative change in price.”
- **J.M. Keynes**

“Elasticity of demand measures the responsiveness of demand to changes in price.”

- **Kenneth Boulding**

2.6.1.1 Degrees of Price Elasticity

Different commodities have different price elasticities. Some commodities have more elastic demand while others have relative elastic demand. Basically, the price elasticity of demand ranges from zero to infinity. It can be equal to zero, less than one, greater than one and equal to unity.

“The elasticity or responsiveness of demand in a market is great or small according as the amount demanded increases much or little for a given fall in price and diminishes much or little for a given rise in price.”
- **Dr. Marshall**

However, some particular values of elasticity of demand have been explained as under;

1. **Perfectly Elastic Demand.** Perfectly elastic demand is said to happen when a little change in price leads to an infinite change in quantity demanded. A small rise in price on the part of the seller reduces the demand to zero. In such a case the shape of the demand curve will be horizontal straight line as shown in figure 2.20. The figure 1 shows that at the ruling price OP, the demand is infinite. A slight rise in price will contract the demand to zero. A slight fall in price will attract more consumers but the elasticity of demand will remain infinite. But in real world, the cases of perfectly elastic demand are exceedingly rare and are not of any practical interest.

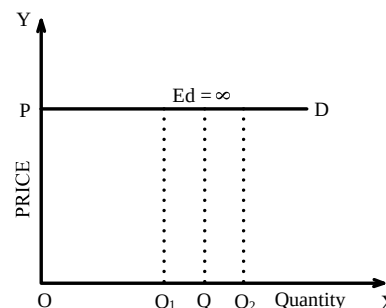


Fig: 2.20

2. **Perfectly inelastic Demand.** Perfectly inelastic demand is opposite to perfectly

elastic demand. Under the perfectly inelastic demand, irrespective of any rise or fall in price of a commodity, the quantity demanded remains the same. The elasticity of demand in this case will be equal to zero.

In diagram 2.21, DD shows the perfectly inelastic demand. At price OP, the quantity demanded is OQ. Now, the price falls to OP_1 from OP, the demand remains the same. Similarly, if the price rises to OP_2 the demand still remains the same. But just as we do not see the example of perfectly elastic demand in the real world, in the same fashion it is difficult to come across the cases of perfectly inelastic demand because even the demand for bare essentials of life does show some degree of responsiveness to change in price.

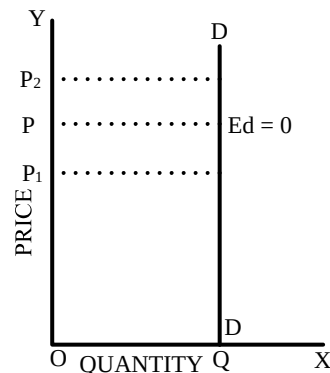


Fig: 2.21

3. Unitary Elastic Demand. The demand is said to be unitary elastic when a given proportionate change in the price level brings about an equal proportionate change in quantity demanded. The numerical value of unitary elastic demand is exactly one i.e., $e_d = 1$. Marshall calls it unit elastic.

In figure 2.22, DD demand curve represents unitary elastic demand. This demand curve is called rectangular hyperbola. When price is OP, the quantity demanded is OQ_1 . Now price falls to OP_1 the quantity demanded increases to OQ_2 . The shaded area in the fig. equal in terms of price and quantity demanded denotes that in all cases price elasticity of demand is equal to one.

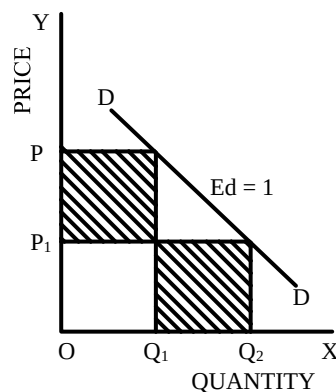


Fig: 2.22

4. Relatively Elastic Demand. Relatively elastic demand refers to a situation in which a small change in price leads to a big change in quantity demanded. In such a case elasticity of demand is said to be more than one. This has been shown in figure 2.22.

In fig. 2.23, DD is the demand curve which indicates that when price is OP the quantity demanded is OQ_1 . Now the price falls from OP to OP_1 ; the quantity demanded

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increases from OQ_1 to OQ_2 i.e. quantity demanded changes more than the change in price.

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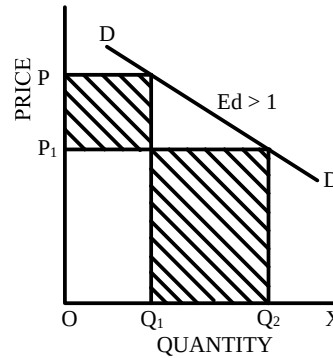


Fig: 2.23

5. Relatively Inelastic Demand. Under the relatively inelastic demand a given percentage change in price produces a relatively less percentage change in quantity demanded. In such a case elasticity of demand is said to be less than one as shown in figure 2.24.

All the five degrees of elasticity of demand have been shown in figure 6. On OX axis, quantity demanded and on OY axis price is given.

It shows

1. AB — Perfectly Inelastic Demand
2. CD — Perfectly Elastic Demand
3. EQ — Less Than Unitary Elastic Demand
4. EF — Greater Than Unitary Elastic Demand
5. MN — Unitary Elastic Demand.

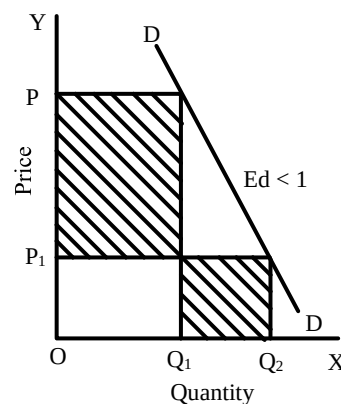


Fig: 2.24

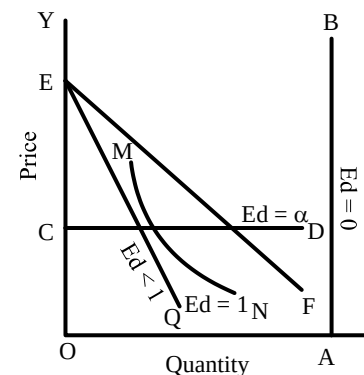


Fig: 2.25

2.6.1.2 Factors Determining Price Elasticity of Demand

The factors that determine elasticity of demand are numberless. But the most important among them are the nature, uses and prices of related goods and the level of income.

They are stated below

- 1. Nature of the commodity:** Generally, all commodities can be divided into three categories:
 - i) Necessaries of Life.** For necessities of life the demand is inelastic because people buy the required amount of goods whatever their price. For example,

necessaries such as rice, salt, cloth are purchased whether they are dear or cheap.

- ii) **Conventional Necessaries.** The demand for conventional necessities is less elastic or inelastic. People are accustomed to the use of goods like intoxicants which they purchase at any price. For example, drunkards consider opium and wine almost as a necessity as food and water. Therefore, they buy the same amount even when their prices are higher and highest.
 - iii) **Luxury Commodities.** The demand for luxury is usually elastic as people buy more of them at a lower price and less at a higher price. For example, the demand of luxuries like silk, perfumes and ornaments increase at a lower price and diminishes at a higher price. Here, we must keep in mind that luxury is a relative term, which varies from person to person, place to place and from time to time. For example, what is a luxury to a poor man is a necessity to the rich. The luxury of the past may become a necessity of today. Similarly a commodity which is a necessity to one class may be a luxury to another. Hence, the elasticity of demand in such cases should have to be carefully expressed.
2. **Substitutes.** Demand is elastic for those goods which have substitutes and inelastic for those goods which have no substitutes. The availability of substitutes, thus, determines the elasticity of demand. For instance, tea and coffee are substitutes. The change in the price of tea affects the demand for coffee. Hence, the demand for coffee and tea is elastic.
 3. **Number of Uses.** Elasticity of demand for any commodity depends on its number of uses. Demand is elastic, if a commodity has more uses and inelastic if it has only one use. As coal has multiple uses, if its price falls it will be demanded more for cooking, heating, industrial purposes etc. But if its price rises, minimum will be demanded for every purpose.
 4. **Postponement.** Demand is more elastic for goods the use of which can be postponed. For example, if the price of silk rises, its consumption can be postponed. The demand for silk is, therefore, elastic. Demand is inelastic for those goods the use of which is urgent and, therefore, cannot be postponed. The use of medicines cannot be put off. Hence, the demand for medicines is inelastic.
 5. **Raw Materials and Finished Goods.** The demand for raw materials is inelastic but the demand for finished goods is elastic. For instance, raw cotton has inelastic demand but cloth has elastic demand. In the same way, petrol has inelastic demand but car itself has only elastic demand.
 6. **Price Level.** The demand is elastic for moderate prices but inelastic for lower and higher prices. The rich and the poor do not bother about the prices of the goods that they buy. For example, rich buy Benar as silk and diamonds etc. at any price. But the poor buy coarse rice, cloth etc. whatever their prices are.
 7. **Income Level.** The demand is inelastic for higher and lower income groups and elastic for middle income groups. The rich people with their higher income do not bother about the price. They may continue to buy the same amount whatever the price. The poor people with lower incomes buy always only the minimum requirements and, therefore, they are induced neither to buy more at a lower price nor less at a higher price. The middle income group is sensitive to the change in price. Thus, they buy more at a lower price and less at higher price.
 8. **Habits.** If consumers are habituated of some commodities, the demand for such commodities will be usually inelastic. It is because that the consumer will use them even their prices go up. For example, a smoker, does not smoke less when the price of cigarette goes up.

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9. **Nature of Expenditure.** The elasticity of demand for a commodity also depends as to how much part of the income is spent on that particular commodity. The demand for such commodities where a small part of income is spent is generally highly inelastic i.e. newspaper, boot-polish etc. On the other hand, the demand of such commodities where a significant part of income is spent, elasticity of demand is very elastic.
10. **Distribution of Income.** If the income is uniformly distributed in the society, a small change in price will effect the demand of the whole society and the demand will be elastic. In case of unequal distribution of income and wealth, a change in price will hardly influence the poor section of the society and the demand will be relatively inelastic.
11. **Influence of Diminishing Marginal Utility.** We know that utility falls when we consume more and more units but not in a uniform way. In case utility falls rapidly, it means that the consumer has no other near substitutes. As a result, demand is inelastic. Conversely, if the utility falls slowly' demand for such commodity would be elastic and rises much for a fall in price.
12. **Influence of Consumer's Surplus.** There is relationship between elasticity of demand and consumer's surplus. Generally, necessities provide us more consumer's surplus whenever consumer's surplus is high, the margin between the actual price and potential price is high and the consumer does not change the demand so long the price increases within the margin. But in case of those commodities where marginal utility is equal to price, the consumer does not get any surplus. Therefore the consumer being on the margin easily changes the demand when there is change in price. Hence, the elasticity of demand varies inversely with consumer's surplus.
13. **Joint Demand.** In case of a commodity being demanded jointly such as car and petrol, its elasticity will be directly governed by the elasticity of other commodities which are jointly demanded in the market. For example the demand for car is inelastic; the demand for petrol will also be inelastic.
14. **Time.** The demand for a commodity is always related to some period of time. This implies that elasticity of demand varies with the length of time periods. In case of long period elasticity of demand will be elastic while in the short period it will be inelastic. This is due to the fact that during short period generally demand does not change immediately due to price changes. Moreover, changing of habits and changing of equipments are not easy. However, demand changes in the long period because there is enough time to adjust to the changing environment.

2.6.1.3 Measurement of Price Elasticity of Demand

There are five methods to measure the price elasticity of demand.

These methods are

1. Total Expenditure Method.
2. Proportionate Method.
3. Point Elasticity of Demand.
4. Arc Elasticity of Demand.
5. Revenue Method.

Total Expenditure Method

Dr. Marshall has evolved the total expenditure method to measure the price elasticity of demand. According to this method, elasticity of demand can be measured by considering

the change in price and the subsequent change in the total quantity of goods purchased and the total amount of money spent on it.

Total Outlay = Price $\times$ Quantity Demanded.

There are Three Possibilities

- If with a fall in price (demand increases) the total expenditure increases or with a rise in price (demand falls) the total expenditure falls, in that case the elasticity of demand is greater than one i.e. ($E_d > 1$).
- If with a rise or fall in the price (demand falls or rises respectively), the total expenditure remains the same, the demand will be unitary elastic i.e. ($E_d = 1$).
- If with a fall in price (Demand rises), the total expenditure also falls, and with a rise in price (Demand falls) the total expenditure also rises, the demand is said to be less elastic or elasticity of demand is less than one i.e., ($E_d < 1$).

Table Representation: The method of total expenditure has been explained with the help of table 1.

Price (P)	Quantity Demanded(Q)	Total Outlay (PQ)	Elasticity of demand E_d
10	1	10	$E_d > 1$
9	2	18	
8	3	24	
7	4	28	
6	5	30	$E_d = 1$
5	6	30	
4	7	28	$E_d < 1$
3	8	24	
2	9	18	
1	10	10	

In the table I, We find three possibilities

- More Elastic Demand.** When price is Rs. 10 the quantity demanded is 1 unit and total expenditure is 10. Now price falls from Rs. 10 to Rs. 6, the quantity demanded increases from 1 to 5 units and correspondingly the total expenditure increases from Rs. 10 to Rs. 30. Thus it is clear that with the fall in price, the total expenditure increases and vice-versa. So elasticity of demand is greater than one or $E_d > 1$.
- Unitary Elastic Demand.** If price is Rs. 6, demand is 5 units so the total outlay is Rs. 30. Now price falls to Rs. 5, the demand increases to 6 units but the total expenditure remains the same i.e., Rs. 30. Thus it is clear that with the rise or fall in price, the total expenditure remains the same. The elasticity of demand in this case is equal to one or $E_d = 1$.
- Less Elastic Demand.** If price is Rs. 5, demand is 6 and total outlay is Rs. 30. Now price falls from Rs. 5 to Re. 1. The demand increases from 6 units to 10 units and hence the total expenditure falls from Rs. 30 to Rs. 10. Thus it is clear that with the fall in price, the total expenditure also falls and vice-versa. In this case, the elasticity of demand is less than one or $E_d < 1$.

Diagrammatic Representation: Measurement of price elasticity through total expenditure method can be shown with the help of figure 2.26.

In the figure 2.26 total expenditure has been shown on X-axis and price on Y-axis. Line TT' is the total expenditure line. When price of the commodity falls from OP to OP_1 total expenditure increases from OM_1 to OM_2 . The elasticity of demand is greater than one as is shown in TB portion of the figure. Now, suppose that the price of the commodity decreases from OP_1 to OP_3 the total expenditure falls from OM_2 to OM.

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This is shown in T'C part of the figure which represents the less than unity elasticity of demand. In the same way, BC part of the figure represents the unit elasticity of demand. Thus it is clear that the changes in total expenditure due to changes in price also affect the elasticity of demand.

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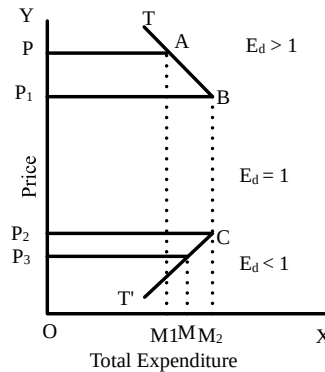


Fig. 2.26

Proportionate Method

This method is also associated with the name of Dr. Marshall. According to this method, “price elasticity of demand is the ratio of percentage change in the amount demanded to the percentage change in price of the commodity.” It is also known as the **Percentage Method, Flux Method, Ratio Method, Arithmetic Method**. Its formula is as under: Proportionate change in quantity demanded ÷ Proportionate change in price

$$E_d = \frac{\text{Proportionate Change in quantity demanded}}{\text{Proportionate change in price}}$$

$$= \frac{\text{Change in quantity demanded}}{\text{Amount demanded before change}} \div \frac{\text{Change in price}}{\text{Price before change}}$$

The algebraic equation for this formula is

$$E_d = \frac{\frac{\Delta Q}{Q}}{\frac{\Delta P}{P}} = \frac{\Delta Q}{Q} \times \frac{P}{\Delta P} = (-) \frac{\Delta Q}{\Delta P} \times \frac{P}{Q}$$

(-) sign is attached because quantity demanded and price are inversely related.

Suppose the price of the commodity is Rs. 100 and the quantity demanded is 30 kg. Now price falls to Rs. 50, the quantity demanded increases to 60 kg.

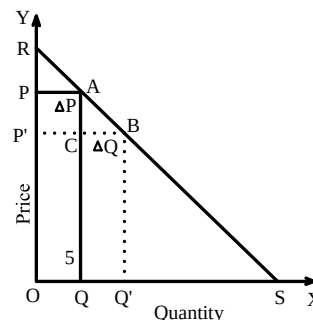


Fig. 2.27

$$P = 100 \quad P_1 = 50 \quad Q = 300 \quad Q_1 = 60$$

$$E_d = \frac{\Delta Q}{\Delta P} \times \frac{P}{Q} = \frac{60 - 30}{50 - 100} \times 100 = \frac{30}{50} \times \frac{100}{30} = 2 \quad E_d > 1$$

Point Method

This method was also suggested by Marshall and it takes into consideration a straight line demand curve and measures elasticity at different points on that curve. This method has now become very popular method of measuring elasticity. In this we take a straight line demand curve, which connects the demand curve with both the axis OX and OY. In the diagram given 8, OX represents the quantity demanded and OY represents the price.

Case (i) Linear Demand Curve

In fig. 8 RS is a straight line demand curve. Initially, price is OP or QA and OQ or PA is the initial demand. At OF new price the demand is OQ'. At point R elasticity of demand can be measured with the following formula.

$$E_d = \frac{\text{Change in Demand}}{\text{Original Demand}} \div \frac{\text{Change in Price}}{\text{Original price}}$$

$$E = \frac{QQ'}{OQ} \div \frac{PP'}{OP} \text{ or } \frac{CB}{OQ} \div \frac{CA}{AQ}$$

$$= \frac{CB}{OQ} \times \frac{AQ}{CA} \text{ or } \frac{CB}{CA} \times \frac{AQ}{OQ} \quad \dots\dots (i)$$

(i) Since $\triangle CBQ$ and $\triangle QSA$ are similar triangles, therefore, the proportion of their sides will be equal as $\frac{CB}{CA} = \frac{QS}{AQ}$

$$\frac{CB}{CA} = \frac{QS}{AQ}$$

This equation (i) can be written as under:

$$= \frac{QS}{AQ} \times \frac{AQ}{OQ} = \frac{QS}{OQ}$$

By deleting AQ, from both sides, elasticity of demand is equal $\frac{QS}{OQ}$

Since $\triangle AAQS$ and $\triangle ARPA$ are similar, the ratio of their sides will also be equal.

Therefore

$$\frac{QS}{AS} = \frac{PA}{AR}$$

$$\frac{QS}{PA} = \frac{AS}{AR}$$

$$\frac{QS}{OQ} = \frac{AS}{AR} \quad (\text{Since } OQ = AP)$$

$$\frac{AS}{AR} \text{ means } \frac{\text{Lower Segment}}{\text{Upper Segment}}$$

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The elasticity of demand may not be same at all points on a curve.

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In fig. 2.28, point A lies in the middle of RS line, therefore $\frac{AS}{AR} = 1$. Here elasticity of demand is equal to unity. At point a elasticity of demand is greater than one $\left(\frac{A''S}{A''R} > 1\right)$ Similarly at point A' elasticity of demand is less than one. At point S elasticity of demand is equal to zero whereas at point R elasticity of demand is infinite.

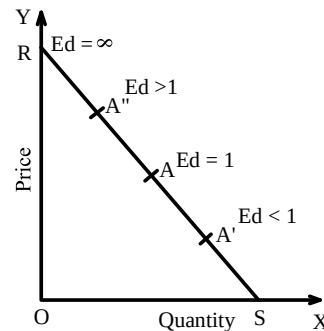


Fig.2.28

Case (ii) Non-Linear Demand Curve

It is possible that the demand curve is not a straight line but a curve. Even then the above technique shall be applicable. The only change to be made is that a tangent is drawn on the demand curve at a point at which we want to measure elasticity of demand.

In fig 2.29 DD_1 is the demand curve and we draw a line RS to measure the elasticity of demand. At point A demand curve DD_1 and RS line touches each other. Therefore, both have same slope. Therefore, at point

AS A, elasticity of demand is $E_d = \frac{AS}{AR}$

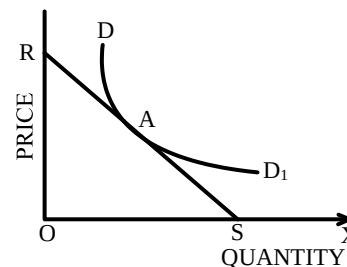


Fig. 2.29

Arc Elasticit of Demand

“Arc elasticity is a measure of the average responsive-ness to price change exhibited by a demand curve over some finite stretch of the curve”. — Prof. Baumol

“Arc elasticity is the elasticity at the mid-point of an are of a demand curve.”

— Watson

“When elasticity is computed between two separate points on a demand curve, the concept is called Are elasticity.” — Leftwich

This method of measuring elasticity of demand is also known as “Average

Elasticity". In this method, we use $\frac{P_1 + P_2}{2}$ rather than P. Thus, we apply $\frac{Q_1 + Q_2}{2}$ rather than q. The formula for Arc elasticity of demand is as follows

$$\text{Arc Elasticity of Demand (E}_A\text{)} = \frac{\frac{\text{Change in Demand}}{\text{Original Demand} + \text{New Demand}}}{\frac{\text{Change in price}}{\text{Original price} + \text{New price}}}$$

Arc Elasticity of Demand in notational form can be expressed as:

$$E = \frac{Q_2 - Q_1}{Q_2 + Q_1} \div \frac{P_1 - P_2}{P_1 + P_2}$$

where Q_1 = Original quantity demanded Q_2 = New quantity demanded

P_1 = Original price P_2 = New price

This can be shown with the help of a diagram 11.

In figure 2.30 quantity is measured on X-axis while price on Y- axis. DD is the demand curve. Now if we want to measure the arc elasticity between A and B on the demand curve DD, we will have to take the average of prices OP_1 and OP_2 as well as of quantities; Q_1 and Q_2 .

$$\therefore E_A = \frac{[P + (P + \Delta P)]}{[Q + (Q + \Delta Q)]} \times \frac{\Delta Q}{\Delta P}$$

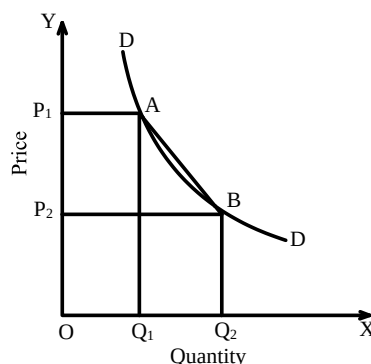


Fig .2.30

Revenue Method

Mrs. Joan Robinson has given this method. She says that elasticity of demand can be measured with the help of average revenue and marginal revenue.

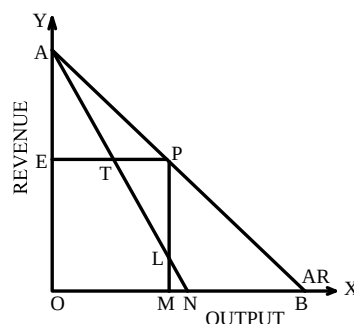


Fig.2.31

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Therefore, sale proceeds that a firm obtains by selling its products is called its revenue. However, when total revenue is divided by the number of units sold, we get average revenue. On the contrary, when addition is made to the total revenue by the sale of one more unit of the commodity is called marginal revenue. Therefore, the formula to measure elasticity of demand can be written as,

$$E_d = \frac{A}{A - M}$$

where E_d represents elasticity of demand, A = average revenue and M = marginal revenue. This method can be explained with the help of diagram 2.31.

In this diagram 2.31 revenue has been shown on OY-axis while quantity of goods on OX-axis. AB is the average revenue or demand curve and AN is the marginal revenue curve. At point P on demand curve, elasticity of demand is calculated with the formula,

$$E_p = \frac{\text{Lower Portion}}{\text{Upper Portion}} \text{ OR } \frac{PB}{PA}$$

We can see in the figure that $\triangle AEP$ and $\triangle PMB$ are similar, thus ratio of their sides is also equal.

$$E_p = \frac{PB}{PA} = \frac{PM}{AE}$$

and; $\triangle ET$ and $\triangle TPL$ are congruent triangles, therefore $PL = \triangle E$. Putting PL in place of AE in the above equation, we shall get

$$E_p = \frac{PM}{PL} \quad (\text{because } PL = PM - LM)$$

$$\therefore E_p = \frac{PM}{PM - LM} \quad (\text{where } PM = AR \text{ and } LM = MR)$$

$$\text{Therefore, } E_p = \frac{PM}{PM - LM} = \frac{AR}{AR - MR} \text{ or } \frac{A}{A - M}$$

In this way, if value of E_p is one it means that price elasticity of demand is unitary. Similarly, if it is more than one, price elasticity of demand is greater than one, and if it is less than one, price elasticity of demand is less than unity.

2.6.2 Income Elasticity of Demand

“Income elasticity of demand shows the way in which a consumer’s purchase of any good changes as a result of change in his income.” - **Stonier and Hague**

It shows the responsiveness of a consumer’s purchase of a particular commodity to a change in his income.

Income elasticity of demand means the ratio of percentage change in the quantity demanded to the percentage change in income. In brief income elasticity.

$$I_e = \frac{\text{Proportionate Change in quantity purchased}}{\text{Proportionate Change in income}} \text{ i.e.}$$

$$I_e = \frac{\text{Proportionate Change in demand}}{\text{Proportionate Change in income}}$$

2.6.2.1 Degrees of Income Elasticity of Demand

i) Positive Income Elasticity of Demand: Positive income elasticity of demand is said to occur when with the increase in the income of the consumer, his demand

for goods and services also increases and vice-versa. Income elasticity of demand is positive in case of normal goods.

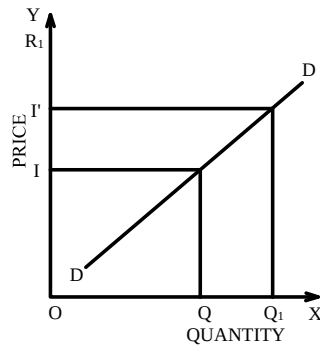


Fig. 2.32

In fig. 2.32, quantity of commodity I has been measured on X-axis and income of the consumer on Y-axis. DD is the positive income elasticity of demand curve.

It slopes upward from left to right indicating that increase in income is accompanied by increase in demand of goods and services and vice-versa.

1. Income Elasticity is Unity. The change in demand is proportionate to the change in income. For example,

$$\text{Income Elasticity} = \frac{25\% \text{ change in demand}}{25\% \text{ change in demand}}$$

2. Income Elasticity Greater than One. When the change in demand is more than proportionate change in income, income elasticity of demand is greater than one or unity. For example,

$$\text{Income Elasticity} > 1 \text{ when } \frac{15\% \text{ change in demand}}{10\% \text{ change in income}} 1.5$$

3. Income Elasticity Less than One. If change in demand is less than proportionate change in income, income elasticity of demand is less than one or unity. For example,

$$\text{Income Elasticity} < 1 \text{ if } \frac{20\% \text{ change in demand}}{40\% \text{ change in income}} 0.5$$

ii) Negative Income Elasticity of Demand

Negative income elasticity of demand is said to occur when increase in the income of the consumers is accompanied by fall in demand of goods and services and vice-versa. It is the case of giffen goods.

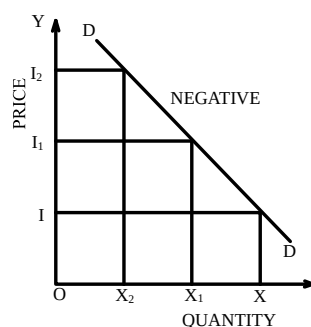


Fig. 2.33

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In fig.2.33 when income of the consumer is OI, demand for goods and services is OX. Now as the income increases to I_1 , quantity demanded falls to OX_1 . Again as the income increases to I_2 , quantity demanded falls to OX_2 . DD is the negative income elasticity of demand curve.

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iii) Zero Income Elasticity of Demand: Zero income elasticity of demand is said to exist when increase or decrease in income has no impact on the demand of goods and services.

In fig. 2.34 initially when income is OI, quantity demanded is OD. Now, income increases to OI_2 demand remains constant i.e. OD. Even when income reduces to OI_1 , quantity demanded remains OD.

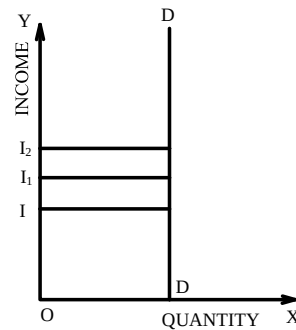


Fig. 2.34

Generally, as income increases for goods increases. But in some cases, demand may not change to change in income or demand may diminish for an increase in income.

The former case represents zero income elasticity. Income elasticity is zero if a change in income fails to produce any change in demand. Income elasticity is negative, if an increase in income leads to a reduction of demand. This happens only in the case of inferior goods. But in all other cases it is positive.

In short income elasticity is greater than one for luxuries but less than one for necessities.

2.6.2.2 Measurement Of Income Elasticity

Income elasticity can be measured with the help of following formula

$$E_y = \frac{\text{Proportionate change in Quantity Demanded}}{\text{Proportionate change in income}}$$

$$E_y = \frac{\frac{\Delta Q}{Q}}{\frac{\Delta Y}{Y}} = \frac{\Delta Q}{Q} \times \frac{Y}{\Delta Y} = \frac{Y}{Q} \times \frac{\Delta Q}{\Delta Y}$$

Where E_y = Income elasticity of demand

ΔQ = Change in the quantity demanded

Q = initial demand

ΔY = Change in income

Y = Initial Income

Income elasticity of demand can also be illustrated by an example. Let us suppose when your monthly income (Y) is Rs. 1000 your demand is for 10 units of ice cream. If your monthly income increases (Y_1) to Rs. 2000, your demand increases (Q_1) to 30 units

of ice cream. Income elasticity of demand for ice cream can be measured as follows

$$E_y = \frac{Y}{Q} \times \frac{\Delta Q}{\Delta Y}$$

Here $Y = \text{Rs. } 1000$ $Y_1 = \text{Rs. } 2000$

$\Delta Y = \text{Rs. } 2000 - 1000 = \text{Rs. } 1000$

$Q = 10$ units of Ice Cream

$Q_1 = 30$ units of Ice Cream

$\Delta Q = 30 - 10 = 20$ units of Ice Cream.

$$E_y = \frac{1000}{10} \times \frac{20}{1000} = 2 \text{ (Greater than unity)}$$

Importance of Income Elasticity

The concept of income elasticity of demand is very crucial in economic analysis. National income of a country increases in course of economic development. Hence, the income of the individual citizen in a country also increases over time. Hence, it is important to know how the demand for different commodities will change in response to this increase in income. On the contrary, it is important to calculate the income elasticities of demand for different commodities. It has been observed that food and other necessary articles of consumption have low income elasticities of demand, i.e., the demand for these goods do not rise very fast when income increases. Demands for such luxury goods like, Cars or Air conditioner have high income elasticities. In the developed countries, the demands for various services show high income elasticities i.e., for example, education and entertainment etc.

2.6.3 Cross Elasticity of Demand

It is the ratio of proportionate change in the quantity demanded of Y to a given proportionate change in the price of the related commodity X. It is a measure of relative change in the quantity demanded of a commodity due to a change in the price of its substitute complement. It can be expressed as

$$C_e = \frac{\text{Proportionate change in the quantity demanded of Y}}{\text{Proportionate change in the price of X}}$$

Cross elasticity may be infinite or zero. It is infinite if the slightest change in the price of X causes a substantial change in the quantity demanded of Y. It is always the case with goods which have perfect substitutes for one another.

Cross elasticity is zero, if a change in the price of one commodity will not affect the quantity demanded of the other. In the case of goods which are not related to each other, cross elasticity of demand is zero.

2.6.3.1 Types of Cross Elasticity of Demand

- 1. Positive:** When goods are substitute of each other then cross elasticity of demand is positive. In other words, when an increase in the price of Y leads to an increase in the demand of X. For instance, with the increase in price of tea, demand of coffee will increase. In fig. 2.35 quantity has been measured on OX-axis and price on OY-axis. At price OP of Y-commodity, demand of X-commodity is OM. Now as price of Y commodity increases to OP1 demand of X-commodity increases to OM₁. Thus, cross elasticity of demand is positive.

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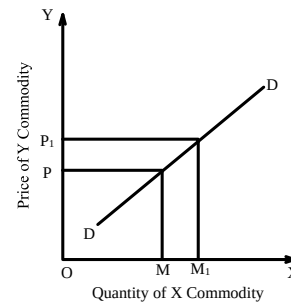


Fig. 2.35

2. **Negative:** In case of complementary goods, cross elasticity of demand is negative. A proportionate increase in price of one commodity leads to a proportionate fall in the demand of another commodity because both are demanded jointly.

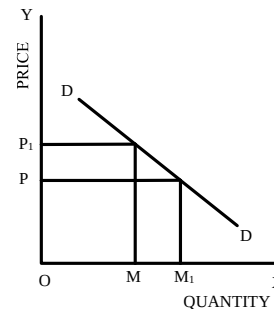


Fig. 2.36

In fig.2.36 quantity has been measured on OX-axis while price has been measured on OY-axis. When the price of commodity increases from OP to OP_1 quantity demanded falls from OM to OM_1 . Thus, cross elasticity of demand is negative.

3. **Zero:** Cross elasticity of demand is zero when two goods are not related to each other. For instance, increase in price of car does not effect the demand of cloth. Thus, cross elasticity of demand is zero. It has been shown in fig. 2.37.

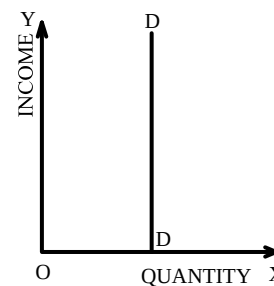


Fig.2.37

Therefore, it can be concluded that cross elasticity depends upon substitutability of goods. If substitutability is perfect, cross elasticity is infinite; if on the other hand, substitutability does not exist, cross elasticity is zero.

In the case of complementary goods like jointly demanded goods cross elasticity is negative. A rise in the price of one commodity X will mean not only decrease in the quantity of X but also decrease in the quantity demanded of Y because both are demanded together.

2.6.3.2 Measurement of Cross Elasticity of Demand

Cross elasticity of demand can be measured by the following formula

$$EC = \frac{\text{Proportionate change in Quantity demanded of Good - X}}{\text{Proportionate change in the price of Good - Y}}$$

$$\text{or} = \frac{\frac{\text{Change in quantity demanded of X}}{\text{Original Quantity of X}}}{\frac{\text{Change in Price of Y}}{\text{Original Price of Y}}} \times 100$$

$$= \frac{\frac{\Delta Q_x}{Q_x}}{\frac{\Delta P_y}{P_y}} = \frac{\Delta Q_x}{Q_x} \times \frac{P_y}{\Delta P_y}$$

$$EC = \frac{P_y}{Q_x} \times \frac{\Delta Q_x}{\Delta P_y}$$

Where P_y = Original price of good-Y

ΔP_y = Change in price of good-Y

Q_x = Original quantity demanded of X

ΔQ_x = Change in the quantity demanded of X

Limitations of Cross Elasticity of Demand

The cross elasticity of demand is a useful measure of price-demand relationships between commodities.

But this concept has following two limitations.

1. Negative Cross Elasticity does not always mean Complementarity.
2. Cross Elasticity of Demand is only a one-way Relationships.

Importance of Elasticity of Demand

The concept of elasticity of demand is of great importance in practical life. Its main points are given as under

1. **Useful for Business:** It enables the business in general and the monopolists in particular to fix the price. Studying the nature of demand the monopolist fixes higher prices for those goods which have inelastic demand and lower prices for goods which have elastic demand. In this way, this helps him to maximise his profit.
2. **Fixation of Prices:** It is very useful to fix the price of jointly supplied goods. In the case of joint products like paddy and straw, the cost of production of each is not known. The price of each is then fixed by its elastic and inelastic demand.
3. **Helpful to Finance Minister:** It helps the Finance Minister to levy tax on goods. After levying taxes more and more on goods which have inelastic demand, the Government collects more revenue from the people without causing them inconvenience. Moreover, it is also useful for the planning.
4. **Fixation of Wages:** It guides the producers to fix wages for labourers. They fix high or low wages according to the elastic or inelastic demand for the labour.
5. **In the Sphere of International Trade:** It is of greater significance in the sphere of international trade. It helps to calculate the terms of trade and the consequent gain from foreign trade. If the demand for home product is inelastic, the terms of trade will be profitable to the home country.

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6. **Paradox of Poverty.** It explains the paradox of poverty in the midst of plenty. A bumper crop instead of bringing prosperity may result in disaster, if the demand for it is inelastic. This is specially so, if the products are perishable and not storable.
7. **Effect on Employment.** The effect of machines on employment opportunities depends on elasticity of demand for the goods produced by such machines. In the initial stage, use of such machines cause unemployment and prices will also fall. But when demand for such commodities is more elastic, then fall in prices will generate more increase in its demand. As a result, demand will stimulate greater production and hence more employment. If demand for commodities produced by these machines is inelastic, then even fall in price will not increase demand as well as employment.
8. **Significant for Government Economic Policies.** The knowledge of elasticity of demand is very important for the government in such matters as controlling of business cycles, removing inflationary and deflationary gaps in the economy. Similarly, for price stabilisation and the purchase and sale of stocks, information about elasticity of demand is most useful.
9. **Incidence of Taxation.** Incidence of tax lies on the person who ultimately pays the tax. The incidence is on the buyer, if demand is perfectly inelastic. He will go on buying as much as before despite the price rise. Thus, the government has to keep the watch on the ultimate burden of the tax, which depends on the elasticity of demand of the commodity taxed. If necessities, which have less elastic demand are taxed the burden will fall more on the poor sections of society. Therefore, principle of justice in taxation is based on elasticity of demand.
10. **Determination of Price of Public Utilities.** This concept is significant in the determination of the prices of public utility services. Economic welfare of the society largely depends upon the cheap availability of the essential products like water, electricity, cooking gas, transportation etc. For such commodities demand is inelastic and these should be controlled by the government. The government will distribute these products at fair price. Therefore, Government helps to fix the prices of necessities of life.

2.6.4 Advertising Elasticity of Demand or Promotional Elasticity Of Sales

The expenditure on advertisement and on other sales-promotion activities do help in promoting sales, but not in the same degree at all levels of the total sales. Thus of advertisement elasticity is useful in determining the optimum level of advertisement expenditure. The concept assumes a greater significance in deciding on advertisement expenditure, particularly when government imposes restriction on advertisement cost or there is competitive advertising by the rival firms. Advertisement elasticity (e_A) of sales may be defined as.

$$e_A = \frac{\delta \frac{S}{S}}{\delta \frac{A}{A}} = \frac{\delta S}{\delta A} \cdot \frac{A}{S}$$

where S = sales; δS = increase in sales;

A = initial advertisement cost, and

δA = additional expenditure on advertisement.

Like measure of other elasticity, the advertisement elasticity of sales varies between $e_A = a$ and $e_A = \infty$ interpretation of measuring of advertising elasticity is given below

Elasticities	Interpretation
e_A	Sales do not respond to the advertisement expenditure.
$e_A = 0$ but 1	Increase in total sales in less than proportionate to the increase in advertisement expenditure.
$e_A = 1$	Sales increase in proportion to the increase in expenditure on advertisement.
$e_A > 1$	Sales increase at higher rate than the rate of increase of advertisement expenditure

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Case of Several Products

In case of several products, the market demand is influenced by advertisement or promotional efforts. The demand function in such case may be as under:

$$Q_x = f(A)$$

where,

Q_x = Demand for the product x measured through the quantity sold in the market.

A = Advertisement expenditure of the firm.

The degree of responsiveness of demand to changes in advertising or promotional elasticity of demand, (e_A) measured, thus:

$$e_A = \frac{\text{Percentage or proportionate change in sales}}{\text{Percentage or proportionate change in advertisement expenditure}}$$

Percentage or proportionate change in advertisement expenditure

$$\text{In symbolic terms, } e_A = \frac{\% \delta Q}{\% \delta A}$$

$$\text{Alternatively, } e_A = \left(\frac{\delta Q}{\delta A} \right) \left(\frac{A}{Q} \right)$$

where Q = Quantity of Sales, and

A = Amount of advertisement expenditure Let us explain with the help of an example At initial advertisement expenditure of Rs. 50,000 the demand for a firm's product is 80,000 units. When the advertisement budget is increased to Rs. 60,000 the sales volume increased to 90,000 units.

The Advertising Elasticity of Demand is Measured, thus

$$A_1 = \text{Rs. 50,000 } A_2 = \text{Rs. 60,000}$$

$$Q_1 = \text{Rs. 80,000 } Q_2 = \text{Rs. 90,000}$$

$$\delta A = \text{Rs. 10,000 } \delta Q = 10,000$$

$$e_A = \frac{\delta Q}{\delta A} \times \frac{A}{Q} = \frac{10,000}{10,000} \times \frac{50,000}{80,000} = 0.63$$

In this case, point elasticity is used when the price-quantity changes are infinitesimally small-(assuming that a small price change is indicated by a virtual point on the demand curve). When there is substantial price change, a discrete movement is followed. In such a situation, are elasticity is preferable. For all practical purposes, when price change is over 5 per cent, it is better to use are elasticity measurement to get a more realistic idea of demand elasticity.

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2.6.4.1 Determinants of Advertisement Elasticity

The important factors which determine the advertisement elasticity are stated below

- i) **Level of the Total sales.** In the initial stages of a product, particular of one which is newly introduced in the market, the advertisement elasticity is greater than unity. As sales increase, the elasticity decreases. For example, after the potential market is supplied the function of advertisement is to create additional demand by attracting more consumers to the product. It refers to those, particularly who are slow in adjusting their consumption expenditure to provide for new commodities. Therefore, demand increases at a rate lower than the rate of increase in advertisement expenditure.
- ii) **Advertisement by Rival firms.** In a competitive market, the effectiveness of advertising is determined by the relative effectiveness of advertisement by the competing firms.
- iii) **Cumulative Effect of Past Advertisement.** In case expenditure incurred on advertisement in the initial stages is not adequate enough to be effective, elasticity may be very low. But over time, additional doses of advertisement expenditure may have cumulative effect on the promotion of sales and advertising elasticity may increase considerably.
- iv) **Other Miscellaneous Factors.** Advertising elasticity is also affected by other factors affecting demand for a product. They are like change in products' price, consumer's income, growth of substitute and their prices. While engaged in the process of consumption.

2.7 DEMAND FORECASTING

A forecast is a prediction or estimation of a future situation, under given, conditions. Demand forecasting is different from demand estimation in the sense -which the former predicts about future trend of sales while the latter tries to find out expected present sales level, given the present state of demand determinants.

Forecasts can be both physical as well as financial in nature, and are used mostly for planning purposes. Demand forecasting means expectation about the future course of the market demand for a product. Demand forecasting is not a speculative exercise into the unknown. It is essentially a reasonable judgment of future probabilities of the future demand. It cannot be hundred percent precise.

The Significance of Demand Forecasting

Demand- forecasting is very essential in the course of business decision making. Its significance may be stated as under

1. **For Production Planning:** Demand forecasting is a prerequisite for the production planning of a business firm.
2. **For Sales Forecasting:** Sales forecasting is based on the demand forecasting. Promotional efforts of the firm should be based on sales forecasting.
3. **For Business Control:** For controlling the business organization should have a well conceived budgeting of costs and profits that is based on the forecast of annual demand/sales and prices.
4. **For Inventory Control:** A satisfactory control of business inventories, raw materials, intermediate goods, semi-finished product, finished product, spare parts, etc., requires satisfactory estimates of the future requirements which can be traced through demand forecasting.

5. **For Long-term Investment Programs:** Demand forecasting is necessary for determining the growth rate of the firm and its long-term investment programs and planning.
6. **For Stability:** Stability in production and employment can be made effective with the help of casting about market demand and other business variables.
7. **For Economic Planning and Policy Making :** Demand forecasting at macro level for the nation as a whole is of a great help to the planners and policy makers for a better planning and traditional allocation of the country's production resources. The Government can determine its import and export policies in view of the long-term demand forecasting for various goods in the country.

2.7.1 Steps Involved in Forecasting

Step 1

Identification of objective: It is necessary to be clear about what does one want to get from the forecast. The purpose of the exercise may be the estimation of one or more than one aspect, like quantity and composition of demand, price to be quoted, sales planning inventory control, etc. The approach to the problem will accordingly differ.

Step 2

Determining the nature of goods under consideration: Different category of goods have their own distinctive demand pattern. It is, therefore, necessary to determine the class in which the good falls; these being broadly: the capital goods, consumer durables and non-durables. This will help us in identifying the approach of the forecasting exercise and in determining the variables to be considered for forecasting.

Step 3

Selecting a proper method of forecasting: The selection of an appropriate method of forecasting is related to the objective of forecasting, type of data available, period for which the forecast is to be made, etc.

Step 4

Interpretation of results: It is not only the forecast of results but interpretation is also important. Efficiency of a forecast depends to a large extent, upon the efficiency in the interpretation of its result.

Most of the times, the forecasted results are to be well-supported by the background factors (like government policy, general business environment, international economic and political science, etc.), which have not entered the exercise of forecasting. It is also required to revise the forecasts in the light of changing circumstances because forecasts are made on the assumption of continuation of past events.

2.7.2 Various Classification of Forecasting

Various classifications of forecasts are as follows

1. Classification based on action

- i. **Passive forecasts:** Where prediction about future is based on the assumption that the firm does not change the course of its action: and
- ii. **Active forecasts:** Where forecasting is done under the condition of likely future changes in the actions by the firm.

2. Classification based on levels:

- i. **Micro Level:** It refers to the demand forecasting by the individual business firm for estimating the demand for its product.

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- ii. **Industry Level:** It refers to the demand estimate for the product of the industry as a whole. It is undertaken by the Industrial or Trade Association. It relates to the market demand as a whole.
- iii. **Firm (or company) demand forecasting:** A big firm will like to do forecasting of its own products independent of the rest of the firms in the industry. Such forecasting reveals whether or not the company is well placed to maintain or even better its share in the market.
- iv. **Product - level:** It helps the firm to decide which of the product or products should have priority in all the allocation of firm's limited resources.

3. Classification based on period

- 1. **Short-term Forecasting:** Short-term Forecasting normally relates to a period not exceeding a year. Some authors prefer to use the term demand estimation for short-term demand forecasting. To him demand estimation refers to the determination of the volume of current demand for a firm's product, for a short period say over a month or a year. Short-term forecasts relate to the day-to-day information's, hi short-term forecasting a firm is primarily concerned with the optimum utilization of its existing production capacity.

The purposes of short term forecasting

- 1. **To evolve a Sales Policy:** A short-term demand forecasting useful in evolving a suitable sales policy.
- 2. **To Determine Price Policy:** Short-term sales forecasting will help the firm in determination of a suitable price policy.
- 3. **To evolve a Purchase Policy:** With the short term material forecasting, a firm can evolve a rational purchase policy for buying raw materials and control its inventory stocks with a greater economy.
- 4. **To fix Sales Targets:** Demand forecasting in the short term helps the business firm in setting sales targets and for establishing controls over the business.
- 5. **To Determine Short-Term Financial Planning:** A firm's short-term financial policy and planning can be suitably determined on the basis of short- term demand forecasting.
- 2. **Long-Term Forecasting:** Long-term forecasting refers to the forecasts prepared for long period during which the firm's scale of operations or the production capacity may be expanded or reduced. Long-term forecasts are normally for the periods exceeding a year, usually 3-5 years or even a decade or more. A Long-term forecasting relates to that information's which Vital are for undertaking strategic decisions of the business pertaining to its expansion or contraction over a period of time.

The purposes of long term forecasting are

- 1. **Business Planning:** Long-term forecasting is of great assistance to long- term business planning.
- 2. **Manpower Planning:** It is essential to determine long-term sales forecast for an appropriate manpower planning by the firm in view of its long- term growth and progress of the business.
- 3. **Long-term Financial Planning:** Finance is the kingpin of the modern business. In view of the long-term demand and sales forecasting and the production planning, it becomes easier for the firm to determine its long-term financial planning and programs for raising the funds from the capital market. In this way long-term

forecasting may have several important implications for long-term planning of a business firm.

4. **Medium-term forecasting:** We know that the effect of present policies cannot be predicted for long run. Whether these policies are internal (e.g., quality improvement) or external (e.g., government's tax policy), the effect cannot be usually predicted for more than about a year ahead. In case of medium-term forecasts, experience and sound judgment are more important than statistical forecasting. The medium-term forecasts can assist in the decision about timing of an activity like advertising expenditure. These forecasts also contribute to control or revision of the decisions based on long-run forecasts. The main feature of medium-term forecasts is trend.
5. **Classification based on purpose:** General purpose Specific purpose forecasts: Though a general forecast is useful for a firm, it will be even more helpful if the general forecast is broken down into specific forecasts with respect to commodities, areas of sale, domestic and export markets, etc.
6. **Classification based on products:** Forecasts of established products or new products: Problems and methods of forecasting differ in these two cases. For the established products, past sale trends and competitive conditions are known. While this is not so for the 'new' products.
7. **Classification based on type of commodity:** Type of commodity for which forecast is to be under taken: Economists broadly classify goods into capital goods, consumer durables and non-durable goods. For each of these categories of goods there would be distinctive pattern of demand.

2.7.3 Various Approaches to Forecasting

The following are the various Approaches to Forecasting

1. Identify and clearly state the objectives of forecasting, short-term or long-term; market share or industry as a whole.
2. Select appropriate method of forecasting.
3. Identify the variables affecting the demand for the product and express them in appropriate forms.
4. Gather relevant data or approximations to relevant data to represent the variables.
5. Through the use of statistical techniques, determine the most probable relationship between the dependent and the independent variables.
6. Prepare the forecast and interpret the results. Interpretation is more important to the management.
7. For forecasting the company's share in the demand. Two different assumptions may be made.
 - a. The ratio of the company sales to the total industry sales' will continue as in the past.
 - b. On the basis of an analysis of likely competition and industry trends, the company may assume a market share different from that of the past.
8. Forecast may be made either in terms of physical units or in terms of rupees of sales volume.
9. Forecasts may be made in terms of product groups and then broken for individual products on the basis of past percentages.
10. Forecasts may be made on annual basis and then divided month-wise or week-wise on the basis of past records.

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11. For determining the month-wise break-up of the forecast sales of a new product, either: (i) use may be made of other firm's data, if available, or not.

2.7.4 Criteria for a Good Forecasting Method

Criteria for a Good Forecasting Method

1. **Accuracy:** It is necessary to check the accuracy of past forecasts against present performance and of present forecasts against future performance. The accuracy of the forecast is measured by the degree of derivation between forecasts and actual, and the extent of success in forecasting directional changes.
2. **Simple and easy to compute:** Management must be able to understand and have confidence in the techniques used. Understanding is also needed for a proper interpretation of the results.
3. **Economy:** Costs must be weighted against the benefits of the forecast to the operations of the business. The criterion here is the economic consideration of balancing the benefits from increased accuracy against the extra cost of providing the improved forecasting.
4. **Availability:** The techniques employed should be able to produce meaningful results quickly.
5. **Maintenance of Timeliness:** The forecast should be capable of being maintained on an up-to-date basis. This has three aspects.
 - a. The relationships underlying the procedure should be stable so that they will carry into the future for a significant amount of time.
 - b. Current data required to use these underlying relationships should be available on a timely basis.
 - c. The forecasting procedure should permit changes to be made in the relationships as they occur.

2.7.5 Forecasting Demand for New Products

Joel Dean has suggested a number of possible approaches to the problem of forecasting demand for new products

1. Project the demand for the new product as an outgrowth of an existing old product.
2. Analyze the new product as a substitute for some existing product or service.
3. Estimate the rate of growth and the ultimate level of demand for the new production on the basis of the pattern of growth of established products.
4. Estimate the demand by making direct enquires from the ultimate purchasers, either by the use of samples or on a full scale.
5. Offer the new product for sale in a sample market. e.g. by direct mail or through one multiple shop organization.
6. Survey consumer's reactions to a new product indirectly through the eyes of specialized dealers who are supposed to be informed about consumer's need and alternative opportunities. These methods are not mutually exclusive and it would be desirable to try to combine several of them so that cross checking is possible. To some extent, the methods of forecasting demand for an established product may also be applied or adapted for new products.

2.7.6 Techniques of Demand Forecasting

1. Mechanical Extrapolation (or, Trend Projection) Technique

These methods are based on the past sales pattern. So they are used when the available

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sales data relate to different time periods. It is known as time series analysis or Trend Projection method and is based on the assumption that future events are a continuation of the past and, therefore, historical data can be used to predict the future.

Mechanical Extrapolation Techniques or the Times Series Analysis dispense with the need for costly market research.

Hence, this analysis is more reliable for forecasting over a short period and can get the following kinds of predictions:

- a. Finding a trend value for a specific year (or years)
- b. Finding seasonal fluctuations in the variable, and
- c. Predicting turning points in future movement of the variable.

Components of Time Series

The four major components of time series are: Trend (T), Cyclical changes(C), Seasonal changes (S), and Irregular movements (I).

1. Fitting Trend Line by Observation

This method of estimating trend is elementary, easy and quick. It involves merely the plotting of annual sales on a graph, and then estimating just by observation where the trend line lies. The line can then be simply extended to a future period and corresponding sales forecast read against that year.

There are two types of graph papers normally used

1. The familiar graph paper with arithmetic scale on both axis and the graph paper with semi logarithmic scale.
2. **Time series Analysis employing Least Square Method:** This technique is most widely used in practice. It is a Statistical method. With its help a trend line is fitted to the data. This line is known as 'the line of best fit'. By extrapolating the trend line for future we can get the corresponding figures of forecasted sales. In this analysis there is only one independent variable time. .

Linear Trend: The method of least squares may be used either to fit a straight line trend or a non-linear trend. The straight line trend may be represented by the equation:

$$\text{Sales} = a + b (\text{year number}) \quad \text{or, } S = a + b. T$$

Non-linear Trends: The trend equation given above assumes that there is a linear (or, proportional) change in sales over time. In fact, the trend equation can take a linear or a non-linear form. The non-linear trends can be parabolic, exponential, geometric etc.

3. **Forecasting through Decomposing a Time Series:** We know, that series is composed of trend, seasonal fluctuations, cyclical movements and irregular variations. If the available data is quarter-wise/month-wise. It is possible to identify the seasonal effect. And if this data is available for a sufficiently long period of time, the trend and cyclical effects can also be found out.
4. **Smoothing methods:** Smoothing methods attempt to cancel out the effect of random variations on the values of the series. Once this effect is removed, a clear indication of the underlying movement in the series is revealed. The two main smoothing methods are
 1. Moving average; and
 2. Exponential Smoothing.

Method of Moving Averages (M.A)

Moving averages consist of a series of arithmetic means calculated from overlapping

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groups of successive values of a time series. Each moving average is based on values covering a fixed time interval called 'period of moving average' and is shown against the centre of the period.

Exponential Smoothing

It is very popular approach for short-term forecasting. This method determines values by computing exponentially weighted system. The weights assigned to each value reflect the degree of importance of that value. More recent values being more relevant for forecasting, these are, assigned greater weight than previous period values.

2. Barometric or Leading Indicator Technique

Barometric technique is based on the presumption that relationship can exist among various economic time series. For example, industrial production overtime and industrial loans by commercial banks over time may move in the same direction. There are three kinds of relationships among economic time series

- i. Leading series.
- ii. Coincident series; and
- iii. Lagging series.

A Leading series consists of the data that move ahead of the series being compared, e.g., applications for the amount of housing loan over time is a leading series for the demand of construction material etc. When data in series moves up and down along with some other series, it is known as coincident series, (over a short-period). Where data moves up and down behind the series being compared is called lagging series.

Forecasting through barometric techniques involves the following stages:

- a. To locate the leading indicator for the variable whose forecast is being undertaken
- b. To estimate a mathematical/statistical relationship of leading indicator with the variable under forecast:
- c. To find out the forecasted values of the variable; and
- d. To verify the velocity of the forecast with the help of coincident indicators and/or lagging indicators.

Index Numbers

To overcome some of the problems of leading indicator method, the following methods were developed:

- a. Diffusion indices, and
- b. Composite indicators.

Diffusion Indices

In this method a group of leading indicators is initially chosen. Then the percentage of the group of chosen indicators which have fallen (or, risen) over the last period is plotted against time to get the diffusion index.

Composite indicators

Composite indicators or indices consist of a weighted average of the chosen leading indicators. By combining several individual series this method reduces the possibility of existence of random fluctuations, thereby saving from the possibility of false predictions of downturn or upturn in the variable under forecast.

3. Statistical Methods

We know that when we take 'time' as an explanatory variable in a forecasting exercise, we assume that factors influencing sales in the past will behave exactly in the same manner in future too. But this may not be true. In such cases statistical tools are used to

construct estimating equations, and tests can be carried out to see whether or not observed association between past sales and another variable is statistically significant. These methods are also called economic methods.

1. **Naive Models:** Naive models are often as effective as more sophisticated models, and are cheaper and easier to use. They are generally useful where situations are stable or are experiencing only a gradual change. So long as their results are fairly accurate they will be quite helpful. For example, in a stable situation one may use the ratio of advertising outlay and sales, of the past to forecast how future sales will react to future advertising outlays.
2. **Correlation and Regression Method:** This is perhaps the most popular method of forecasting. Unlike time series analysis, the correlation and regression analysis does not limit itself to “time” as the independent variable.

It recognizes the fact that sales depend upon factors other than time. These factors may be any thing. Set of variables influencing sales is identified through correlation, and the regression equation is then specified to study changes in sales.

Correlation Analysis

Correlation means covariance, how one variable move with the change in other variable.

Regression Method

Once we have identified the variables to be included in the forecasting exercise, we may express them in an equation form for undertaking regression analysis.

1. Fitting Simple Linear Regression

In this case a straight line is fitted to the data containing one dependent variable and only one independent variable

- i. **Graphical Method:** In this method we plot the sets of data of the two variables (dependent and independent variables) on a graph (figure). The regression line is then approximated by sketching it freehand in such a manner that the line passes through the middle of the scatter of points.
- ii. **Least Squares Method:** In the least squares method of estimating regression line $S = a + b_p$, we need to find the values of the constants a and b with the help of the normal equations:

$$\sum S = na + b \sum P$$

$$\sum SP = a \sum P + b \sum P^2$$

2. Fitting Non-linear Regression Equation: Some of the popular methods are :

- i. Logarithmic model
- ii. Parabola regression model
- iii. Multi regression analysis.

4. Econometric Models

The main feature that distinguishes econometric models' from time series models is their perception of what influences the future value of the variable for forecast.

The time series analysis rely only on time as a variable causing change in the variable to be predicted, while econometric models try to identify all those economic and demographic variables that influence the future value of the variable under forecast and build up a cause-effect relationship.

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For example, to predict the future demand of a particular brand of air-conditioner, an econometric model would need series of data on certain independent variables like price, of that brand, price of its substitutes, advertisement by the brand under consideration, advertisement expenditure by rivals, weather conditions, aggregate personal disposable income, and many other variables influencing demand.

2.8 SUMMARY

Demand for goods and services constitute one side of the product market, supply of goods and services forms the other. It is needless to say that if there is no demand for a good, there is no need to produce that good. Also, if the demand for a good exceeds its supply, there may be need to expand its production.

Further, production generally takes time, and so one may like to know the likely demand for a relevant product at a future date to plan its production properly. The concept of elasticity of demand therefore refers to the degree of responsiveness of quantity demanded of a good to a change in its price, consumer's income and prices of related goods. Accordingly, there are three concepts of demand elasticity: Price elasticity, Income Elasticity and Cross Elasticity. Price elasticity of demand relates to the degree of responsiveness of quantity demanded of a good to change in its price. The concept of price-elasticity of demand was first of all introduced in economics by Dr. Marshall. In simple words, price elasticity of demand is the ratio of percentage change in quantity demanded to the percentage change in price. In other words, price elasticity of demand is a measure of the relative change in quantity purchased of a good in response to a relative change in its price. It is, thus a rate at which the demand changes to the given change in prices. So, it means the rate or the degree of response in demand to the change in price.

2.9 KEYWORDS

Perishable and Durable Goods

Both consumers and producers goods are further classified into perishable (nondurable) and durable goods. In layman's language, perishable goods are those which perish or become unusable after sometime, the rest are durable goods. Thus, the former would include items like milk, fish, eggs, and paper cups and plates and the latter would include furniture, cars, refrigerators, clothes and shoes.

Consumers' Income and Demand

Demand presupposes the existence of the ability to pay for the product, the ability to pay is in turn determined by the income, wealth or/and the credit worthiness of the consumer. Theoretically speaking, all these three factors should be included in the list of demand determinants.

The Law of Demand

The law of demand is one of the fundamental laws of economics. The law of demand states that the demand for a commodity increases when its price decreases and falls when its price raises, other things remaining constant. This is an empirical law.

Demand Schedule

The law of demand can be presented through a demand schedule-Demand schedule is a series of prices in descending (or ascending) order and the corresponding quantities which consumers would like to buy per unit of time.

The law of demand does not apply to the commodities which are used as a 'status symbol' for enhancing social prestige or for displaying wealth and riches, e.g., gold, precious stones, rare paintings, antiques, etc. Rich people buy such goods mainly because their prices are high and buy more of them when their prices move up.

Giffen Good

Another exception to the law of demand is the classic case of Giffen goods. A Giffen good may be any inferior commodity much cheaper than its superior substitutes, consumed by the poor households as an essential commodity.

Perfectly Elastic Demand

Perfectly elastic demand is said to happen when a little change in price leads to an infinite change in quantity demanded. A small rise in price on the part of the seller reduces the demand to zero.

2.10 REVIEW QUESTIONS

1. Define demand analysis. What are the different types of demand?
2. What are the determinants of demand?
3. Define elasticity of demand.
4. Explain advertising elasticity of demand or promotional elasticity of sales.
5. Describing the determinants of advertisement elasticity.
6. Discuss about price of demand.
7. What are the degrees of price elasticity?
8. Describing the factors determining price elasticity of demand.
9. Define income elasticity of demand.
10. Discuss about the cross elasticity of demand.
11. Explain the importance of elasticity of demand.

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UNIT 3

THEORY OF PRODUCTION AND COSTS

Structure

- 3.0 Aims and Objectives
- 3.1 Introduction
- 3.2 Objectives and theories of the firm
 - 3.2.1 Profit Objective vs. Social Obligations
- 3.3 Production Function
- 3.4 Cobb Douglas Production Function
 - 3.4.1 Significance of Cobb-Douglas Production Function
- 3.5 ISO Quant Analysis
- 3.6 Factors Substitution
- 3.7 Law of Variable proportions
 - 3.7.1 Law of Returns to scale
- 3.8 Expansion Path
- 3.9 Concept of Revenue and Costs
 - 3.9.1 Revenue Concept
 - 3.9.2 Cost Concept
 - 3.9.2.1 Cost Function
 - 3.9.2.2 Cost-Output Relationship in the short run and long run
 - 3.9.2.3 Cost-Output Relationship and Cost Curves in Short-Run
 - 3.9.2.4 Relation between AC and MC
 - 3.9.2.5 Cost Output Relationship in the Long run
 - 3.9.2.6 Production Cost Difference in Short run and Long run
 - 3.9.2.7 Cost Out put relation in Long Run
- 3.10 Equilibrium of the Firm
- 3.11 Summary
- 3.12 Key words
- 3.13 Review Questions

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3.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Explain the objectives of firm.
- Describe Production function
- Discuss about the cobb-douglas production function
- Define law of variable proportions
- Explain about the break even analysis.

3.1 INTRODUCTION

A business organization, such as a corporation, limited liability company or partnership. Firms are typically associated with business organizations that practice law, but the term can be used for a wide variety of business operation units. A commercial organization that operates on a profit basis and participates in selling goods or services to consumers. The management of a business firm will typically develop a set of organizational objectives and a strategy for meeting those goals to help employees understand where the company is headed and how it intends to get there.

Production function refers how much output we can expect if we have so much of labor and so much of capital and is an indicator of the physical relationship between the inputs and output of a firm. The reason behind physical relationship is that money prices do not appear in it. However, here one thing that becomes most important to quote is that like demand function a production function is for a definite period. It shows the flow of inputs resulting into a flow of output during some time. The production function of a firm depends on the state of technology. Sometimes a new production function of the firm may be adverse as it takes more inputs to produce the same output.

3.2 OBJECTIVES AND THEORIES OF THE FIRM

A business firm exists for certain objects and goals. The primary purpose of a business firm is to produce and distribute goods and services to the society in which it exists. But a business firm can never have only one purpose or objective. To manage a business means to balance a variety of goals. Therefore, a business firm has a number of objectives. According to Peter Drucker, the possible objectives of a firm may be market standing, innovation, productivity, economical use of physical and financial resources, to run the business profitably (or increasing the profitability), improved performance and development, worker's performance and co-operation, public responsibility and so on.

Objectives of the Firm

In general, objectives of the firm can be classified as

a) Profit Objective, and b) Service Objective.

Profit Objective

Profit is basic to the philosophy of the free enterprise system (i.e., private sector). Adam Smith stated that profits are the device which transforms the selfishness of making into channels of useful service. Adam Smith "It is not from the benevolence of the butcher, the brewer or the banker that we expect our dinner but from their regard to their self interest".

According to Peter Drucker, profit serves three purposes

1. It measures the net effectiveness and soundness of a business effort. It is the ultimate test of business performance.
2. It is the risk premium that covers the cost of staying in business replacement, obsolescence, market risk and uncertainty.
3. Profit ensures the supply of future capital for innovation and expansion and thus enhances the wealth of society.

These three functions of profit underline the need for a minimum profit needed for several reasons leading to the prosperity of enterprise. It is from this basis that most profit objectives are derived. A return of 25 per cent on capital before taxes is the accountant's shorthand way of saying: "This is the minimum we need to get the kind of capital we want, in the amount we have and at the cost we are willing to pay". Thus, we take up a new project only if it fulfils our profit objective. Some companies define their profit objectives in terms of profit as a percentage of sales. It is now generally agreed that profit as a percentage of capital employed (ROI i.e., Returns on investment) is 'a better measure of performance, though technically it also suffers from a number of flaws'.

A business organisation in a competitive economy keeps both long range and short range profit objectives in view while formulating its policies and plans. It may be emphasized that ROI as an objective is suitable only in the case of free enterprise economics where there is free competition and forces of supply and demand are allowed freely to govern prices. Railways in India cannot have as much profit as they like since it is a monopolistic public utility concern and cannot, therefore, raise fares and freights as high as required.

Similarly, in the context of other monopolistic public sector units, profit loses its importance as an objective. Other measures of performance (defined or not so well defined) as contribution to national income, social return and productivity assume greater importance than profit. Even in the private sector, a monopolistic drug manufacturer may not be allowed to have ROI as his prime objective since he can raise his ROI very high but only at the cost of people at large who are compelled to buy medicines from him. In all such cases, the society has to define the quantum of reasonable profits that may be allowed to such enterprise. In our country, therefore, profit as an objective has to be seen in the context of economy of shortages, seller's market, absence of free competition and the limited rate of the public sector in the natural economy. Thus, profit should be one among the many and not the only objective of the business.

Service Objective

The second objective of business firms has been defined as service motive. A business firm operates in the society so it has certain responsibilities towards the society. A civilized society is organised on the basis of some ethical principles and promises for its members and business managers have to conform them. A firm consists of a number of diverse interests and often the objective of a company management is to have the best working compromise among the interests concerned. The parties having interest in a firm are: the shareholders, employees, customer's society and government. The shareholders want fair return on their investment, customers want products of good quality at reasonable prices, society requires economical and efficient use of scarce resources of production and the government wants that firm must pay taxes regularly and it must obey the rules and regulations. These all responsibilities can be summarized in a single term as the social responsibility of business firms. There are various areas of social responsibility. Perhaps the first and foremost important area is to efficiently

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utilise and conserve corporate resources to produce economic wealth, maintaining the financial health (of the firm itself) and bring about economic welfare to the society. From this basic thing flow other derivatives of social obligations. From a social point of view, it is desirable for enterprises to voluntarily recognize their essential social obligations. As eating is not the only aim of human life, the profit earning cannot be said to be the only aim of business firms.

3.2.1 Profit Objective vs. Social Obligations

The first social obligation of management is to manage the corporate resources efficiently. Since other social obligations are derivatives of this basic social obligation, the profit objective does not come into conflict with the social obligations. The profit objective should be the rallying point of both business and society. It is to be so formulated and pursued that it, at once, becomes the cause and effect of observing the legitimate social obligation by management. As Peter Drucker stated that company can make a social contribution only if it is highly profitable, a bankrupt company, least capable to attract and retain talented personnel, is unlikely to be an asset for the community and is bound to be pushed into oblivion by the society itself.

So we can say that the need of a business enterprise for profitable operations is undesirable. Considering the inherent risks involved and the supporting and motivating role of the profit, it plays in the survival and growth of the enterprise, a firm should aim at cornering a reasonable profit. But profit through service should be the motto of management. Managers are duly bound to maintain and sustain the economic performance capabilities of their enterprise as part of their social obligations. They can be successful in discharging their other social obligations only when they prove their leadership skills in effective and economic deployment of enterprise resources for profitable operations, only then will society be inclined to confer social leadership role of managers to uphold the cherished values.

3.3 PRODUCTION FUNCTION

The concept of production has been defined by different economists as stated below:

“The production function is a technical or engineering relation between input and output. As long as the natural laws of technology remain unchanged, the production function remains unchanged.”
- **Prof. L.R. Klein**

“Production function is the relationship between inputs of productive services per unit of time and outputs of product per unit of time.”
- **Prof., George J. Stigler**

“The relationship between inputs and outputs is summarized in what is called the production function. This is a technological relation showing for a given state of technological knowledge how much can be produced with given amounts of inputs.”
- **Prof. Richard J. Lipsey**

“The production function is purely a technical relation which connects factor inputs and output.”
- **Prof. Koutsoyiannis**

Similarly, Prof. Watson defined production function as: “the relation between a firm’s physical production (output) and the material factors of production (inputs).”

From the above definitions, we can conclude that production function shows for a given state of technological knowledge, the relation between physical quantities of inputs and outputs achieved per period of time.

In Other Words, the production function refers to the functional relationship between the quantity of a good produced (output) and factors of production (inputs).

Mathematically, such a basic relationship between inputs and outputs may be expressed as

$$Q = f(L, C, N)$$

Where Q = Quantity

L = Labor

C = Capital

N = Land.

Hence, the level of output (Q) depends on the quantities of different inputs (L, C, N...) available to the firm. In the simple case, where there are only two inputs, labour (L) and capital (C) and one output (Q), the production function becomes.

$$Q = f(L, C)$$

Features of Production Function

Production function presumes the following main features:

1. **Substitutability:** The factors of production or inputs are substitutes of one another which make it possible to vary the total output by changing the quantity of one or a few inputs, while the quantities of all other inputs are held constant. It is the substitutability of the factors of production that gives rise to the laws of variable proportions.
2. **Complementary:** The factors of production are also complementary to one another, that is, the two or more inputs are to be used together as nothing will be produced if the quantity of either of the inputs used in the production process is zero. The principles of returns to scale is another manifestation of complementary of inputs as it reveals that the quantity of all inputs are to be increased simultaneously in order to attain a higher scale of total output.
3. **Specificity:** It reveals that the inputs are specific to the production of a particular product. Machines and equipments, specialized workers and raw materials are a few examples of the specificity of factors of production. The specificity may not be complete as factors may be used for production of other commodities too. This reveals that in the production process none of the factors can be ignored and in some cases ignorance to even slightest extent is not possible if the factors are perfectly specific.

Production involves time, hence, the way the inputs are combined is determined to a large extent by the time period under consideration; The greater the time period, the greater the freedom the producer has to vary the quantities of various input used in the production process.

In the production function variation in total output by varying the quantities of all input is possible only in the long run whereas the variation in total output by varying the quantity of single input may be possible even in the short run.

3.4 COBB DOUGLAS PRODUCTION FUNCTION

The Cobb-Douglas production function was introduced by Charles W. Cobb and Paul H. Douglas in the 1920s. They suggested a production function of the form

$$Q = AL^b K^{1-b}$$

Where,

Q-Quantity of the output produced

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A-Constant

L-Labor Units

K-Capital Units

b-Parameters

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Properties of the Function

The properties of Cobb-Douglas production function are

- i) For output (Q) to exist both labor (L) and capital (K) should be positive and not equal to zero.
i.e., $Q = AL^a K^{1-b}$ if and only if $L > 0, K > 0$
- ii) The addition of the parameters is equal to one.
i.e., $a + 1 - b = 1$

This indicates that the function in its original form assumes constant return to scale.

- iii) The later version of production function is

$$Q = AL^a K$$

Here,

It specified the conditions

If $(a + 1) > 1$ then increasing returns to scale.

If $(a + 1) = 1$ then constant returns to scale.

If $(a + 1) < 1$ then decreasing returns to scale,

- iv) The parameters of the function represent factor shares in output i.e.,
- v) The function helps to find out the short-run relationship between inputs and the output.

For example,

$$\text{Marginal Product of Labor (MP}_L) = (Q/L)$$

$$\text{Marginal Product of Capital (MP}_K) = (Q/K)$$

- vi) The function has important policy implications for formulating an income policy as it has the elasticity of substitution as unity.

3.4.1 Significance of Cobb-Douglas Production Function

Cobb-Douglas production function is the most popular in empirical research. The following are the reasons for its significance

- i) The Cobb-Douglas production function plays a significant role in inter industry and international comparison of results. As a and b are partially elastic coefficients that are independent of units of “measurements i.e., pure numbers can be easily used-for comparing results of different samples having varied units of measurement.
- ii) As the Cobb-Douglas production function can be easily transformed in to a linear function, it helps the managerial economists in analysis.
Original form: $Q = AL^a K^{1-b}$
Linear form: $\log Q = \log A + a \log L + (1 - b) \log K$
- iii) The diversified nature-of the parameters play a significant role. The nature of the parameters include.

- a) Their sum ($a + P$) shows the returns to scale in the production process.
- b) And represent the labor and capital share of output respectively.
- iv) The function facilitates to investigate the nature of long-run production function.
- v) Through the Cobb-Douglas production function handles only two inputs it can be generalized for more, than two inputs.

Here,

n_1, n_2, n_3 are different inputs.

3.5 ISO QUANT ANALYSIS

The term Iso-quant or Iso-product is composed of two words, Iso = equal, quant = quantity or product = output. Thus it means equal quantity or equal product. Different factors are needed to produce a good. These factors may be substituted for one another. A given quantity of output may be produced with different combinations of factors. For instance, 10 quintals of wheat may be produced with a combination of 2 hectares of land and Rs. 2,000 of capital.

The same amount of wheat (10 quintals) may also be produced with such combinations as 1 hectare of land and Rs. 3,000 of capital or 3 hectares of land and Rs. 100 of capital. If different combinations of two factors yielding equal amount of total output are diagrammatically expressed in the form of a curve, then such a curve is called Iso-quant or Iso-product curve. Iso-quant curves are also known as Equal-product or Iso-product or Production Indifference curves.

Thus, an Iso-product or Iso-quant curve is that curve which shows the different combinations of two factors yielding the same total product. The slope of an Iso-quant curve expresses the marginal rate of technical substitution (MRTS.)

Definitions

“The Iso-product curve shows the different combinations of two resources with which a firm can produce equal amount of product.”

- **Bilas**

“Iso-product curve shows the different input combinations that will produce a given output.”

- **Samuelson**

“An Iso-quant is a curve showing all possible combinations of inputs physically capable of producing a given level of output.”

- **Ferguson**

Assumptions. The main assumptions of Iso-quant curves are as follows:

- 1) **Two factors of Production:** Only two factors are used to produce a commodity.
- 2) **Divisible Factor:** Factors of production can be divided into small parts.
- 3) **Constant Technique:** Technique of production is constant or is known before hand.
- 4) **Possibility of Technical Substitution:** It is assumed that substitution between the two factors is technically possible. That is, production function is of Variable proportion' type rather than fixed proportion.
- 5) **Efficient Combinations:** Under the given technique, factors of production can be used with maximum efficiency.

ISO-Product Schedule

Let us suppose that there are two factor inputs labour and capital. An Iso-product schedule shows the different combinations of these two inputs that yield the same level

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of output as shown in table 3.1.

Table 3.1. Iso-Product Schedule

Combination	Units of labour	Units of capital	Output of cloth (meters)
A	1	15	200
B	2	11	200
C	3	8	200
D	4	6	200
E	5	5	200

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The table 3.1. Shows that the five combinations of labour units and units of capital yield the same level of output, i.e., 200 meters of cloth. The firm is therefore indifferent between these combinations.

Iso-Product Curve

From the above schedule Iso-product curve can be drawn with the help of a diagram. An equal product curve represents all those combinations of two inputs which are capable of producing the same level of output. The figure 3.1 shows the various combinations of labour and capital which give the same amount of output. - A, B, C, D and E.

The Iso-product map looks like the indifference map of consumer behavior analysis. Each indifference curve represents particular level of satisfaction which cannot be quantified. A higher indifference curve represents a higher level of satisfaction but we cannot say by how the satisfaction is more or less. Satisfaction or utility cannot be measured. An Iso- product curve, on the other hand, represents a particular level of output. The level of output being a physical magnitude is measurable. We can therefore know the distance between two equal product curves. While indifference curves are labeled as IC1, IC2, IC3 etc., the Iso-product curves are labeled by the units of output they represent-100 meters, 200 meters 300 meters of cloth and so on.

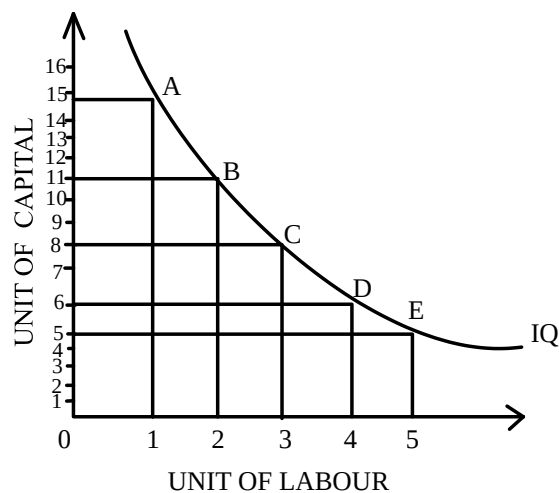


Figure : 3.1

1. Properties of Iso Product Curves

Like, indifference curve properties, Iso-product curves have the same properties. They are summarized below:

i. Iso-Product Curves Slope Downward from Left to Right. They slope downward because MTRS of labour for capital diminishes. When we increase labour, we have to decrease capital to produce a given level of output. The downward sloping

Iso-product curve can be explained with the help of the following figure 3.2.

The diagram 3.3 shows that when the amount of labour is increased from OL to OL₁, the amount of capital has to be decreased from OK to OK₁. The Iso-product curve (IQ) is falling as shown in the above figure. The possibilities of horizontal, vertical upward sloping curves can be ruled out with the help of the following figure 3.3A to 3.3C. As the figure 3.3(a) shows that the amounts of both the factors of production are increased labour from L to L₁ and capital from K to K₁. When the amounts of both factors increase, the output must increase. Hence the IQ curve cannot slope upward from left to right.

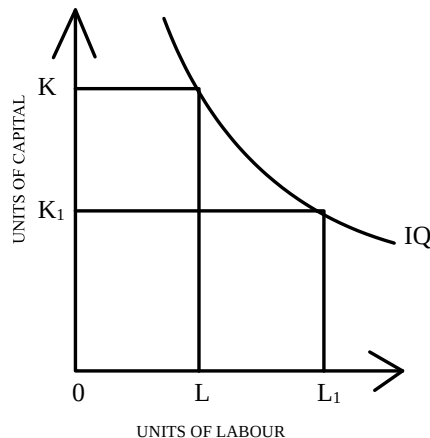


Figure : 3.2

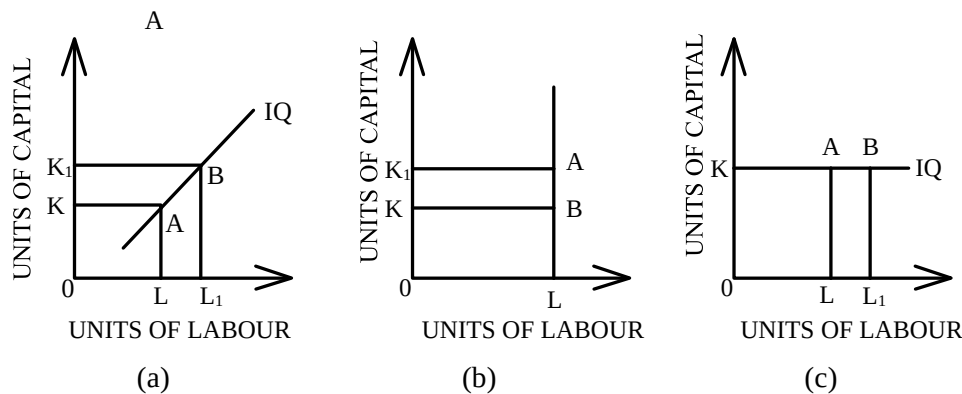


Figure : 3.3A to 3.3C

The figures 3.3(b) shows that the amount of labour is kept constant while the amount of capital is increased. The amount of capital is increased from K to K₁. Then the output must increase. So IQ curve cannot be a vertical straight line.

The figure 3.3(c) shows a horizontal curve. If it is horizontal the quantity of labour increases, although the quantity of capital remains constant. When the amount of capital is increased, the level of output must increase. Thus, an IQ curve cannot be a horizontal line.

2. Iso-Product Curves are Convex to the Origin

The Iso- product curves are convex to the origin because of diminishing MRTS. As we increase capital, we have to reduce labour units to produce the same level of output. Lesser amounts of capital are substituted for one more unit of labour. Therefore Iso-product curves are convex to the origin. They cannot be concave as shown in the following figure 3.4.

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If they are concave as shown in figure 3.4 MRTS of labour for capital will increase. In the figure the increase in units of labour is constant $AB = BC = CD$. But the figure 3.4 units of capital which are substituted are increasing $WZ < ZY < YX$. It means that MRTS increases. Since MRTS must diminish, the Iso-product curves must be convex to the origin.

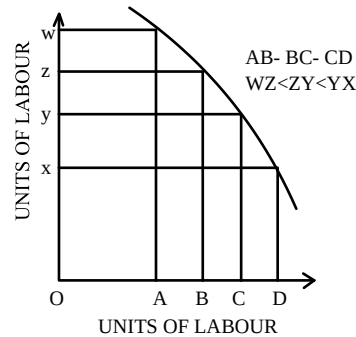


Figure : 3.4

3. Two Iso-Product Curves Never Cut each Other

As two indifference curves cannot cut each other so is the case of Iso-product curves. In figure 3.5, two Iso-product curves intersect each other.

Both curves IQ_1 and IQ_2 represent two levels of output. But they intersect each other at point A. Then combination $A = B$ and combination $A = C$, Therefore B must be equal to C. This is absurd. B and C lie on two different iso-product curves. Therefore two curves which represent two levels of output cannot intersect each other.

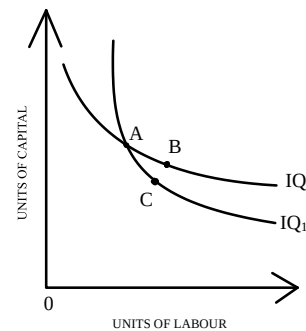


Figure : 3.5

4. Higher Iso-Product Curves Represent Higher Level of Output

A higher iso-product curve represents a higher level of output as shown in the figure 3.6 given below

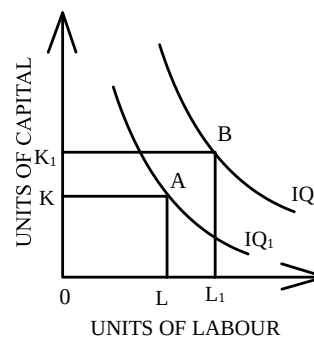


Figure : 3.6

In the figure 3.6, units of labour have been taken on OX axis while on OY, units of

capital. IQ_1 represents an output level of 100 units whereas IQ_2 represents 200 units of output. It means higher so-product curve represents higher level of output.

5. Iso Quant needs not to be Parallel to each Other

It so happens because the rate of substitution in different Iso-quats schedules need not be equal. Generally, they are different. Therefore, ISO-quants may not be parallel as seen in figure 3.8. In this case, it must be noted that ISO-quants I_{q1} and I_{q2} are parallel but remaining Iso-quants i.e., I_{q3} and I_{q4} are not parallel to each other.

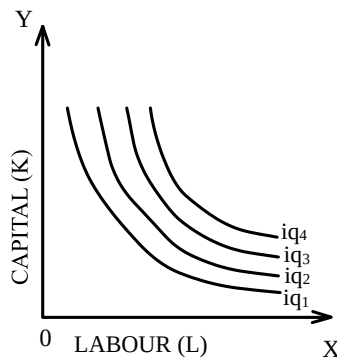


Figure: 3.7

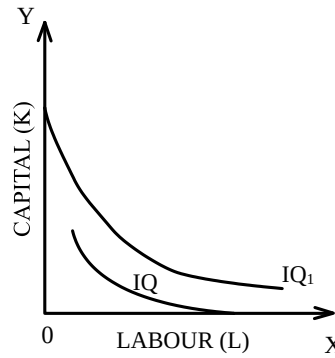


Figure: 3.8

6. No Iso Quant can Touch either Axis

If an Isoquant touches X-axis, it would mean that the product is being produced with the help of labour alone without using capital at all. This is logical absurdity for OL units of labour alone are unable to produce anything. Similarly, OC units of capital alone cannot produce anything without the use of labour. Therefore as seen not be iso quants.

7. Each Iso Quant is Oval-Shaped

It means that at some, point it begins to recede from each axis. This shape is a consequence; uses more of capital or more of labour or more of both than is necessary, the total product will eventually decline. The firm will produce only in those segments of the iso quants which are convex to the origin and lie between the ridge lines. This is the economic region of production.

In figure 3.8 oval-shaped iso quants are shown. Curves OA ad are the ridge lines and in between them only feasible units of capital and labour can be employed to produce 100, 200, 300 ad 400 units of the product. For example, OT units of labour and ST units of the capital can produce 100 units of the product, but the same output can be obtained by using the same quantity of labour OT and less quantity of labour OT and less quantity of capital VT.

Thus only an unwise entrepreneur will produce in the dotted region of the iso-quant. The dotted segments of an iso-quant are the waste-bearing segments. They form the uneconomic regions of production. In the upper dotted portion, more capital and in the lower dotted portion more labour than necessary is employed. Hence GH, JK, LM, and NP segments of the elliptical curves are the iso-quants.

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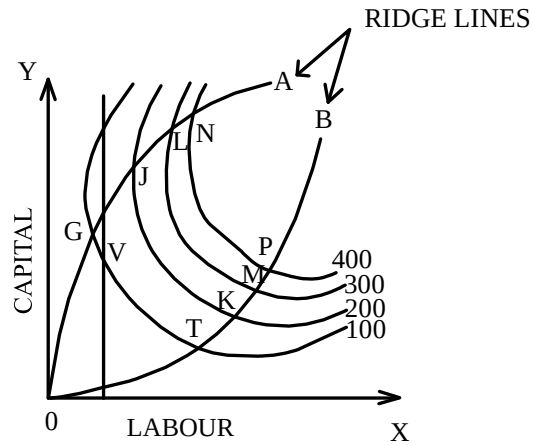


Figure : 3.9

Difference between Indifference Curve and Iso- Quant Curve

Having studied the characteristics of Iso-quant curves we can draw a conclusion that these curves are akin to indifference curves. But there are differences between the two as pointed out below:

1. Iso-quant curve expresses the quantity of output. Each curve refers to given quantity of output while an indifference curve to the quantity of satisfaction. It simply tells that the combinations on a given indifference curve yield more satisfaction than the combination on a lower indifference curve of production.
2. Iso-quant curve represents the combinations of the factors whereas indifference curve represents the combinations of the goods.
3. Iso-quant curve gives information regarding the economic and uneconomic region of production. Indifference curve provides no information regarding the economic and uneconomic region of consumption.
4. Slope of an Iso-quant curve is influenced by the technical possibility of substitution between factors of production. It depends on marginal rate of technical substitution (MRTS) whereas slope of an indifference curve depends on marginal rate of substitution (MRS) between two commodities consumed by the consumer.

“Iso-quants do indeed look like indifference curves. Their geometric properties are similar. The economic analysis is parallel. But one great difference separates them. Indifference curves are subjective. What goes on in a consumer's mind has been assumed. In contrast Isoquant curves are objective; they can be measured in practice as well as principle.”

- Prof. Watson.

3.6 FACTORS SUBSTITUTION

Marginal Rate of Technical Substitution (MRTS): The principle of marginal rate of technical substitution (MRTS or MRS) is based on the production function where two factors can be substituted in variable proportions in such a way as to produce a constant level of output.

The marginal rate of technical substitution between two factors C (capital) and L (labour), MRT_{LS} is the rate at which L can be substituted for C in the production of good X without changing the quantity of output. As we move along an Isoquant downward to the right each point on it represents the substitution of labour for capital.

MRTS is the loss of certain units of capital which will just be compensated for by additional units of labour at that point. In other words, the marginal rate of technical

substitution of labour for capital is the slope or gradient of the Isoquant at a point. Accordingly, slope = $MRTSLC = \Delta C / \Delta L$. This can be understood with aid of the Isoquant schedule, in Table 2.

Table 3. 2.

Combination	Labor	Capital	MRTSLC	Output
1	5	9	3 : 5	100
2	10	6	2 : 5	100
3	15	4	1: 5	100
4	20	3		100

The above table 3.2 shows that in the second combination to keep output constant at 100 units, the reduction of 3 units of capital requires the addition of 5 units is compensated for by 5 more units of labour, and so on.

In figure 3.10 at point B, the marginal rate of technical substitution is AS/SB, at point G, it is BT/TG and at H, it is GR/RH. The iso-quant AH reveals that as the units of labour are successively increased into the factor-combination to produce 100 units of good X, the reduction in the units of capital becomes smaller and smaller.

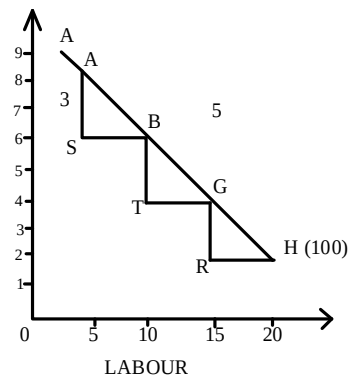


Figure 3.10

It means that the marginal rate of technical substitution is diminishing. This concept of the diminishing marginal rate of technical substitution (DMRTS) is parallel to the principle of diminishing marginal rate of substitution in the indifference curve technique. This tendency of diminishing marginal substitutability of factors is apparent from Table 2 and Figure 3.10. The $MRTSLC$ continues to decline from 3:5 to 1: 5.

Whereas in the Figure 3.10 the vertical lines below the triangles on the Isoquant become smaller and smaller as we move downward so that $GR < BT < AS$. Thus, the marginal rate of technical substitution diminishes as labor is substituted for capital. It means that the Isoquant must be convex to the origin at every point.

3.7 LAW OF VARIABLE PROPORTIONS

Law of Variable Proportions

Law of Variable Proportions occupies an important place in economic theory. This law is also known as Law of Proportionality. Keeping other factors fixed, the law explains the production function with one factor variable. In the short run when output of a commodity is sought to be increased, the law of variable proportions comes into operation. Therefore, when the number of one factor is increased or decreased, while other factors are constant, the proportion between the factors is altered.

For instance, there are two factors of production are land and labour. Land is a fixed factor whereas labour is a variable factor. Now, suppose we have a land

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measuring 5 hectares. We grow wheat on it with the help of variable factor i.e., labour. Accordingly, the proportion between land and labour will be 1: 5. If the number of laborers is increased to 2, the new proportion between labour and land will be 2: 5. Due to change in the proportion of factors there will also emerge a change in total output at different rates. This tendency in the theory of economics is called the Law of Variable Proportion.

Definitions

The law of variable proportions has been differently defined by different economists as.

“As the proportion of the factor in a combination of factors is increased after a point, first the marginal and then the average product of that factor will diminish.”

- **Benham**

“As equal increment of one input are added, the inputs of other productive services being held constant, beyond a certain point the resulting increments of product will decrease that the marginal products will diminish.”

- **G. Stigler**

“The law of variable proportion states that if the inputs of one resource is increased by equal increment per unit of time while the inputs of other resources are held constant, total output will increase, but beyond some point the resulting output increases will become smaller and smaller.”

- **Leftwich**

Assumptions

The law of variable proportions is based on following assumptions:

- i) **Constant Technology.** The state of technology is assumed to be given and constant. If there is an improvement in technology the production function will move upward.
- ii) **Factor Proportions are Variable.** The law assumes that factor proportions are variable. If factors of production are to be combined in a fixed proportion, the law has no validity.
- iii) **Homogeneous Factor Units.** The units of variable factor are homogeneous. Each unit is identical in quality and amount with every other unit.
- iv) **Short-Run.** The law operates in the short-run when it is not possible to vary all factor inputs.

Explanation of the Law

In order to understand the law of variable proportions we take the example of agriculture. Suppose land and labor are the only two factors of production. By keeping land as a fixed factor, the production of variable factor i.e., labor can be shown with the help of the following table 3.3 i.e.

Table 3.3

Units of Land	Units of Labour and Capital	Total Product (TP)	Average Product (AP) $\frac{TP}{L}$	Marginal Product (MP) $TP_n - TP_{n-1}$
10 Acres	1	20	20	20
10 "	2	38	19	18
10 "	3	54	18	16
10 "	4	68	17	14
10 "	5	80	16	12
10 "	6	90	15	10
10 "	7	90	12.9	0
10 "	8	80	10.0	—10

From the table 3.3 it is clear that there are three stages of the law of variable proportion. In the first stage average production increases as there are more and more doses of labor and capital employed with fixed factors (land). We see that total product, average product, and marginal product increases but average product and marginal product increases up to 3units. Later on decreases because proportion of workers to land was sufficient and land is not properly used. This is the end of the first stage.

The second stage starts from where the first stage ends or where $AP = MP$. In this stage, average product and marginal product start falling. We should note that marginal product falls at a faster rate than the average product. Here, total product increases at a diminishing rate. It is at 8units of labor where marginal product becomes zero while average product is never zero or negative.

The third stage begins where second stage ends. This starts from 8th unit. Here, marginal product is negative and total product falls but average product is still positive. At this stage, any additional dose leads to positive nuisance because additional dose leads to negative marginal product.

Graphic Presentation: In figure 3.10, on OX axis number of laborers has been measured while quantity of product is shown on OY axis. TP is total product curve up to point 'E', total product is of increasing rate. Between points E and G, it is increasing at the decreasing rate. Here marginal product has started falling. At point 'G', i.e., where 7 units of laborers are employed, total product is maximum while marginal product is zero. Thereafter, it begins to diminish corresponding to negative marginal product. In the lower part of the figure, MP is marginal product curve. Up to pint 'H' marginal product increases.

At point 'H', i.e., when 3 units of laborers are employed, it is maximum. After that, marginal product begins to decrease and turns negative after point C. AP curve represents average product. Before point 'K' average product is maximum. Up to point 'K' average product increases but after that it starts to diminish.

Three Stages of the Law of Variable Proportions: First Stage

First stage starts from origin to point M_1 . This is the stage in which average product continues to increase and reaches to the level of maximum. The marginal product curve is greater than average product and marginal product curve reaches its maximum within this stage. Besides, the marginal product first increases and then decreases in this stage but still remains positive and above the average product.

The total product curve increases at an increasing rate in this region, i.e., up-to the point F. This is known as the stage of increasing return. From the point F on-wards the total product curve increases but at a diminishing rate up to the point F. E is the point on the total product curve at which the marginal product of the variable factor is the highest or the marginal product reaches its maximum, i.e., marginal returns of the variable input are highest.

The marginal product and average product are equal when OM units are employed. It is the point where average product reaches its maximum i.e., average returns per worker is highest. Thus, F is the point on the total curve where MP and AP are equal and where AP reaches its maximum. This is the point where stage I ends.

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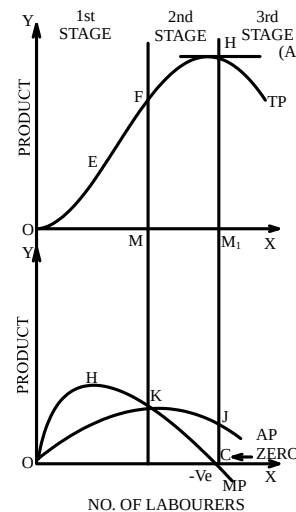


Figure : 3.11

Thus, at the end of state 1, average product reaches its maximum and becomes equal to the marginal product. Here, i.e., at the point F, the stage of constant returns occurs when OM workers are employed i.e., on the use of the 6th unit of the variable input, but only for the time being. Hence, F is the point on the total product curve where stage 1 ends i.e. F is on the boundary of stage 1.

First stage is known as the stage of increasing returns because the average product (AP) of the variable input increase throughout this stage and reaches its maximum.

Second Stage: The second stage starts from where average product is equal to marginal product. In second stage, total product increases at a diminishing rate until it reaches the maximum point. At end of the second stage i.e., at point M2, the marginal product of the variable factor is zero. To put it differently, TP continues to increase throughout this stage, reaches its highest point, though both AP and MP decline. It is because of the reason that MP is not negative but positive. It means total production is increasing but at diminishing rate, since the marginal contribution of the successive doses of variable input to total input is diminishing and become zero at the end of this stage, i.e., at the point H. Thus, the additional units of the variable input continue to increase in stage II but not as rapidly as in stage 1.

The stage II ends at the point H, where totals product curve (TP) reaches its maximum and marginal product becomes zero. The stage II is generally called as the stage of diminishing returns, since the average product (AP) and marginal product (MP) both decline throughout this stage but remain positive.

Third Stage: Third stage starts after the employment of OM₁ units of variable factor. If any unit of variable factor is added to it, it will have a negative marginal productivity. The additional units of variable factor will reduce production instead of increasing. Thus, the cost of production will also be increased, since total production actually falls as more labor is used. This is the stage in which MP is negative and the AP continues to decline and the total product (TP) also falls. This stage is known as the stage of negative returns since MP of the variable factor is negative. It must be remembered that TP will never the zero, what to say of being negative at any stage of production.

3.7.1 Law of Returns to Scale

In the long run all factors of production are variable. No factor is fixed. Accordingly, the scale of production can be changed by changing the quantity of all factors of production.

“The term returns to scale refers to the changes in output as all factors change by the same proportion.”
- **Koutsoyiannis**

“Returns to scale relates to the behavior of total output as all inputs are varied and is a long run concept.”
- **Leibhafskey**

Returns to Scale are of the following Three Types :

1. Increasing Returns to Scale.
2. Constant Returns to Scale.
3. Diminishing Returns to Scale.

Explanation

In the long run, output can be increased by increasing all factors in the same proportion. Generally, laws of returns to scale refer to an increase in output due to increase in all factors in the same proportion.

Such an Increase is called Returns to Scale: Suppose, initially production function is as follows

$$P = f(L, K)$$

Now, if both the factors of production, i.e., labour and capital are increased in the same proportion i.e., x , product function will be rewritten as.

1. If P_1 increases in the same proportion as the increase in factors of production i.e. $=x$, it will be constant returns to scale.
2. If p_1 increases less than proportionate increase in the factors of production i.e., $< x$ it will be diminishing returns to scale.
3. If p_1 increases more than proportionate increase in the p_1 factors of production, i.e., $> x$, it will be increasing returns to scale. Returns to scale can be shown with the help of table 3.4.

Table 3.4 Showing different Stages of Returns to Scale

Units of Labour	Units of capital	% age increase in Labour & Capital	Total Product	% age increase in TP	Returns to scale
1	3	—	15		Increasing
2	5	100%	35	200%	
3	7	50%	65	100%	
4	9	33%	85	33%	Constant
5	11	25%	105	25%	
6	13	20%	115	10%	
7	15	10%	125	9%	Decreasing
8	17	14%	130	4%	

The above Stated table 3.4 Explains the following Three Stages of Returns to Scale

1. **Increasing Returns to Scale:** Increasing returns to scale or diminishing cost refers to a situation when all factors of production are increased, output increases at a higher rate. It means if all inputs are doubled, output will also increase at the faster rate than double. Hence, it is said to be increasing returns to scale.

This increase is due to many reasons like division of labour, specialization and other external economies of scale. Increasing returns to scale can be illustrated with the help of diagram 3.12. In figure 3.12, OX axis represents increase in labour and capital while OY axis shows increase in output. When labour and capital increases from Q and Q_1 , output also increases from P to p_1 which is higher than the factors of

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production i.e., labour and capital.

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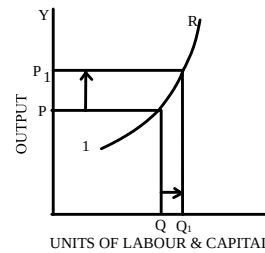


Figure : 3.12

2. **Diminishing Returns to Scale:** Diminishing returns or increasing costs refer to that production situation, where if all the factors of production are increased in a given proportion, output increases in a smaller proportion. It means, if inputs are doubled, output will increase in labour and capital is followed by 10 percent increase in output, then it is an instance of diminishing returns to scale. The main cause of the operation of the law of diminishing returns to scale is that internal and external economies are less than internal and external diseconomies. It is clear from diagram 3.13.

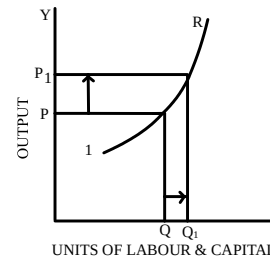


Figure : 3.13

In this diagram 3.13 diminishing returns to scale have been shown. On OX axis, labour and capital are given while on OY axis, output. When factors of production increase from Q to Q₁ (more quantity) but as a result increase in output, i.e. P to P₁ is less. We see that increase in factors of production is more and increase in production is comparatively less, thus diminishing returns to scale apply.

3. **Constant Returns to Scale:** Constant returns to scale or constant cost refers to the production situation in which output increases exactly in the same proportion in which factors of production are increased. In simple terms, if factors of production are doubled output will also be doubled. In this case internal and external economies are exactly equal to internal and external diseconomies. This situation arises when after reaching a certain level of production, economies of scale are balanced by diseconomies of scale. This is known as homogeneous production function. Cobb-Douglas linear homogeneous production function is a good example of this kind.

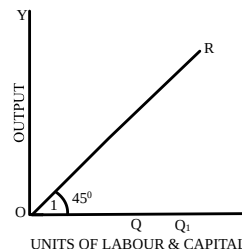


Figure : 3.14

This is Shown in Diagram 3.13

In figure 3.13, we see that increase in factors of production i.e. labour and capital are equal to the proportion of output increase. Therefore, the result is constant returns to scale.

Comparison between Laws of Returns and Returns to Scale

Factors Determining the nature of Production Function	Laws of Returns	Returns to Scale
1. Nature of inputs	Quantities of some inputs are fixed while quantities of other inputs vary	All the inputs are variable.
2. Time Element	Known as short run production function Non-homogeneous production function.	Known as long run production function.
3. Homogeneity	Non-Linear non homogeneous production function.	Linear homogeneous production function.
4. Law Increasing returns.	Linear non homogeneous production function.	Non linear homogeneous production function.
5. Law constant returns	Non linear non homogeneous production function.	
6. Law of diminishing returns		

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3.8 EXPANSION PATH

Expansion Path of a Firm : As financial resources of a firm increases, it would like to increase its output. The output can only be increased if there is no increase in the cost of the factors. In other words, the level of total output of a firm increases with increases in its financial resources. By using different combinations of factors a firm can produce different levels of output. The optimum combinations of factors which will be used by the firm is known as Expansion Path. It is also called Scale-line. According to Stonier and Hague, expansion that is that line which reflects least cost method of producing different levels of output.

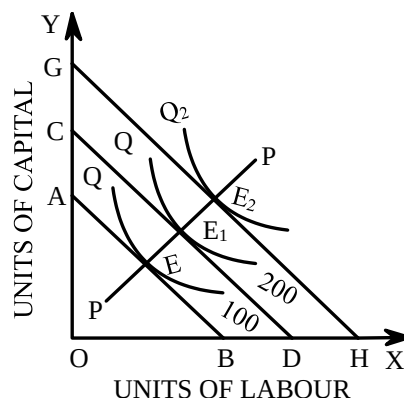


Figure : 3.15

Expansion path can be explained with the help of figure 3.15. On OX- axis units of labour and on OY-axis units of capital are given. The initial iso-cost line of the firm is AB. It is tangent to IQ at point E which is the initial equilibrium of the firm. Supposing

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the cost per unit of labour and capital remains unchanged and the financial resources of the firm increase. As a result, firm's new iso-cost-line shifts to the right as CD. New iso-cost line CD will be parallel to the initial iso-cost line. CD touches IQ_1 at point E_1 which will constitute the new equilibrium point. If the financial resources of the firm further increases, but cost of factors remaining the same, the new iso-cost line will be GH. It will be tangent to Iso-quant curve IQ_2 at point E_2 which will be the new equilibrium point of the firm. By joining together equilibrium points E , E_1 and E_2 , one gets a line called scale-line or Expansion Path. It is because a firm expands its output or scale or production in conformity with this line.

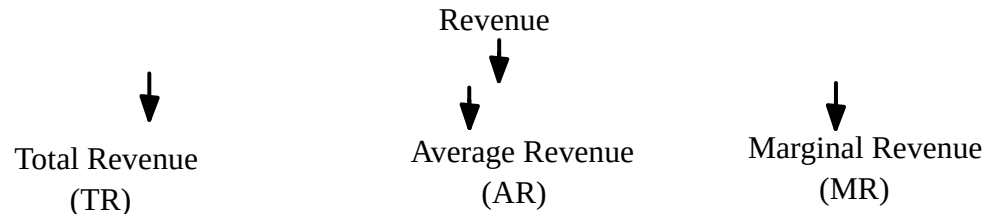
3.9 CONCEPT OF REVENUE AND COSTS

3.9.1 Revenue Concept

The term revenue refers to the income obtained by a firm through the sale of goods at different prices.

In the words of Dooley : 'the revenue of a firm is its sales, receipts or income'.

The revenue concepts are concerned with Total Revenue, Average Revenue and Marginal Revenue.



Total Revenue

The income earned by a seller or producer after selling the output is called the total revenue. In fact, total revenue is the multiple of price and output. The behavior of total revenue depends on the market where the firm produces or sells.

According to Dooley : "Total revenue is the sum of all sales, receipts or income of a firm."

In the words of Glower and Due, total revenue may be defined as the : "product of planned sales (output) and expected selling price."

According to **Stonier and Hague** : "total revenue at any output is equal to price per unit multiplied by quantity sold."

Thus, $TR = AR \times Q$

Where TR = Total Revenue

AR = Average Revenue or Price per Unit

Q = Output

For example if the price of a commodity is Rs. 100 and total units sold are 20 in that case total revenue will be

$$TR = 100 \times 20 = 2000$$

$$TR = 2000$$

Average Revenue

Average revenue refers to the revenue obtained by the seller by selling the per unit commodity. It is obtained by dividing the total revenue by total output.

According to Stonier and Hague : “The average revenue curve shows that the price of the firm’s product is the same at each level of output.”

Thus

$$AR = \frac{TR}{Q}$$

Where AR = Average Revenue

TR = Total Revenue

Q = Output

According to McDonnell : “Average Revenue is the per unit revenue received from the sale of one unit of a commodity.”

TR = Price × Output

TR = Pq

$$AR = \frac{Pq}{q} = P$$

and P = f(Q) is an average curve which shows that price is a function of quantity demanded. It is also a demand curve.

Marginal Revenue

Marginal revenue is the net revenue obtained by selling an additional unit of the commodity.

In the words of Ferguson : “Marginal revenue is the change in total revenue which results from the sale of one more or one less unit of output.”

Thus, marginal revenue is the addition made to the total revenue by selling one more unit of the good. In algebraic terms, marginal revenue is the net addition to the total revenue by selling n units of a commodity instead of n-1.

Therefore,

$$MR = \frac{\Delta TR}{\Delta Q}$$

$$MR = TR_n - TR_{n-1}$$

Where as

TR_n = Total Revenue of ‘n’ units

TR_{n-1} = Total Revenue from (n - 1) units

MR = Marginal revenue

n = Any given number

According to Koutsoyiannis : “The marginal revenue is the change in total revenue resulting from selling an additional unit of the commodity.”

If total revenue from (n) units 110 and from (n - 1) units is 100. In that case

$$MR = TR_n - TR_{n-1} = 110 - 100$$

$$MR = 10$$

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MR in mathematical terms is the ratio of change in total revenue to change in output

$$MR = \frac{\Delta TR}{\Delta q} \quad \text{Or} \quad \frac{dR}{dq} = MR$$

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Total Revenue, Average Revenue and Marginal Revenue

The relation of total revenue, average revenue and marginal revenue can be explained with the help of table and figure.

Table Representation

The relationship between TR, AR and MR can be expressed with the help of a Table 3.5.

Unit (q)	TR/q = AR or price	(Pq) = TR	TR-TR _{n-1} = MR
1	10	10	10
2	9	18	8
3	8	24	6
4	7	28	4
5	6	30	2
6	5	30	0
7	4	28	- 2
8	3	24	-4
9	2	18	-6
10	1	10	-8

From the table 1 we can draw the idea that as the price falls Rs. 10 to Rs. 1, the output sold increases from 1 to 10. Total revenue increases from 10 to 30, at 5 unit. However, at “th unit it becomes constant and ultimately starts falling at next unit i.e., 7th. In the same way, when AR falls, MR falls more and becomes zero at 6th unit and then negative. Therefore, it is clear that when AR falls, MR also falls more than that of AR : TM R increases initially at a diminishing rate, it reaches maximum and then starts falling.

The formula to calculate TR, AR and MR is as under :

$$TR = P \times q$$

$$\text{or } TR = MR_1 + MR_2 + MR_3 + \dots + MR_n$$

$$AR = \frac{TR}{q}$$

$$MR = TR_n - TR_{n-1}$$

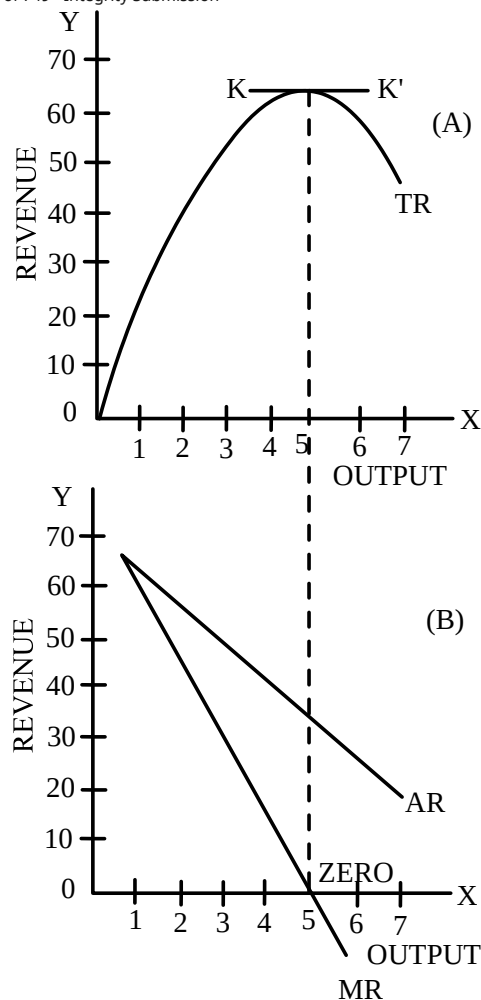


Figure : 3.16

In figure 3.16 three concepts of revenue have been explained. Here TR, AR, MR are total revenue, average revenue and marginal revenue curves respectively. In “3.16 (A), a total revenue curve is sloping upward from the origin to Point K. From point K to K’ total revenue is constant. But at : point K’ total revenue is maximum and begins to fall. It means even by selling more units total revenue is falling. In such a situation, marginal revenue becomes negative. Similarly, in the figure 3.16 (B) average revenue curve is sloping downward. It means average revenue falls as more and more units are sold.

In figure 3.16 (B) MR is the marginal revenue curve which slopes downward. It signifies the fact that MR with the sale of every additional unit tends to diminish. Moreover, it is also clear from the fig. that when both AR and MR are falling, MR is less than AR. MR can be zero, positive or negative but AR is always positive.

Relation between Total Revenue average Revenue and Marginal Revenue

1. **Both AR and MR are Calculated from TR.** In the chapter on costs we have explained that average cost and marginal costs are calculated from total cost. In the same fashion, average revenue and marginal revenue can also be calculated from total revenue.
2. **When AR and MR are Parallel to X-axis.** If average revenue and marginal revenue are parallel to horizontal axis then it means both AR and MR are equal to each other i.e. $AR = MR$. It has been shown with the help of table 3.6 and figure 3.16.

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Table 3.6

Units	AR	TR	MR
1	10	10	10
2	10	20	10
3	10	30	10
4	10	40	10
5	10	50	10

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From this table, it is clear that when output increases prices or AR remains the same i.e. Rs. 10.

In figure 3.17, on X-axis, we have measured output and on Y-axis revenue. Average and marginal revenue are horizontal line which is parallel to X-axis. This situation exists under perfect competition.

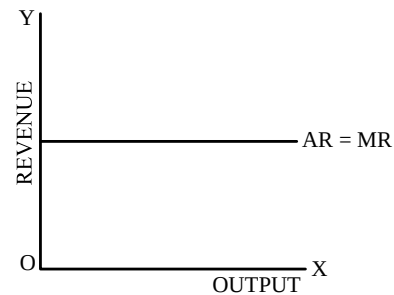


Figure 3.17

3. When both AR and MR are Straight Line: Under imperfect competition, when AR falls, MR also falls and it is always below.

AR line because there are large number of buyers and sellers, products are not homogeneous and the firms can enter or exit the market. It can be shown with the help of a table 3.7.

Table:3.7

Units	Price or AR	TR = (P × q)	MR = (TR _n – TR _{n-1})
1	10	10	10
2	9	18	8
3	8	24	6
4	7	28	4
5	6	30	2

It is clear from the table that as price falls (AR falls) from Rs. 10 to Rs. 6, the total revenue (TR) increases from Rs. 10 to Rs. 30 at a diminishing rate. MR also falls from Rs. 10 to Rs. 2, MR is the rate at which the TR changes. It can also be shown with the help of figure 3.18.

In figure 3.18, AR and MR curves have been shown. It shows when AR curve falls MR curve also falls, and the MR curve will be below the AR curve. But, this situation exists only under monopoly and imperfect competition.

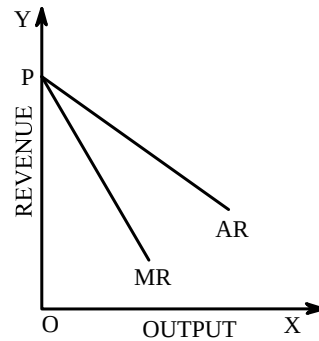


Figure :3.18

4. If AR Curve is Rising Upward from Left to Right: In case AR curve is rising upward from left to right, then MR curve will also move upward. It means MR will be greater than AR. This is shown with the help of a table 3.8 and figure 3.19.

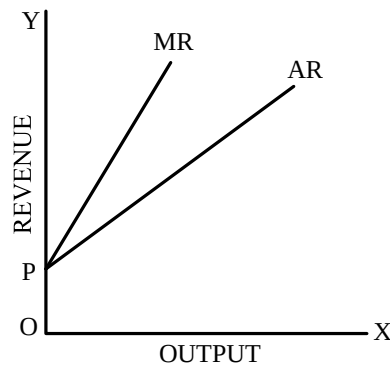


Figure : 3.19

Table 3.8

Units sold (q)	Price AR = (TR ÷ q)	TR = (Pq)	MR (TR _n -TR _{n-1})
1	10	10	10
2	11	22	12
3	12	36	14
4	13	52	16
5	14	70	18

Table 3.8 shows that as AR or price increases from Rs. 10 to Rs. 14, units sold also go up from 1 to 5. In the same way, TR increases from Rs. 10 to Rs. 70 at an increasing rate. As a result, MR also increases from Rs. 10 to Rs. 18.

In figure e 4 we see that AR and MR both start from the same point as AR rises upwards from left to right. MR also follows the same trend i.e. above AR curve.

5. When AR and MR are Convex: In figure 3.20 AR and MR curves are convex to the origin. It means as more and more units of a commodity are sold, average revenue falls at lower speed. MR curve also moves in the same direction. The convexity shows that MR falls but at a slower speed.

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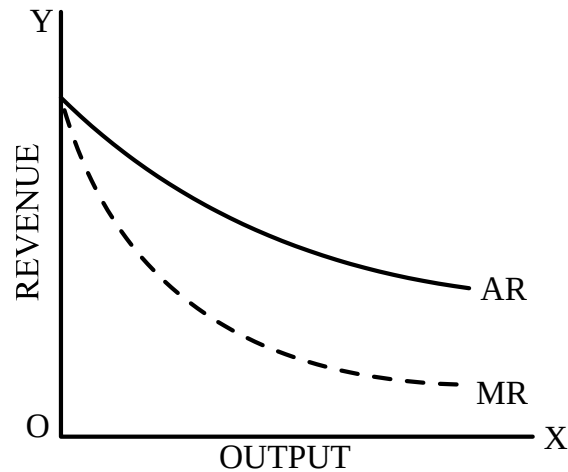


Figure : 3.20

6. When AR and MR are Concave: The figure 3.21 shows that if AR is concave to the origin, MR will also be concave to the origin. It means average revenue is falling at a higher rate for each additional unit of a commodity sold. Similar would be the case for MR curve.

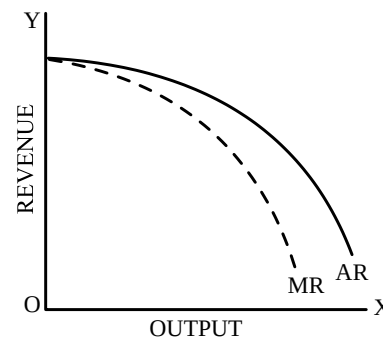


Figure 3.21

7. Revenue and Elasticity The elasticity of demand, average revenue and marginal revenue have a close relationship.

If a firm knows any two of the three elements viz; average revenue and marginal revenue then it can easily find out the third element i.e. elasticity of demand.

The formula for the calculation is

$$E = \frac{A}{A - M}$$

Where E = elasticity of demand ; A = average revenue ; M = marginal revenue

This method can be explained with the help of a figure 3.22.

In this figure 3.22, revenue has been shown on OY-axis while quantity of goods on OX-axis. AB is the average revenue or demand curve and AN is the marginal revenue curve. At point P on demand curve, elasticity of demand is calculated with the formula,

$$E_p = \frac{\text{Lower Portion}}{\text{Upper Portion}}$$

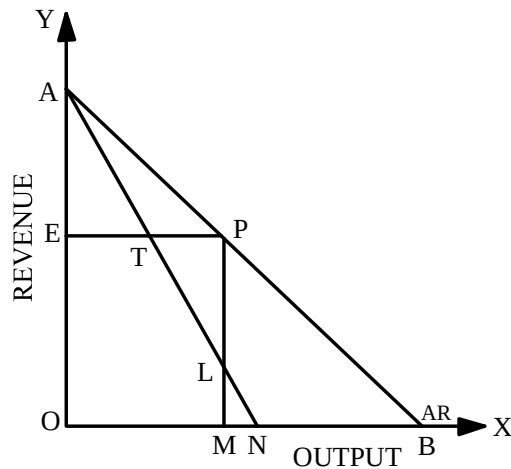


Figure : 3.22

We see in the figure that

$\triangle EP$ and $\triangle PMB$ are similar, thus ratio of their sides is also equal.

$$E_p \frac{PB}{PA} = \frac{PM}{AE}$$

and ; $\triangle AET$ and $\triangle PTL$ are congruent triangles, therefore $PL = AE$. Putting PL in place of AE in the above equation, we shall

$$E_p = \frac{PM}{PL} \quad (\text{because } PL = PM - LM)$$

$$\therefore E_p = \frac{PM}{PM - LM} \text{ (where PM = AR and LM = MR)}$$

$$\text{Therefore, } E_p = \frac{PM}{PM - LM} = \frac{AR}{AR - MR} \text{ or } \frac{A}{A - M}$$

In this way, value of E_p is one which means that price elasticity of demand is unitary. Similarly, if it is more than one, price elasticity of demand is greater than one and if it is less than one, price elasticity of demand is less than unity.

3.9.2 Cost Concept

Cost of Production

Cost is analyzed from the producer's point of view. Cost estimates are made in terms of money. Cost calculations are indispensable for management decisions. In the production process, a producer employs different factor inputs. These factor inputs are to be compensated by the producer for the services in the production of a commodity and the compensation is the cost.

The value of inputs required in the production of a commodity determines its cost of output. Cost of production refers to the total money expenses (Both explicit and implicit) incurred by the producer in the process of transforming inputs into outputs. In short, it refers to total money expenses incurred to produce a particular quantity of output by the producer. The knowledge of various concepts of costs, cost-output relationship etc. occupies a prominent place in cost analysis. List the uses of the study of Cost of Production.

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Managerial Uses

A detailed study of cost analysis is very useful for managerial decisions. It helps the management:

1. To find the most profitable rate of operation or optimum level of output.
2. To determine the quantity of output to be produced and supplied.
3. To determine in advance the cost of business operations.
4. To locate weak points in production management to minimize costs.
5. To fix the price of the product.
6. To decide what sales channel to use.
7. To have a clear understanding of alternative plans and the right costs involved in them.
8. To have clarity about the various cost concepts.
9. To decide and determine the very existence of a firm in the production field.
10. To regulate the number of firms engaged in production.
11. To decide about the method of cost estimation or calculations.
12. To find out decision making costs by re-classifications of elements, repricing of input factors etc, so as to fit the relevant costs into management planning, choice etc.

1) Opportunity Cost and Actual Cost: Opportunity cost is the loss of earnings due to lost opportunities. Opportunities are foregone due to scarcity of resources. If resources were unlimited, there would be no opportunity. The opportunity cost may be defined as the loss of expected returns from the second use of the resources foregone for availing the gains from their best possible use. Since opportunity cost is the income expected from the second best alternative use of resources, it is also called Alternative cost.

Actual costs are those, which are actually incurred by the payment of labor, material, plant building, machinery, equipments, traveling and transport, etc. The total money expenses, recorded in the books of accounts are, for all practical purpose, the actual costs. Actual cost comes under the accounting concept.

2) Business Costs and Full Costs: Business costs include all the expenses, which are incurred in carrying out of business. The concept of business costs is similar to the actual or real costs. Business costs include all the payments and contractual obligations made by the firm together with the book cost of depreciation on plant and equipment.

The concept of full costs includes business costs, opportunity cost and normal profit. The opportunity cost includes the expected earning from the next best of the resources, or the market rate or interest on the total money capital, and also the value of entrepreneur's own services, which are not charged in the current business. Normal profit is a necessary minimum earning in addition to the opportunity cost, which a firm must get to remain in its present occupation.

3) Direct Costs and Indirect Cost: Direct costs are the costs that have direct relationship with a unit of operation, i.e., they can be easily and directly identified or attributed to a particular product, operation or plant. For example, the salary of a branch manager is a direct cost when the branch is a costing unit Direct costs directly enter into the cost of production but retain their separate identity.

On the other hand, Indirect costs are those costs whose source can not be easily and

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definitely traced to a plant, a product, a process or a department, such as electricity, stationery and other office expenses, depreciation on building, decoration expenses, etc.

- 4) **Incremental Costs and Sunk Costs:** Incremental costs denote the total additional costs associated with the marginal batch of output. These costs are the additions to costs resulting from a change in the nature and level of business activity, for example, change in product line or output level, adding or replacing a machine, changes in distribution channels, etc.

Sunk costs are the costs that are not affected or altered by a change in the level or nature of business activity. It cannot be altered, increased or decreased by varying the level of activity or the rate of output. All past or actual costs are regarded as sunk costs.

- 5) **Explicit Costs and Implicit Costs:** Explicit costs are those payments that must be made to the factors hired from outside the control of the firm. They are the monetary payments made by the entrepreneur for purchasing or hiring the services of various productive factors which do not belong to him. Such payments as rent, wages, interest salaries, payment for raw materials, fuel, power, insurance premium etc., are examples of explicit costs.

Implicit Costs refer to the payments made to the self-owned resources used in production. They are the earnings of owner's resources employed in their best alternative uses. For example, a businessman utilizes his services in his own business leaving his job as a manager in a company. Thus he forgoes his salary as a manager. This loss of salary becomes an implicit cost of his own business.

- 6) **Historical and Replacement Costs:** The historical cost is the actual cost incurred at the time the asset was acquired. It means the cost of a plant at a price originally paid for it. In contrast, replacement cost means the price that would have to be paid currently for acquiring the same plant. So historical costs are the past costs and replacement costs are the present costs. Price changes over time cause a difference between historical costs and replacement costs.

- 7) **Past Costs and Future Costs:** Past costs are the costs which have been actually incurred in the past. They are beyond the control of the management because they are already incurred. These costs can be evaluated with retrospective effect.

On the contrary, future costs that are reasonably expected to be incurred in some future periods. They involve forecasting for control of expenses, appraisal of capital expenditure decisions on new projects as well as expansion programs and profit-loss projections through proper costing under assumed cost conditions.

- 8) **Shutdown Costs and Abandonment Costs:** Shutdown costs are the costs that are incurred in the case of a closure of plant operations. If the operations are continued, these costs can be saved. These include all types of fixed costs, the costs of sheltering plant and equipment, lay-off expenses, employment and training of workers when the operation is restarted. On the other hand abandonment costs are the costs which are incurred because of retiring altogether plant from use. These costs are related to the problem of disposal of assets. For example the costs are related to the discontinuance of tram services in Delhi.

- 9) **Urgent Costs and Postponable Costs:** Urgent costs are those costs that are necessary for the continuation of the firm's activities. The cost of raw materials, labor fuel etc., may be its examples which have to be incurred if production is to take place.

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The costs which can be postponed for sometime i.e., whose postponement does not effect the operational efficiency of the firm are called postponable costs. For example, maintenance costs which can be postponed for the time-being. This distinction of cost is very useful during war and inflation.

10) Escapable Costs and Unavoidable Costs: Escapable costs are the costs which can be reduced by contraction in business activities. Here, net effect on costs is important. However, it is difficult to estimate indirect effects such as the closure of an unprofitable business unit which will reduce costs but will increase the other related expenses like transportation charges etc.

11) Out-of-Pocket and Book Costs: The items of expenditure, which involve cash payments or cash transfers both recurring and non-recurring are known as out of pocket costs. All the explicit costs fall in this category.

On the contrary, there are certain actual business costs, which do not involve cash payments, but a provision is made therefore in the books of account and is taken into account while finalizing the profit and loss accounts. Such expenses are known as book costs. In a way, these are payments by a firm to itself. Depreciation allowances and unpaid interest on the owner's own funds are the examples of book costs.

12) Fixed and Variable Cost: Fixed costs are those, which are fixed in volume for a certain given output. Fixed costs do not vary with the variation in the output between zero and a certain level of output. That do not vary for certain levels of output are known as fixed cost. The fixed costs include

1. Cost of managerial and administrative staff,
2. Depreciation of machinery, building and other fixed assets and
3. Maintenance of land etc.

The concept of fixed cost is associated with short run.

Variable costs are those, which vary with the variations in the total output. They are a function of the output. Variable costs include cost of raw materials, running cost of fixed capital, such as fuel, ordinary repairs, routine maintenance expenditure, direct labor charges associated with the-level of output, and the costs of all other inputs that vary with output.

Determination of Costs: Cost behavior is the result of many factors and forces. But it is very difficult to determine in general the factors influencing the cost as they widely differ from firm to firm and even industry to industry. However, economists have given some factor considering them as general determinants of costs. They have enough importance in modern business set up and decision making process. The following factors deserve our attention in this connection:

1. **Technology:** Technology is one of the most important strategic variables influencing the cost. Technological developments result in devising a variety of new methods or process of production. The use of new techniques in the production processes brings down the cost per unit. If technology does not improve and a firm fails to adopt new technology, the cost will continue to be higher. Hence, it is quite clear that there is an inverse relationship between technology and costs.
2. **Rate of Output: (Utilization of the Plant and Machinery):** Cost per unit is determined by the rate of output. The rate or speed of output in any firm depends on the extent to which the fixed assets are used in the production process. Complete and effective utilization of the existing plant and equipments in a judicious manner raises the output and reduces cost-per unit. When a firm avoids

idle capacity and succeeds in getting full work from the fixed assets, output raises substantially. Thus, as output increases, the cost per unit declines and vice-versa.

3. **Size of Plant and Scale of Production:** If production is organized on large scale basis, a firm will reap the benefits of economies of scale. Generally speaking big companies with huge plants and machineries enjoy the economies of scale which reduce the cost per unit.
4. **Prices of Input Factors:** It is a simple logic to observe that the cost of production has a tendency to change directly with the prices of factors of production or inputs. Higher prices of inputs result in higher cost of production and vice-versa. Hence, the management must be aware of the cost of various inputs, relative prices of substitutes etc, so that it can avoid extra cost in the field of production.
5. **Efficiency of Factors of Production and the Management:** Efficiency and productivities of the factors of production also influences cost of production to a great extent. Other things remaining the same, cost of production varies inversely with the efficiency. Well organized management by adopting various new techniques can raise its over all productivity and reduce the cost of production.
6. **Stability of Output:** Fluctuations in the levels of output may not lead to complete utilization of the capacity of plants and equipments. It may even lead to under utilization of the fixed assets. Hence, it is generally believed that stability in production bring savings of various kinds of hidden costs of interruption and learning.
7. **Law of Returns:** Increasing returns reduce cost and diminishing returns increase cost.
8. **Time Period :** In the short run, cost will be relatively high and in the long run, it will be low. Thus, many factors influence cost of production of firm.

3.9.2.1 Cost Function

The concept of cost function refers to the mathematical relation between cost of a product and the various determinants of costs. In cost function the dependent variable is unit cost or total cost and the independent variable are the price of a factor, the size of the output or any other relevant phenomenon, which has a bearing on cost. Symbolically we must state the functions as:

$$C = f(O, S, T, U, P, \dots)$$

Where c is cost.

O is level of Output

S is the size of Plant.

T is time under consideration.

P is the prices of factors of production.

3.9.2.2 Cost-Output Relationship in the Short Run and Long Run

Cost and output are correlated. Cost output relations play an important role in almost all business decisions. It throws light on cost minimization or profit maximization and optimization of output. The relation between the cost and output is technically described as the "Cost Function". The significance of cost-output relationship is so great that in economic analysis the cost function, usually refers to the relationship between cost and rate of output alone and we assume that all other independent variables are kept constant.

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Mathematically speaking $TC = f(Q)$ where TC = Total cost and Q stands for output produced. Higher the output, lower would be the cost and lower the output, higher would be the cost. However, cost function depends on three important variables.

1. **Production Function:** A production function expresses the technological and engineering relationship between physical inputs and physical outputs of a firm. If a firm is able to prepare or produce higher output with little quantity of inputs, in that case the cost function becomes cheaper and vice-versa.
2. **The Market Price of Inputs:** It indicates the amount of money required to acquire the services of factors of production to produce a given quantity of output. The knowledge about the prices of different inputs help a manager to take suitable decision with respect to the employment of alternative combination of factors of production.
3. **Period of Time:** Cost-output relations depend on the nature of cost functions. Along with a change in cost function, cost output relations also change. This is because production function can take different forms depending on how many variables in the production function remain constant while others vary. The number of variables in the production function can be held constant or not depends on the period of time under consideration whether short period or long period. Thus, the period of time also influences the cost function.

In economic theory generally speaking there are mainly two types of cost functions.

- i. Short run cost function,
- ii. Long run cost function.

Cost output relationship or cost behavior is discussed for the short period and the long period separately. When this relationship is represented with the help of diagrams, we get the short and long run cost curves of the firm. Now we shall make a detailed study of cost output relations both in the short-run and in the long run.

3.9.2.3 Cost-Output Relationship and Cost Curves in the Short-Run

It is interesting to note that the relationship between the cost and output is different at two different periods of time i.e., short-run and long run. Generally speaking, cost of production will be relatively higher in the short-run when compared to the long run. This is because of the time available to a producer to make adjustments in the productive process will be different in the short run and long run. In the short run, the plant capacity is fixed where as it can be enlarged to any extent in the long run.

Meaning of Short Run: Short-run is a period of time in which only the variable factors can be varied while fixed factors like plant, machinery etc, remain constant. The total number of firms in an industry will remain the same. Time is insufficient either for the entry of new firms or exit of the old firms. If a firm wants to produce greater quantities of output, it can do so only by employing more units of variable factors or by having additional shifts.

The firm has to make intensive utilization of existing stock of capital assets as it is impossible to buy or to add to the existing stock of capital in the short run. Hence, short run is defined as a period where adjustments to changed conditions are:

- a. Fixed factors and other remains constant and only variable factors can be changed. Hence, there is clear difference between the two.
- b. No scope for entry of new firms and exit of old firms. Hence, total number of firms remains constant,
- c. Plant capacity is fixed. Hence, higher output is obtained.
- d. Intensive utilization of existing inputs.

- e. Employing more variable inputs.
- f. Having more shift and overtime work.

The short run cost function relates to the short run production function. It implies two sets of input components

(a) Fixed inputs and (b) variable inputs. Fixed inputs are unalterable. They remain unchanged over a period of time. On the other hand, variable factors are changed to vary the output in the short run. Thus, in the short period some input are fixed in amount and a firm can expand or contract its output only by changing the amounts of other variable inputs. The cost-output relationship in the short run refers to a particular set of conditions where the scale of operation is limited by the fixed plant and equipment. Hence, the costs of the firm in the short run are divided into fixed cost and variable costs. We shall study these two concepts of costs in some detail.

1. Fixed costs or Supplementary Cost: They are costs incurred on fixed factors. The amount of expenditure spend on the factors which are unalterable for relatively shorter period is called as fixed costs. These costs are incurred on fixed factors like land, building, equipments, plants,” superior type of labor etc. Fixed costs in the short run remain constant because the firm does not change its size and the amount of fixed factors employed.

Fixed costs are those costs which do not vary with either Expansion or Contraction in Output: According to Prof. Anotol Murad, “fixed costs are costs which do not change with change in quantity of output”. These costs are to be incurred by a firm even output is zero. Even if the firm close down its operation for some time temporarily in the short run, but remains in business, these costs have to be borne by it. Hence, these costs are independent of output and are referred to as unavoidable contractual cost.

Prof. Marshall called fixed costs as supplementary costs. They include such items as contractual rent payment. Interest on capital borrowed, insurance premiums depreciation and maintenance allowances, administrative expenses like manager’s salary or salary of the permanent staff, property and business taxes, license fees, etc. They are called as over-head or supplementary costs because these costs are to be incurred whether there is production or not. These costs are to distribute on each unit of output produced by a firm. Hence, they are called as indirect costs.

2. Variable costs or Prime Costs: The cost corresponding to variable factors are discussed as variable costs. These costs are incurred on raw materials, ordinary labor, transport power, fuel, etc, which directly vary in the short run. Variable costs are those which directly and proportionately increase or decrease with the level of output. According to Prof. Dooley, “variable costs are one which varies as the level of output varies”. If a firm shuts down for some time in the short run; then it will not use the variable factors of production and will not therefore incur any variable costs. Variable costs are incurred only when some amount of output is produced and the total variable costs increases with increases in the level of production.

Prof. Marshall called variable costs as “Prime costs or direct costs because the volume of output forthcoming from a firm depends directly upon them”. It is clear from the above fact that production costs consists of both fixed as well as variable costs. The difference between the two is meaningful and relevant only in the short run. In the long run all costs are variable because all factors of production become adjustable in the long run. However, the distinction between fixed and variable costs is very significant in the short run because it influences the average cost behavior of the product of the firm. The significance of making this distinction between fixed and variable costs are that in the short period a firm must cover at least its variable costs, if it is to continue in

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production. Even if it is closed down, it will have to incur fixed costs, the firm will suffer no great loss in continuing production if it can cover at least its variable costs under the prevailing price.

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Distinction between Fixed and Variable Costs

Fixed Costs	Variable Costs
These costs are incurred on fixed factor inputs	These costs are incurred on variable factor inputs
They are independent of the volume of output	They vary with the volume of output
They exist even if there is no production	They are zero if there is no production
They exist only in the short run	They exist both in the short run and long run
They are also called as supplementary costs, over head costs, indirect costs and unavoidable costs	They are also called as prime costs, direct cost and avoidable costs

Total Fixed Cost (TFC): TFC refers to total money expenses incurred on fixed inputs like plant, machinery, tools & equipments in the short run. Total fixed cost corresponds to the fixed inputs in the short run production function. TFC remains the same at all levels of output in the short run. It is the same when output is nil. It indicates that whatever may be the quantity of output, whether 1 to 6 units, TFC remain constant. The TFC curve is horizontal and parallel to OX-axis, showing that it is constant regardless of output per unit of time. TFC starts from a point on Y-axis indicating that the total fixed cost will be incurred even if the output is zero. In our example, Rs 300/- is TFC. It is obtained by summing up the product or quantities of the fixed factors multiplied by their respective unit price.

$$[TFC = TC - TVC]$$

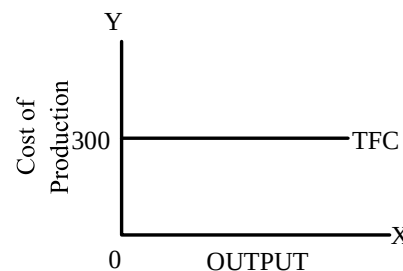


Figure : 3.23

2. Total Variable Cost (TVC)

TVC refers to total money expenses incurred on the variable factors inputs like raw materials, power, fuel etc., in the short run. Total variable cost corresponds to variable inputs in the short run production function. It is obtained by summing up the production of quantities of variable inputs multiplied by their prices. The formula to calculate TVC is as follows. $TVC = f(Q)$, i.e. TVC is an increasing function of output. In other words TVC varies with output. It is nil, if there is no production. Thus, it is direct cost of output. TVC rises sharply in the beginning, gradually in the middle and sharply at the end in accordance with the law of variable proportions. The law of variable proportions explains that in the beginning to obtain a given quantity of output, relative variation in factors are needed in less proportion, but after a point when the diminishing returns operate, variable factors are to be employed in a proportion, but after a point when the

diminishing returns operate, variable factors are to be employed in a larger proportion to increase the same level of output.

$$[TVC = TC - TFC]$$

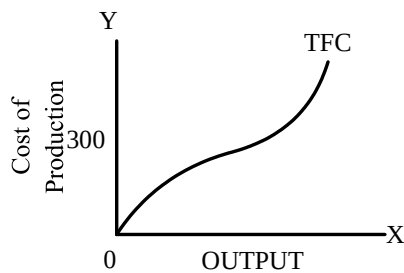


Figure : 3.24

TVC curve slope upwards from left to right. TVC curve rises as output is expanded. When output is zero, TVC also will be zero. Hence, the TVC curve starts from the origin.

3. Total Cost (TC)

The total cost refers to the aggregate money expenditure incurred by a firm to produce a given quantity of output. According to Dooley, "total cost of production is the sum of all expenditure incurred in producing a given volume of output". The total cost is measured in relation to the production function by multiplying the factor prices with their quantities. $TC = f(q)$ which means that the T.C. varies with the output. Theoretically speaking TC includes all kinds of money costs, both explicit and implicit cost. Normal profit is included in the total cost as it is an implicit cost. It includes fixed as well as variable costs. TC varies in the same proportion as TVC. In other words, a variation in TC is the result of variation in TVC since TFC is always constant in the short run.

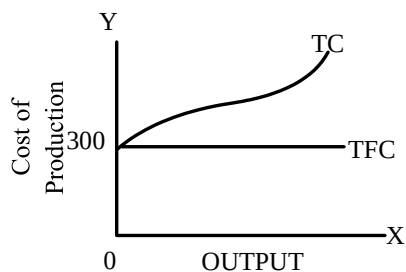


Figure : 3.25

$$[TC = TFC + TVC]$$

The total cost curve is rising upwards from left to right. In our example the TC curve starts from Rs.300 because even if there is no output, TFC is a positive amount. TC and TVC have same shape because an increase in output increases them both by the same amount since TFC is constant. TC curve is derived by adding up vertically the TVC and TFC curves. The vertical distance between TVC curve and TC curve is equal to TFC and is constant throughout because TFC is constant.

4. Average Fixed Cost (AFC)

Average fixed cost is the fixed cost per unit of output. When TFC is divided by total units of output AFC is obtained, Thus, $[AFC = TFC/Q]$

AFC and output have inverse relationship. It is higher at smaller level and lower at the higher levels of output in a given plant. The reason is simple to understand. Since

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$AFC = TFC/Q$, it is a pure mathematical result that the numerator remaining unchanged, the increasing denominator causes diminishing product. Hence, TFC spreads over each unit of output with the increase in output. Consequently, AFC diminishes continuously. This relationship between output and fixed cost is universal for all types of business concerns.

$$AFC = AC - AVC$$

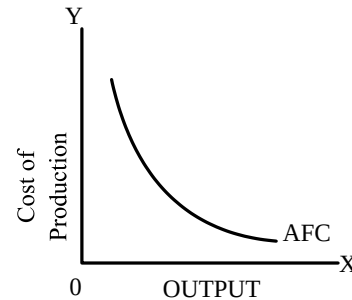


Figure : 3.26

The AFC curve has negative slope. The curve slopes downwards throughout the length. The AFC curve goes very nearer to X axis, but never touches axis. Graphically it will fall steeply in the beginning, gently in middle and tend to become parallel to OX-axis. Mathematically speaking as output increases, AFC diminishes. But AFC will never become zero because the TFC is a positive amount. AFC will never fall below a minimum amount because in the short run, plant capacity is fixed and output cannot be enlarged to an unlimited extent.

5. Average Variable Cost: (AVC)

Average variable cost is variable cost per unit of output. AVC can be computed by dividing the TVC by total units of output. Thus $[AVC = TVC/Q]$. The AVC will come down in the beginning and then rise as more units of output are produced with a given plant. This is because as we add more units of variable factors in a fixed plant, the efficiency of the inputs first increases and then it decreases.

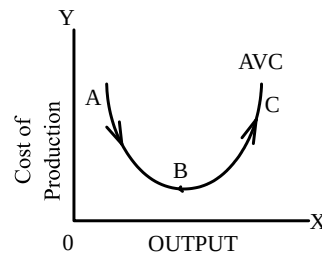


Figure : 3.27

The AVC Curve is a U-shaped Curve. It has Three Phases

- 1. Decreasing Phase:** In the first phase from A to B, AVC declines. As output expands, AVC declines because when we add more quantity of variable factors to a given quantity of fixed factors, output increases more efficiently and more than proportionately due to the operation of increasing returns.
- 2. Constant Phase:** In the II phase, i.e., at B, AVC reaches its minimum point. When the proportion of both fixed and variable factors are the most ideal, the output will be the optimum. Once the firm operates at its normal full capacity, output reaches its zenith and as such AVC will become the minimum.

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3. **Increasing Phase:** In the III phase, from B to C, AVC rises when once the normal capacity is crossed, the AVC rises sharply. This is because additional units of variables factors will not result in more than proportionate output. Hence, greater output may be obtained but at much greater AVC. The old proverb "Too many cooks spoil the broth" aptly applies to this III stage. It is clear that as long as increasing returns operate, AVC falls and when diminishing returns set in, AVC tends to increase.

4. **Average Total Cost (ATC) or Average Cost (AC):** Average total cost or average cost is obtained by dividing the total cost by total output produced.

$$[AC = AFC + AVC] \quad [AC = AFC + AVC]$$

AC is also known as the unit cost since it is the cost per unit of output produced. AC is the sum of AFC and AVC. According Dooley, "the average cost of production is the total cost per unit of output".

In the short run AC curve also tends to be U-shaped. The combined influence of AFC and AVC curves will shape the nature, of AC curve. It has 3 phases.

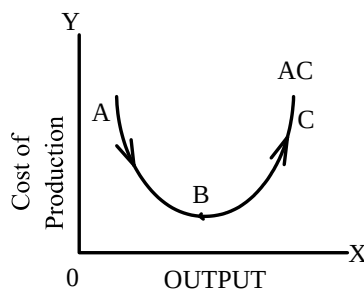


Figure : 3.28

- i. **Decreasing Phase:** As we observe, average fixed cost begin to fall with an increase in output while average variable costs come down and rise. As long as the falling effect of AFC is much more than the rising effect of AVC, the AC tends to fall. At this stage, increasing returns and economies of scale operate and complete utilization of resources force the AC to fall.
- ii. **Minimum Phase:** When the firm produces the optimum output, AC will become minimum. This is called as least - cost output level. Again, at the point where the rise in AVC exactly counter balances the fall in AFC, the balancing effect causes AC to remain constant.
- iii. **Increasing Phase:** In the third stage when the rise in average variable cost is more than drop in AFC, then the AC shows a rise, When output is expanded beyond the optimum level of output, diminishing returns set in and diseconomies of scale starts operating. At this stage, the indivisible factors are used in wrong proportions. Thus, AC starts rising in the third stage.

The short run AC curve is also called as "Plant curve". It indicates the optimum utilization of a given plant or optimum plant capacity.

5. **Marginal Cost (MC):** Marginal cost may be defined as the net addition to the total cost as one more unit of output is produced. In other words, it implies additional cost incurred to produce an additional unit. For e.g., if it costs Rs. 100 to produce 50 units of a commodity and Rs. 105 to produce 51 units, then MC would be Rs. 5. It is obtained by calculating the change in total costs as a result of a change in the total output. Also MC is the rate at which total cost changes with output.

$$\text{Hence, } MC_n = TC_n - TC_{n-1}$$

It is necessary to note that MC is independent of TFC and it is directly related to TVC as we calculate the cost of producing only one unit. In the short run, the MC curve also tends to be U-shaped.

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The shape of the MC curve is determined by the laws of returns. If MC is falling, production will be under the conditions of increasing returns and if MC is rising, production will be subject of diminishing returns.

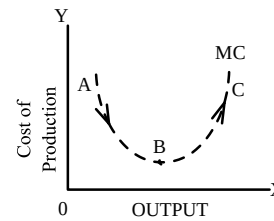


Figure : 3.29

3.9.2.4 Relation between AC and MC

From the diagram it is Clear that

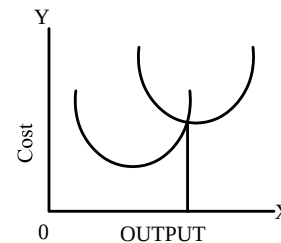


Figure : 3.30

1. Both MC and AC fall at a certain range of output and rise afterwards.
2. When AC falls, MC also falls but at certain range of output MC tends to rise even though AC continues to fall. However, MC would be less than AC. This is because MC is attributed to a single marginal unit where as in case of AC, the decreasing AC is distributed over all the units of output produced.
3. So long as AC is falling, MC is less than AC. Hence, MC curve lies below AC curve. It indicates that fall in MC is more than the fall in AC. MC reaches its minimum point before AC reaches its minimum.
4. When AC is rising, after the point of intersection, MC will be greater than AC. This is because in case of MC, the increasing MC is attributed to a single unit, while in case of AC, the increasing AC is distributed over all the output produced.
5. So long as the AC is rising, MC is greater and AC. Hence, AC curve lies to the left side of the MC curve. It indicates that MC is more than the rise in AC.
6. MC curve cuts the AC curve at the minimum point of the AC curve only. This is because, when MC decreases, it pulls AC down and when MC increases, it pushes AC up. When AC is at its minimum, it is neither being pulled down nor being pushed up by the MC. Thus, When AC is minimum, $MC = AC$. The point of intersection indicates the least cost combination point or the optimum position of the firm. At output Q the firm is working at its "Optimum Capacity" with lowest AC, beyond Q, there is scope for "Maximum Capacity" with rising cost.

Nature and Behavior of Cost Curves in the Short Run: In order to study the relationship between the level of output and corresponding cost of production, we have

to prepare the cost schedule of the firm. A cost-schedule is a statement of a variation in costs resulting from variations in the levels of output. It shows the response of cost to changes in output.

A hypothetical cost schedule of a firm has been represented in the following table 3.9: “ in Rs.

Output Units	TFC	TVC	TC	AFC	AVC	AC	MC
0	300	-	300	-	-	-	-
1	300	100	400	300	100	400	100
2	300	180	480	150	90	240	80
3	300	240	540	100	80	180	60
4	300	300	600	75	75	150	60
5	300	450	750	60	90	150	150
6	300	660	960	50	110	160	210

On the basis of the above cost schedule, we can analyze the relationship between changes in the level of output and cost of production. If we represent the relationship between the two in a geometrical manner, we get different types of, cost curves in the short run. In the short run, generally we study the following kinds of cost concepts and cost curves.

3.9.2.5 Cost Output Relationship in the Long Run

Long run is period of time where in the producer will get plenty of time to make all kinds of changes, adjustments and readjustments in the business and production process. Long run is defined as a period of time where adjustment to changed conditions is complete. It is actually a period during which the quantities of all factors, variable as well as fixed factors can be adjusted. Hence, there are no fixed costs in the long run. In the short run, a firm has to carry on its production within the existing plant capacity, but in the long run it is not tied up to a particular plant capacity.

If the demand for the product increases, it can expand output by enlarging its plant capacity. It can construct new buildings or hire them, install new machines, employ administrative and other permanent staff. It can make use of the existing as well as new staff in the most efficient way and there is lot of scope for making indivisible factors to become divisible factors.

On the other hand, if demand for the product declines a firm can cut down its production permanently. The size of the plant can also be reduced and other expenditure can be minimized. Hence, production cost in the long comes down to a greater extent in the long run.

As all costs are variable in the long run, the total of these costs is total cost of production. Hence, the distinction between fixed and variable costs in the total cost of production will disappear in the long run. In the long run only the average total cost is important and considered in taking long term output decisions.

Long Run Average Cost: Long run average cost is the long run total cost divided by the level of output. In brief, it is per unit cost of production of different levels of output by changing the size of the plant or scale of production.

The long run cost-output relationship is explained by drawing a long run cost curve through short-run cost curves. The long period is made up of many short - periods as a day is made up of 24 hours, a week, 7 days and a month 30 days. This curve explains how costs will change when the scale of production is varied. The long run cost curves

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are influenced by the laws of return to scale as against the short run cost curves which are subject to the law of variable proportions.

In the short run the firm is tied with a given plant and as such the scale of operation remains constant. There will be only one AC curve to represent one fixed scale of output in the short run. But in the long run, it is possible to alter the scale of production. Hence, one can have as many AC curves as there are changes in the scale of operations.

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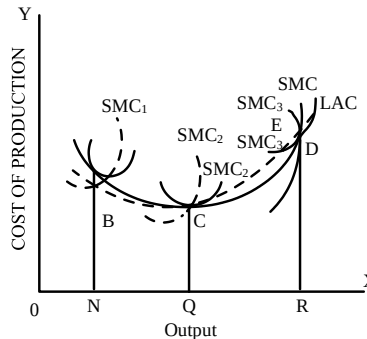


Figure : 3.31

In order to draw LAC curve one has to commence with a number of SAC curves, each curve representing a particular scale of output. The LAC curve will be tangential to the entire family of SAC curves. It means that it will touch each SAC curve at its minimum point.

3.9.2.6 Production Cost Difference in the Short Run and Long Run

In the diagram, the LAC curve is drawn on the basis of three possible plant sizes. Consequently, we have three different SAC curves - SAC1, SAC2 and SAC3. They represent three different scales of output. For output OM₂ the AC will be L₂M₂ in the short run as well as the long run.

When output is to be expanded to OM₃, it can be obtained at a higher average cost of production. K₃, M₃ in the short run AC because, scale of production would remain constant in the short run. But the same output of OM₃ can be produced at a lower AC of L₃M₃ in the long run since of production can be modified according to requirements. The distance between K₃L₃ represent difference between the cost of production in the short run and long run.

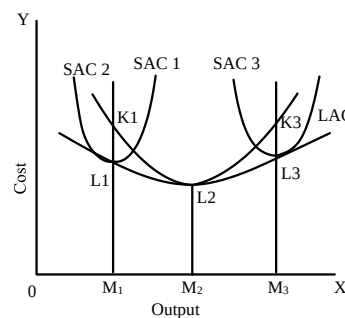


Figure : 3.32

Similarly, when output is contracted to OM₁ in the short run, K₁M₁ will become the short run AC and L₁M₁ will be the long run AC. Hence, K₁L₁ indicates the differences between short run and long run cost of production. If we join points L₁, L₂ and L₃ we get LAC curve.

Important Features of Long Run AC Curves

1. **Tangent Curve:** Different SAC curves represent different operational capacities of different plants in the short run. LAC curve is locus of all these points of tangency. Thus, LAC curve is tangential to various SAC curves.
2. **Envelope Curve:** It is also known as Envelope Curve because it is the Envelope of a group of SAC curves appropriate to different levels of output.
3. **Flatter U-shaped or Dish-shaped Curve:** It is also a U-shaped cost curve. But it is less pronounced and much flatter in nature. LAC gradually falls and rises on account of the operation of economies and diseconomies of scale.
4. **Planning Curve:** The LAC curve is described as a long run instrument which indicates the least-cost combination of resource inputs. This helps in producing optimum level of output at the minimum LAC. This is possible when the entrepreneur is selecting the optimum scale plant. Optimum scale plant is that plant size where the minimum point of SAC is tangent to the minimum point of LAC.
5. **Minimum Point of LAC Curve should be always lower than the minimum point of SAC Curve:** This is because LAC can never be higher than SAC or SAC can never be lower than LAC. The LAC curve will touch the optimum plant SAC curve at its minimum point. A rational entrepreneur would select the optimum scale of plant is that size at which SAC is tangent to LAC, such that both the curves have the minimum point of tangency. In the diagram, OM2 is regarded as the optimum scale of output, as it has the least per unit cost. LAC curve will be tangent to SAC curves lying to the left of the optimum scale. But at the point of tangency neither LAC is minimum nor will SAC be minimum. At all these tangential points. SAC curves are either rising or falling indicating a higher cost. Hence at L_2 LAC = SAC.

Managerial Uses of Long Run Average Cost

The study of LAC is of greater importance in managerial decision making process.

1. It helps the management in the determination of the best size of the plant to be constructed or when a new one is introduced in getting the minimum cost output for a given plant. But it is interested in producing a given output at the minimum cost.
2. The LAC curve helps a firm to decide the size of the plant to be adopted for producing the given output. For outputs less than cost lowering combination at the optimum scale i.e., when the firm is working subject to increasing returns to scale, it is more economical to under use a slightly large plant operating at less than its minimum cost - output than to overuse smaller unit. Conversely, at output beyond the optimum level, that is when the firm experience decreasing return to scale, it is more economical to over use a slightly smaller plant than to under use a slightly larger one. Thus, it explains why it is more economical to over use a slightly small plant rather than to under use a large plant.
3. LAC is used to show how a firm determines the optimum size of the plant. An optimum size of plant may define as the one that leads to the cost efficient utilization of resources.

Long Run Marginal Cost

Long-run marginal cost curve can be derived from the long-run average cost curve. Just as the SMC is related to the SAC, similarly the LMC is related to the LAC. Hence

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we can derive the LMC directly from the LAC.

In the diagram we have taken three plant sizes (for the sake of simplicity) and the corresponding three SAC and SMC curves. The LAC curve is drawn by enveloping the family of SAC curves. The points of tangency between the SAC and the LAC curves indicate different outputs for different plant sizes.

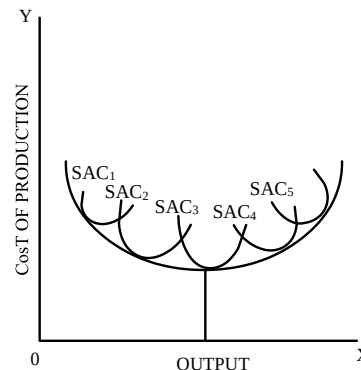


Figure : 3.33

If the firm wants to produce ON output in the long run, it will have to choose the plant size corresponding to SAC 1 the LAC curve is tangent to SAC1 at point A. For ON output, the average cost is NA and the corresponding marginal cost is NB. If LAC curve is tangent to SAC1 curve at point A, the corresponding LMC curve will have to be equal to SMC1 curve at point B.

The LMC will pass through point B. In other words, where LAC is equal to SAC curve (for a given output), the LMC will have to be equal to a given SMC. If output OQ is to be produced in the long run, it will be done at point C which is the point of tangency between SAC2 and the LAC. At point C, the short-run average cost (SAC2) and the short-run marginal cost (SMC2) are equal and therefore, the LAC for output OQ is QC and the corresponding LMC is also CQC; the LMC curve will, therefore pass through point C. Finally, for output OR, the LAC is the point of tangency between SACS for OR output is given by the point E; this is the point through which the LMC curve will pass. By connecting point B, C and E, we can draw the long-run marginal cost curve.

Cost of Production Formulae

1. $TC = \text{Cost per unit} \times \text{total production}$ or $TC = TFC + TVC$
2. $TFC = TC - TVC$ or $AFC \times Q$
3. $TVC = TC - TFC$ or $AVC \times Q$ or Addition of MC
4. $AFC = AC - AVC$ or TFC/Q
5. $AVC = AC - AFC$ or TVC/Q
6. $AC = AFC + AVC$ or TC/Q
7. $MC = \frac{TC_n - TC_{n-1}}{ATC - ATQ}$

3.9.2.7 Cost Out Put Relation in Long Run

Derivation of Long Run Cost Curve from Short Run Cost Curves

Short run total cost is made up of two components, viz., Fixed Cost and Variable Cost. We know that Fixed [FC] is fixed irrespective of the level of output. Fixed cost does depend on the structure of the firm. For a structure, i.e., a structure which attains its capacity output at a lower level, fixed cost will be less, Whereas, for a larger structure, fixed cost will be more on the other hand, variable cost follows the law of variable

proportions in short run, and thus becomes an inverted 's' shaped curve.

In Figure there are 3 such Short Run Total Cost Curves $SRTC_1$, $SRTC_2$, and $SRTC_3$. $SRTC_1$ showing a smaller structure, say a smaller plant size. Plant size related to $SRTC_2$ is relatively larger than $SRTC_1$ but smaller than that related to $SRTC_3$

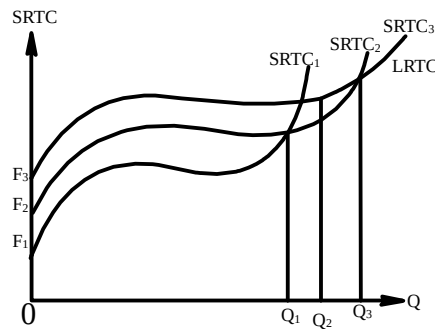


Figure :3.34 Long Run Total Cost Curve

In the short run, a producer has to choose any of these plants, and thus has to consider the corresponding SRTC curve, if he chooses $SRTC_2$ say, she has to produce only on that curve, whatever may be the level of output-she produces. But in case of long run he can move from one SRTC to another. Obviously; for each level of output, he will produce at that plant which will produce at the lowest costs. In other words, a producer will operate on that SRTC which will give him the lowest cost of production.

Up to output level Q_1 $SRTC_1$ gives him least cost of production, from ' Q_1 to Q_2 $SRTC_2$ is the least cost SRTC and then $SRTC_3$. So, the producer will produce at plant 1 if he produces output up to Q_1 and he will operate at plant 2 if he produces between Q_1 and Q_2 . If he produces more than Q_3 , he chooses plant 3.

In economic analysis, it is assumed that there exist infinite plant sizes, and, therefore, infinite SRTC curves and available to the producer. For each level of output he will find out that plant size which produces at the least cost. He will choose that plant and, corresponding SRTC. Long Run Total Cost (LRTC Curve) is the locus of all those points on SRTC curves. For each level of output, LRTC chooses one point of one SRTC curve, which shows the lowest cost of production among all SRTC curves. Thus no SRTC curve lies below LRTC curve, because in that case, for that output level, SRTC curve will show lower cost than LRTC, which is impossible. In the below figure such an LRTC curve has been drawn. LRTC curve touches all relevant SRTC curve from below. It is called an envelope curve.

LRTC curve is flatter than SRTC curves of which it is made of. It is observed LRTC curve only touches only relevant S RTC curves, from below. It lies below all SRTC curves. Therefore any at the point of tangency any SRTC curve has the same slope as that of the LRTC. At all other levels of Output slope of the SRTC is higher than that of the LRTC. This is true for all SRTC curves, in relation to the LRTC. So LRTC curve is flatter than that of the LRTC. This is true for all SRTC curves. It may be noted that, any lower envelop curve is flatter than the curves to which it is an envelope.

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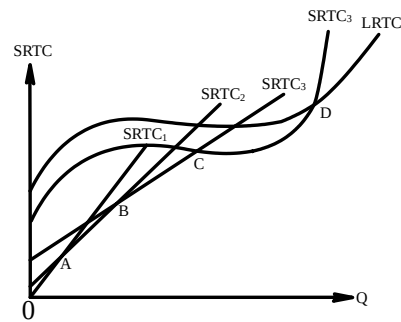


Figure :3.35 Long Run Total Cost Curve from Short Run Cost Curves

Corresponding to long run total cost, there is long run average cost. It is observed that LRTC is usually an inverted 's' shaped curve. Corresponding to that, LRAC curve will be a 'U' shaped curve. If one knows the LRTC Curve, LRAC may be obtained from that curve.

3.10 EQUILIBRIUM OF THE FIRM

Every firm attempts to maximise its profit or minimise the losses. A firm is said to be in equilibrium when it gets maximum profits or minimises its losses.

While analysing the equilibrium of a firm the following assumptions are made.

- 1) The firm wants to maximise its profits.
- 2) The firm knows the position by which it can maximise profits.
- 3) It is producing only one product.

Equilibrium of the firm under perfect competition - conditions of equilibrium

A firm under perfect competition reaches equilibrium under the following conditions

1. Marginal Cost must be Equal to Marginal Revenue :

MC = MR and MC must cut MR from below : Marginal cost is the extra cost of producing an extra unit. Marginal revenue is the extra revenue got by selling the extra unit produced. If the marginal revenue is greater than the marginal cost, the firm gains more by increasing the output. If the marginal revenue is less than the marginal cost, the firm gets loss. Therefore, the firm will increase output until marginal cost is equal to marginal revenue.

Marginal cost is subject to the laws of returns. In the beginning stages of production, it will fall due to economies of large scale production. After a point, it rises due to diminishing returns.

For a firm under perfect competition, price, marginal revenue, average revenue are same because the price does not change whether it produces more or less. MR and AR will be horizontal straight lines parallel to X-axis.

But MC and MR may be equal at two points - (1) at an output level where MC is falling. (2) at an output level when MC begins to rise. The firm does not stop output when MC is falling and MC is less than MR because expansion of output brings more profits. It does not expand output when MC begins to rise and MC is greater than MR because it gets losses. Therefore, it stops output at the Point where MC begins to rise and MC is equal to MR. In other words, the firm stops output when MC cuts MR from below. It is the equilibrium output.

MC = MR rule is shown in the following Figure

MC is the marginal cost curve. It slopes downwards for some length and then rises. OP is the price. As the firm under perfect competition can sell any output at the market price OP, MR (marginal revenue) AR (average revenue) are same for any output. Therefore, MC cuts MR at two different points - (1) at T when output is OM and, (2) at R when output is OM'. It means that MC = MR when output is OM and also MC = MR when output is OM'. But the firm will not stop output at T because MC is falling and MR is higher than MC. The firm can increase the profits by increasing output beyond T. However, the firm does not increase the output beyond R because after that MC is more than MR. The firm gets losses on all the units produced beyond R. Therefore, the firm stops output at R and not at T. R is the equilibrium output.

In other words, the firm stops output when MC cuts MR from below.

2. Equality between MR, AR, MC and AC: The simple rule Marginal cost should be equal to Marginal Revenue does not tell us whether the firm is getting loss or abnormal profits or normal profits at that output. To know the profit or loss position, the marginal and average revenue has to be compared with the marginal and average costs.

(i) When MR and MC are equal but MR is higher than AC (average cost), the firm gets abnormal profits, (ii) If MR and MC are equal, but MR is less than AC, the firm gets losses, (iii) If MR, MC, AC are equal the firm gets normal profits.

Short-Period Equilibrium: Under perfect competition abnormal profits or losses cannot exist in the long period. But in the short period, until such time that the firms can leave the industry or new firms enter the industry, a firm even under perfect competition, may be in equilibrium either making abnormal profit or minimum losses. The short period equilibrium is shown in the figure below.

When the price is OP, at the output OM, Marginal Revenue (MR), Average Revenue (AR) are equal to the Marginal Cost (MC). MC cuts MR at the point L where the output is OM. But at that output OM, Average Cost (AC) is R as indicated on the AC curve. Price OP is higher than AC. Therefore, the difference between AC indicated by the point R and the price OP as indicated by the area PLRS are the abnormal profits for the output OM. The firm is in equilibrium in the short period getting abnormal profits.

When the price falls OP₁ MR and AR are equal to MC at the point K. Therefore, the firm stops output at OM₁. But at that point Average Cost is N as per the Average Cost Curve AC. Price OP₂ is less than AC. Therefore, P₁KNT are the losses to the firm.

The firm continues in the short period although it is getting losses. They are the minimum losses. OP is abnormal profits while OP₁ is minimum losses. However, firms may be in equilibrium in the short period making abnormal profits or minimum losses until the long period adjustments are made to eliminate abnormal profits or minimum losses.

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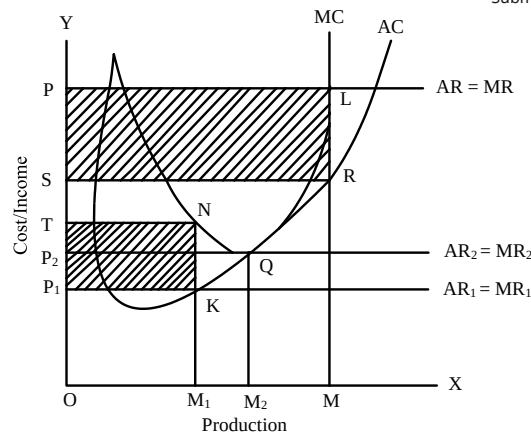


Figure : 3.36

Long period Equilibrium: Abnormal profits or losses cannot exist in the long period under perfect competition. If there are abnormal profits, new firms enter the industry. Production will increase and price will fall. This will go on until price is equal to AC and there are no abnormal profits. If there are losses, some firms will leave the industry. Production will fall. Price will rise. This will go on until the price is again equal to AC and there are no losses. Thus, in the long period, the firm will be in equilibrium making normal profit only. The long period equilibrium is shown in the 3.37 figure below .

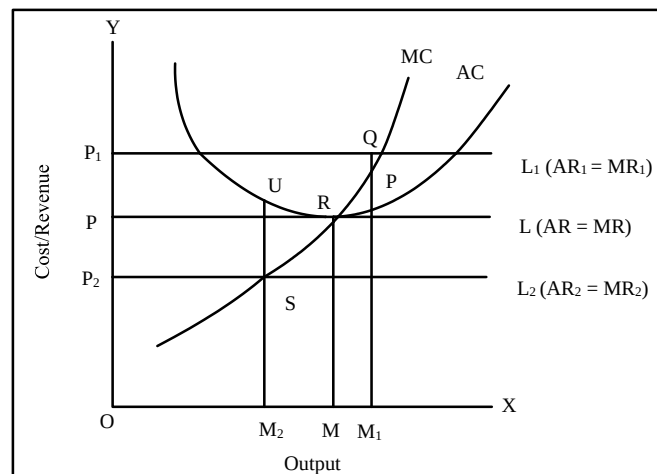


Figure : 3.37

In the above figure 3.37 MC is the long period. Marginal cost curve and AC is the long period Average cost curve. At output OM_1 MR and AR are equal to MC, but higher than AC. There abnormal profits. New firms enter the industry. That position cannot remain. At output OM_2 , AR and MR are equal to MC, but less than AC. There will be losses. Firms leave the industry. Therefore, that position also cannot remain. An output OM, AR, MC and AC are equal. The firm gets normal profits. Since there are normal profits, new firms are not attracted to the industry, nor the existing firms leave the industry. Therefore, OM output where AR, MR, MC, AC are equal is the long period equilibrium of the firm.

Equilibrium of the Industry : All the firms producing the same commodity and competing with each other, constitute the industry. Industry is the sum of all the firms. Under perfect competition there will be large number of firms in the industry with freedom to enter or leave the industry. When new firms do not enter the industry or the existing firms do not leave the industry, the industry is said to be in equilibrium. In other

words, the industry is in equilibrium when the number of firms in the industry remains same. There is no increase or decrease in the number of firms.

The industry will be in equilibrium when all the firms in the industry are getting normal profits only. If there are abnormal profits new firms are attracted to the industry. When there are losses, some firms will be leaving the industry. Therefore, under perfect competition, the industry will be in equilibrium when for every firm MR , AR , MC and AC are equal and they are getting normal profits. When all the firms are in the long period equilibrium, the industry will be in equilibrium.

The statement that the industry will be in equilibrium when all the firms are making normal profits, is based on the assumption that all the firms have the same cost conditions. If there are differential cost conditions some firms may be making abnormal profits.

Distinguish between Equilibrium of the Firm under Perfect Competition.

Perfect competition differs from Monopoly or Imperfect competition.

- 1) Under perfect competition there will be large number of firms producing identical product and competing with each other. Since there are a large number of the firms, the market price does not change when a single firm increase its output or decreases output. But under Monopoly there is only one firm. Therefore, when it increases output price will fall and when it reduces output price will rise.
- 2) Under perfect competition firm can freely enter or leave the industry. But under monopoly new firms cannot enter the industry.

Therefore, equilibrium of a firm under monopoly or imperfect competition differs from that of perfect competition. The difference is shown in the figure 3.38 below

Figure 3.38 A

Figure 3.38 B

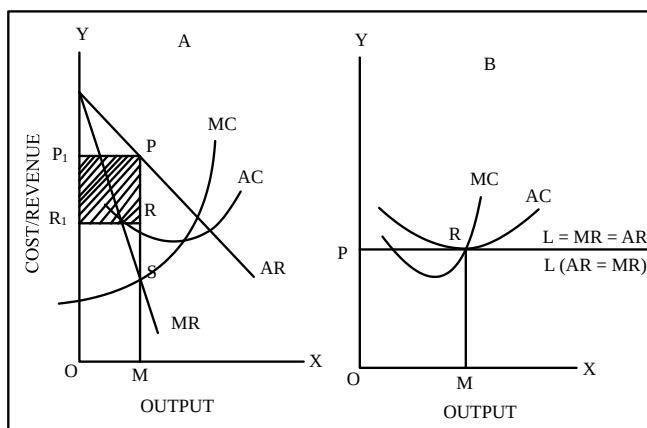


Figure 3.38 A above shows Monopoly or Imperfect competition Equilibrium. MC is the Marginal Cost curve and AC is the Average Cost curve. AR is the Average Revenue curve and MR is the Marginal Revenue curve. AR and MR slope downwards under Monopoly and Imperfect competition as the firm has to reduce the price to sell more. The firm stops output at OM because that output MC cuts MR at point S. Therefore at OM, $MC = MR$. He sells the output OM at price P on the demand curve, AR. AR is the demand curve also. At the output OM, the average cost is R on the AC curve. Price P is higher than average cost, L. Therefore $P_1 P R R_1$ (the shaded area) are the abnormal profits of the firm. Thus, the firm under Monopoly or Imperfect competition is in equilibrium getting abnormal profits. The aim of the firm under Monopoly and Imperfect competition is to reduce production and earn abnormal profits. Figure B shows the equilibrium of a firm under perfect competition. AC is the Average

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cost curve and MC is the Marginal cost curve. MR is the Marginal Revenue curve and AR is the Average Revenue curve. AR is equal to MR and they are the horizontal straight lines parallel to X-axis because the price does not change when a single firm under perfect competition increases its output. At point R, $MR = AR = MC = AC$. So optimum output is OM and price is OP. Therefore, the firm is getting normal profits. This is the long-run equilibrium of a firm under perfect competition. Abnormal profits or losses cannot exist in the long period under perfect competition.

Thus, Monopoly equilibrium differs from the equilibrium of a firm under perfect competition. 1) Both under monopoly and perfect competition, the firm stops output when $MC = MR$. This is the fundamental rule applicable to a firm, whether it is Monopoly. Imperfect competition or perfect competition. 2) Under Monopoly MR, AR will fall as the firm increases the output. But under perfect competition they remain same for any output because the output decisions of single firm do not change the price. 3) The aim of the monopolist is to get super-normal profits. At the output where $MC = MR$, price is not equal to AC. Price is higher than AC. Therefore, the firm gets abnormal profits. Under perfect competition there cannot be abnormal profits in the long-run. Price is equal both to MC and AC and the firm gets only normal profits. 4) The output under Monopoly will be less than the output under perfect competition. 5) When a monopoly firm reaches equilibrium, AC may be rising or falling. But under perfect competition, the firm reaches equilibrium only when AC is the lowest.

3.11 SUMMARY

A business firm exists for certain objects and goals. The primary purpose of a business firm is to produce and distribute goods and services to the society in which it exists. But a business firm can never have only one purpose or objective. Production is the result of co-operation of four factors of production viz., land, labour, capital and organization. This is evident from the fact that no single commodity can be produced without the help of any one of these four factors of production. Therefore, the producer combines all the four factors of production in a technical proportion. The aim of the producer is to maximise his profit. For this sake, he decides to maximise the production at minimum cost by means of the best combination of factors of production. The principle of marginal rate of technical substitution (MRTS or MRS) is based on the production function where two factors can be substituted in variable proportions in such a way as to produce a constant level of output. Law of Variable Proportions occupies an important place in economic theory. This law is also known as Law of Proportionality. Keeping other factors fixed, the law explains the production function with one factor variable. In the short run when output of a commodity is sought to be increased, the law of variable proportions comes into operation. Therefore, when the number of one factor is increased or decreased, while other factors are constant, the proportion between the factors is altered. As financial resources of a firm increases, it would like to increase its output. The output can only be increased if there is no increase in the cost of the factors. In other words, the level of total output of a firm increases with increases in its financial resources. By using different combinations of factors a firm can produce different levels of output. The optimum combinations of factors which will be used by the firm is known as Expansion Path. It is also called Scale-line. The basic objective of a firm is to maximize profit. Up-to a certain level of production the firm's total revenue may not be sufficient to cover its total cost of production. The firm will be interested to know the profit or loss areas of its operation. Break-even analysis is an analytical technique used to study the relationship between the total costs, total revenues and the

total profits. Break-even analysis helps to determine the probable profit at any level of production or the level of production at which the total revenue (TR) is equal to its total cost (TC). The break-even point is the point of sales at which there is neither profit nor loss. When TR exceeds TC the firm makes profit and when TC exceeds TR the firm incurs loss. It is that volume of output at which the price of the product (CR) covers the average variable cost (AVC) and average fixed cost (AFC) i.e., it is the output level at which $AR = AC$. If stated as an equation: Sales at break-even point = Fixed costs + Variable costs.

3.12 KEY WORDS

Production Function

Production is the result of co-operation of four factors of production viz., land, labour, capital and organization. This is evident from the fact that no single commodity can be produced without the help of any one of these four factors of production. Therefore, the producer combines all the four factors of production in a technical proportion. The aim of the producer is to maximise his profit. For this sake, he decides to maximise the production at minimum cost by means of the best combination of factors of production.

Substitutability

The factors of production or inputs are substitutes of one another which make it possible to vary the total output by changing the quantity of one or a few inputs, while the quantities of all other inputs are held constant. It is the substitutability of the factors of production that gives rise to the laws of variable proportions.

Complementary

The factors of production are also complementary to one another, that is, the two or more inputs are to be used together as nothing will be produced if the quantity of either of the inputs used in the production process is zero. The principles of returns to scale is another manifestation of complementary of inputs as it reveals that the quantity of all inputs are to be increased simultaneously in order to attain a higher scale of total output.

Specificity

It reveals that the inputs are specific to the production of a particular product. Machines and equipments, specialised workers and raw materials are a few examples of the specificity of factors of production. The specificity may not be complete as factors may be used for production of other commodities too. This reveals that in the production process none of the factors can be ignored and in some cases ignorance to even slightest extent is not possible if the factors are perfectly specific.

Marginal Rate of Technical Substitution (MRTS)

The principle of marginal rate of technical substitution (MRTS or MRS) is based on the production function where two factors can be substituted in variable proportions in such a way as to produce a constant level of output.

Law of Variable Proportions

Law of Variable Proportions occupies an important place in economic theory. This law is also known as Law of Proportionality. Keeping other factors fixed, the law explains the production function with one factor variable. In the short run when output of a commodity is sought to be increased, the law of variable proportions comes into

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operation. Therefore, when the number of one factor is increased or decreased, while other factors are constant, the proportion between the factors is altered.

Fixed Costs or Supplementary Cost

They are costs incurred on fixed factors. The amount of expenditure spent on the factors which are unalterable for relatively shorter period is called as fixed costs. These costs are incurred on fixed factors like land, building, equipments, plants, "superior type of labor etc. Fixed costs in the short run remain constant because the firm does not change its size and the amount of fixed factors employed.

Variable Costs or Prime Costs

The cost corresponding to variable factors are discussed as variable costs. These costs are incurred on raw materials, ordinary labor, transport power, fuel, etc, which directly vary in the short run. Variable costs are those which directly and proportionately increase or decrease with the level of output. According to Prof. Dooley, "variable costs are one which varies as the level of output varies". If a firm shuts down for some time in the short run; then it will not use the variable factors of production and will not therefore incur any variable costs. Variable costs are incurred only when some amount of output is produced and the total variable costs increases with increases in the level of production.

3.14 REVIEW QUESTIONS

1. What are the objectives and theories of the firm?
2. Difference between profit objective and social obligations.
3. Define production function? Explain the features of production function.
4. Explain the Cobb Douglas production function.
5. Explain the significance of Cobb-Douglas production function.
6. Discuss about the ISO Quant analysis.
7. Explain the law of variable proportions.
8. Describing the expansion path.
9. Explain the concept of revenue and costs.
10. Discuss about the cost function.
11. Explain the cost-output relationship in the short run and long run.
12. Discuss the Cost-output relationship and cost curves in the short-run
13. Explain relation between AC and MC.
14. Discuss about the production cost difference in the short run and long run.
15. Explain the equilibrium of the firm.
16. Discuss about the break even analysis.
17. What are the various types of business cycles?

UNIT 4

MARKET STRUCTURE

Structure

- 4.0 Aims and Objectives
- 4.1 Introduction
- 4.2 Market Forms
 - 4.2.1 Definition of Market
 - 4.2.2 Market Classifications
- 4.3 Perfect Market
- 4.4 Imperfect Markets
 - 4.4.1 Nature of Competition
 - 4.4.2 Types of Competition
- 4.5 Price And Output Determination, Under Perfect Competition
 - 4.5.1 Equilibrium of the Firm in the Short-run
 - 4.5.2 Equilibrium of the Industry in the Short-run
 - 4.5.3 Equilibrium of both the Firm and the Industry
 - 4.5.4 Optimum Firm
 - 4.5.5 Competitive Industry in Short-run
- 4.6 Monopoly
 - 4.6.1 Meaning of Monopoly
 - 4.6.2 Types of Monopoly
- 4.7 Price determination under monopoly
 - 4.7.1 Elasticity's of Monopoly
 - 4.7.2 Profit Positions in Monopoly
 - 4.7.3 Equilibrium position both in short-run and long-run under monopoly Short-run Monopoly Equilibrium
- 4.8 Price Discrimination
 - 4.8.1 The Consequences of Monopoly
 - 4.8.2 Control of Monopoly
- 4.9 Monopolistic Competition
 - 4.9.1 Equilibrium level of an Individual firm
 - 4.9.2 Equilibrium level of Industry and Group
- 4.10 Oligopoly (Kinked demand curve)
- 4.11 Summary
- 4.12 Keywords
- 4.13 Review Questions

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4.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Explain Perfect competition and price determination of a firm.
- Define monopoly and its features.
- Discuss about the monopolistic competition.
- Explain about the oligopoly.

4.1 INTRODUCTION

Market in economics, does not refer to any particular place or region. In ordinary language, market is identified as a particular place. Market refers to any area where buyers and sellers come in contact with each other either face to face or by using modern means of communication to transit business at a certain price at a given point of time.

The communications revolution has changed the face of modern markets. The e-marketing, e-commerce, e-payments, telemarketing, Internet marketing have added new dimensions to the functioning of modern markets. The modern market structure has a wider dimension.

4.2 MARKET FORMS

4.2.1 Definition of Market

According to Professor Jevons, market may be defined as “any body of persons who are in intimate business relations and can on extensive transactions in any commodity.”

Definitions: Professor Cournot “Economists understand by the term market not only particular market place in which things are bought and sold but the whole of any region in which buyers and sellers are in such free intercourse with, one another that the price of the same goods tend to equality easily and quickly.”

Professor Frederick Benham market is “any area over which buyers and sellers are in such close touch with one another, either directly or through dealers that the prices obtainable in one part of the market affect the prices paid in other parts”.

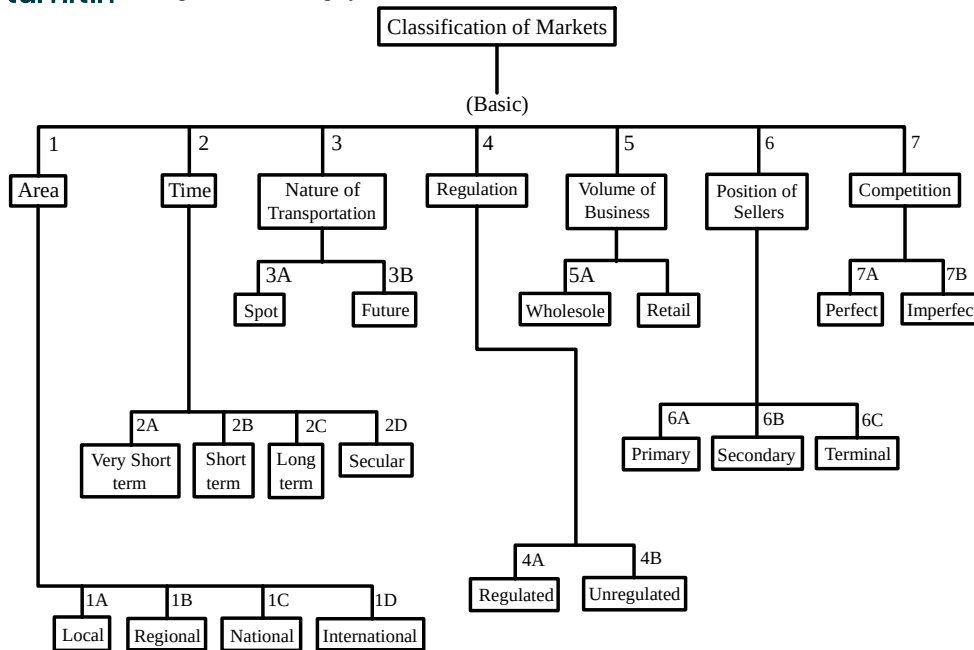
The existence of a market does not require face to face contact between the buyers and sellers. Buyers and sellers, in modern days, can come into contact with each other by using the modern days can come into contact with each other by using the modern means of transport and communications. Market, therefore, implies

- i) Presence of buyers and sellers;
- ii) Willingness and ability to buy and sell a commodity; and
- iii) Exchange of a commodity at a certain price at a given time.

4.2.2 Market Classifications

Markets may be classified in many ways. They may be classified on the basis of (i) Area, (ii) Time, (iii) Nature of Transactions, (iv) Regulation, (v) Volume of Business, (vi) Position of Sellers; and (vii) Competition. The classification of markets is shown in the chart.

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1. Markets on the Basis of Area

On the basis of geographical area covered, markets are classified into four broad categories, viz. (i) Local markets; (ii) Regional markets; (iii) National markets; and (iv) International markets. Markets for perishable commodities like vegetables, milk, fruits, fish, flower etc., are generally characterized as the local markets. Semi durable goods command a regional market. National markets exist for industrial and durable goods. The precious commodities like gold and silver are traded in the international market.

2. Markets on the Basis of Time

Professor Alfred Marshall has conceived four types of market on the basis of time: (1) Very short-period market (2) Short-period market (3) Long period market and (4) Secular market.

The fundamental feature of the very short-period market is that the supplies of a commodity are limited to the existing stock. It is not possible, rather difficult, to alter the supplies. The supply is more or less fixed. Market price prevails in this market.

In short-period market, supplies of a commodity are alterable subject to one condition that the plant and machinery remains unchanged. Any increase or decrease in the supply of a commodity has to be done with the existing plant and machinery. The price that exists in this market is known as short run normal price.

Long-period market implies that the time available for altering the supplies is so much that all factors, including the fixed factors, may be varied or adjusted so as to bring about changes in the supply of output.

Secular market is one when secular movements are recorded in certain factors over a period of time. The period is too long, these factors include the size of population, supplies of raw-materials, capital supply etc.

3. Markets and the Nature of Transactions

Markets are classified into Spot and Future markets on the basis of the nature of transactions. Spot markets refer to those markets where goods are physically transacted on the spot, whereas Future markets relate to those transactions which

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involve contracts of a future date. In other words, the classification is based on spot and future transactions.

4. Markets on the Basis of Regulation

On the basis of regulation, markets may be divided into Regulated and Unregulated markets. Regulated markets are those in which transactions are statutorily regulated so as to put an end to unfair practices. Such markets may be established for specific products or a group of related or unrelated products. Produce and stock exchanges are suitable examples of the regulated markets. Unregulated or free markets are those where there are no such restrictions on the transactions. Transactions are not statutorily regulated.

5. Markets and the Volume of Business

Markets are classified as the wholesale and the retail markets on the basis of the volume of business. The wholesale market comes into existence when the commodities are bought and sold in bulk or large quantities. The dealers in this market are known as the wholesalers. The wholesaler acts as an intermediary between the producer and the retailer. Wholesaling is an important channel of distributing the goods in the market. Retail market, on the other hand, exists when the commodities are bought and sold in small quantities. This is the market for the ultimate consumers.

6. Markets on the Basis of the Position of Sellers

The position of sellers divides the market into Primary, Secondary and the Terminal market. Manufacturers of commodities constitute the primary market who sells the products to the wholesalers. The secondary market consists of wholesalers who sell the products in bulk to the retailers. Retailers alone constitute the terminal markets who sell the products to the ultimate consumers.

7. Markets and the Competition

On the basis of competition, markets are classified into two broad categories they are (1) the Perfect competition and (2) the Imperfect competition.

4.3 PERFECT MARKET

In economics, a perfect market is defined by several conditions, collectively called perfect competition. Among these conditions are

- Perfect market information
- No participant with market power to set prices
- No barriers to entry or exit
- Equal access to production technology

The mathematical theory is called general equilibrium theory. On the assumption of Perfect Competition, and some technical assumptions about the shapes of supply and demand curves, it is possible to prove that a market will reach an equilibrium in which supply for every product or service, including labor, equals demand at the current price. This equilibrium will be a Pareto optimum, meaning that nobody can be made better off by exchange without making someone else worse off.

Share and foreign exchange markets are commonly said to be the most similar to the perfect market. The real estate market is an example of a very imperfect market. Note that the conditions for Perfect Competition mean that a perfect market cannot be

unregulated, since these preconditions for market function cannot at the same time be products of the market, yet must be provided somehow.

Another characteristics of a Perfect Market is normal profits, just enough to induce enough participants to stay in the market to satisfy customer demand. The least efficient producer may have very small profits, and be unable, for example, to pay dividends to shareholders, while more efficient producers have larger profits.

This attribute of perfect markets has profound political and economic implications, as many participants assume or are taught that the purpose of the market is to enable participants to maximize profits. The purpose of the market is to efficiently allocate resources and to maximize the welfare of consumers and producers alike. The market therefore regards excess profits, or economic rents, as a signal of inefficiency, that is of market failure, which is to say, not achieving a Pareto optimum.

4.4 IMPERFECT MARKETS

The market which exhibits the characteristics such as market concentration or product differentiation or restrictions on the entry into the market is called imperfect markets are found in the following three forms

- i) **Monopoly Market:** Mono means single and poly means seller, so monopoly refers to the market where one firm has a control over the entire production.
- ii) **Monopolistic Competition:** It refers to that market situation where large number of firms competes with each other on the basis of brand names.
- iii) **Oligopoly:** Oligo means few and poly means seller, so oligopoly market refers to competition among few firms. If only two firms control the market, such market is called "Duopoly".
- iv) **Duopoly:** If refers to a market structure where there will be two sellers and many buyers. E.g: Coca Cola and Pepsi.
- v) **Monopsony:** If refers to a market structure where there will be many sellers but only a single buyer.
- vi) **Duopsony:** It refers to a market structure where there will be two buyers and many sellers.
- vii) **Oligopsony:** It refers to a market structure where will be few buyers and many sellers.

4.4.1 Nature of Competition

Competition in business or trade implies the presence of more than one seller and one buyer in a particular market in a competitive market, each seller acts independently of other sellers and each buyer also acts independently of other buyers. Competition thus involves more than one buyer and one seller.

It is incompatible with those conditions of market where there is either only one buyer or only one seller. The presence of more than one buyer and one seller is a necessary precondition for the existence of competition.

A competitive system, according to Professor Paul A. Samuelson, is an elaborate mechanism for unconscious co-ordination through a system of prices and market. It is a communication device which together the knowledge and action of millions of diverse individuals.

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Many of the decisions taken at the firm level are competitive in nature. To attain effectiveness in the process of decision-making, it becomes essential to acquaint ourselves with the types of competition in general and structure of; competition in particular. The phrase competitive structure refers to the nature and extent of the monopolistic elements, if any, that are present in any particular market situation.

In practice, competition refers to different types of competition such as Perfect competition, pure competition, Imperfect competition, Monopolistic competition, Price competition, Quality competition, Selling or Advertising competition, Non-price competition, Discriminatory competition, Unfair competition, fair competition, Oligopolistic competition, and so on. Hence, for better understanding, it is necessary for us to know the different types of competition.

4.4.2 Types of Competition

Market, in economics, does not refer to any particular place or region. In the ordinary language, market is identified with a particular place. Market refers to any area where buyers and sellers come in contact with each other either face to face or by using modern means of communication to transit business at a certain price at a given point of time.

Competition in business or trade implies the presence of more than one seller and one buyer in a particular market in a competitive market, each seller acts independently of other sellers and each buyer also acts independently of other buyers. Competition thus involves more than one buyer and one seller. Types of competition are as follows:

A. Perfect Competition

Economists have broadly classified the market structure on the basis of competition into two categories, viz. the Perfect competition and the Imperfect competition. Perfect competition exists when following requirements are met

1. **Many Firms and Numerous Buyers.** There must be a large number of firms and many buyers in the market to make it perfectly competitive. Each of the firm controls a very small proportion of the total output so that its addition or removal from the market does not carry any effect or little effect on the market price. Similarly, the actions of individual buyers do not affect the market structure as a whole. The number of buyers and sellers is so large and the share of each one of them is so small that they have negligible impact and influence on the market price.
2. **Identical Product.** All firms must produce identical products. Each firm produces the product which cannot be differentiated from the products of the other firms. There exists neither imaginary nor real difference between the products sold by two different firms.
3. **Freedom of Entry and Exit.** There are no artificial hindrances created either for the entry or the exit of the firm. Buyers and sellers are free to enter, produce, sell and buy or leave the industry any time they desire.
4. **Independent Decision-making.** There are no restrictions or limitations on the independence of seller or buyer either though deliberate and purposive contract, collusion or the imposition of public control.

5. **Perfect Knowledge.** Buyers and sellers have perfect knowledge about the market conditions. None of them is ignorant about the market for the commodity.
6. **Single Price.** Since the product sold in this market is homogeneous and competition is perfect, the product is sold at the same price. There prevails only one price under perfect competition and it is determined by the demand for and the supply of the product in question.
7. **Mobility of Capital.** Capital moves freely from one product to another and from one firm to another. There is complete mobility of capital and other relevant factors of production.
8. **Continuous Trading.** The commodity or product is bought and sold in the market which is properly organized and in which trading is continuous. Buyers and sellers are completely aware regarding the fact that every unit is bought and sold at the same price at any particular point of time.
9. **Indifference.** There is no preference for the buyer to buy from a particular seller and the seller to sell to a particular buyer. There exists indifference because of perfect knowledge, identical product and the same price.
10. **No Transport Costs.** According to the classical economists, who first evolved this concept of perfect competition, the transport costs can be conveniently ignored. Buyers and sellers are so intimate to each other that there is no need to incur any additional transport costs. Hence, they make the assumption of no transport costs.

Perfect competition so defined seldom exists in actual practice or reality. It is only a theoretical concept conceived understands the varying degrees of imperfect competition. Hence, the concept of perfect competition is highly impractical and totally unrealistic in the modern context.

B. Pure Competition

The terms Perfect Competition and Pure Competition are many a time used synonymously. But in economic literature we draw a line of distinction between the two. Pure competition exists when the following conditions are satisfied

- i) Large number of buyers and sellers;
- ii) Identical product; and
- iii) Free entry and exit.

The concept of pure competition is devised to reflect realistic situation that prevails in certain types of markets. For example, this situation exists in the market for perishable consumer goods. There is likelihood of some imperfection as regards the flow of information about supply and demand, disturbance in capital movement and some constraints on the independent action of the buyer and seller. Excepting these imperfections, all other conditions of perfect competition are present in 'Pure Competition'. Professor Edward Hastings Chamberlin contends that Pure Competition is much simpler and less exclusive concept than Perfect Competition.

C. Imperfect Competition

Mrs. Joan Robinson has developed the concept of imperfect competition. According to her, in the present world market structures are neither perfectly competitive nor entirely

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monopolistic in nature. Market structures are imperfectly competitive. There are numerous factors which make the competition imperfect.

Important among them are inertia and ignorance, cost of transport, location, quality competition, differences in facilities provided, attention paid to individual wants, advertisement and salesmanship. Sellers in such a market may follow secret and individual output and price policy so as to reap the maximum benefit. An important feature of imperfect competition is that the non-price competition plays a significant role under imperfect competition.

D. Monopoly

Pure monopoly is the outcome of imperfections in market competition. It is said to exist when the firm is the sole producer of some commodity for which there are no close substitutes. He is the only producer of a commodity in question in the market and as such exercises a complete control over the supply and price so as to earn supernormal profits.

A pure monopolist faces no imminent threat of competitors. It is a market structure characterised by the absence of competition. Monopolist thus emerges when he becomes the sole producer of a particular product Pure monopoly rarely exists in practice.

- a. **Discriminating Monopoly:** Discriminating monopoly is a market condition where a monopolist practices the policy of price discrimination. Price discrimination implies charging of different prices to different customers for the same commodity. When a firm enjoys monopoly privileges and practices price discrimination, it is called the Discriminating Monopoly.
- b. **Duopoly:** Duopoly exists in the market when there are only two firms exercising control over the supply of commodities. It is a two-firm industry. This is a special case of oligopoly.
- c. **Bilateral Monopoly:** Bilateral monopoly exists when there is only one seller and one buyer in the market. This market structure prevails when a single purchaser without competitors buys from a monopolist seller. Labor market provides the suitable example of bilateral monopoly.

d. Monopsony, Duopsony and Oligopsony

Monopsony is a market structure characterized by the presence of many sellers but a single buyer. It is a buyer's monopoly. Duopsony exists when there are two buyers and many sellers. And when there are a few buyers and many sellers, we call it as Oligopsony.

E. Monopolistic Competition

Professor Edward Hastings Chamberlin of Harvard University is considered to be the main architect and builder of the theory of monopolistic competition. According to him, the modern market structure is characterized by the presence of rival monopolists competing with each other with their prices, products and advertising campaigns. Every producer is a sort of monopolist and between such monopolist-producers there is competition. Hence, modern market structure consists of both the elements-Monopoly

and Competition. Since modern markets combine both monopoly and competition they are called Monopolistically Competitive markets.

Monopolistic competition, in other words, is a combination of both monopoly and competition. The firms under monopolistic competition produce commodities or products which are similar to one another but not identical or homogeneous. Though products are similar in many respects, they are slightly differentiated or distinguished from each other.

According to left monopolistic competition is a market structure where there are many sellers of a particular product and the product of each seller is in some way differentiated in the minds of consumers from the product of every other seller. Product differentiation is thus distinguishing feature of the monopolistic competition.

Since the products are differentiated from each other by the firms under monopolistic competition, it becomes necessary for them to make efforts selling the product. Consumers do not treat them as separate products, but at the same time cannot remain indifferent as regards the choice of the product. This calls for special selling efforts on the part of the firms under monopolistic competition.

This involves some cost such costs are known as the selling costs. Selling costs, therefore, constitute another distinguishing feature of the monopolistic competition. Product differentiation and selling costs are thus two main pillars of the monopolistic competition.

F. Oligopoly

Oligopoly is an important form of imperfect competition. It is a market structure characterised by the presence of a small number of large firms producing the bulk of output in the market. Oligopoly exists when there are two or more than two, but not many sellers, of a product in the market. It is essentially a competition among the few.

Though there is no hard and fast rule regarding the exact number of firms constituting oligopoly, it is generally said to exist when the number of sellers of the product is between two and ten. Oligopoly may be of two kinds: (i) Pure Oligopoly and (ii) Differentiated Oligopoly.

Pure oligopoly exists when there are a few sellers with homogeneous or identical products in the market Steel, cement, aluminum are the instances of Pure Oligopoly. Differentiated oligopoly is said to exist when the products are differentiated from one another and they act as close substitutes to each other, e.g. cigarettes, automobiles etc.

Difference between various types of Competitions: Perfectly competitive market is characterised by the following elements: First, there must be a larger number of buyers and sellers in the market so that no single producer or consumer shall be able to influence the market price by his individual actions. For instance, when there are a large number of farmers supplying food grains, no single farmer by his own actions-either by increasing or decreasing the supply of food grains-can produces any violent change in the price and also in the total supply of food grains. Similarly, a consumer by increasing or decreasing his individual demand cannot influence the total demand as well as the price of the commodity in the market.

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Market Structures Based on Competition

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	Perfect Competition	Monopoly	Monopolistic Competition	Oligopoly
1.	Many firms and numerous buyers	Single firm and many buyers	Large number of firms and large number of buyers	Few sellers and many buyers
2.	Presence of competition	Absence of competition	Competition amongst monopolists	Competition among the few
3.	Identical product	No close substitute	Similar but not identical products	Similar/identical products
4.	Freedom of entry/exit	Entry debarred	Freedom of entry/exit	Blocked entry/threat to entry
5.	Demand is perfectly elastic	Demand is inelastic	Demand is highly elastic	Indefinite demand.
6.	Independent decision making	Total freedom decision making	Independent decision making	Interdependence in decision making
7.	Perfect knowledge	Imperfect knowledge	Imperfect knowledge	Imperfect knowledge
8.	Price-taker firms	Price maker firm	Competitive prices	Competitive prices
9.	No selling costs incurred	No need to incur SC	Selling costs important	SC more important
10.	No selling costs incurred	No Need to incur SC	Selling costs important	SC more important
11.	Single price,	Price discrimination	Discrimination possible	Discrimination possible
12.	Equilibrium with rising MC	Equilibrium with rising, falling and constant MC	Equilibrium when $MR = MC$	Equilibrium with kinky demand curve
13.	Mass behaviour	Individual behavior	Individual and mass behavior	Group behavior
14.	Unrealistic market structure	Realistic in nature	Exists in practice	Presently existing

Secondly, all units of the commodity are homogeneous having the same features. Neither real nor imaginary differences exist between the two units of a commodity. It is only when buyers agree that two producers are making exactly the same good that their prices will be the same. When buyers find either real or imaginary differences between the two products, their prices are bound to differ. Since there prevails only one price under perfect competition, the products produced by various firms must be homogeneous in all respects.

Thirdly, there is freedom of entry and exit in the market both for the buyers and sellers. No restriction is being placed either by the government or any other institution to enter or to leave the market.

Fourthly, buyers and sellers possess perfect knowledge as regards the market conditions. They are always aware and alert of the price changes in the market.

Fifthly, there is complete mobility of the factors of production.

Lastly, such an intimate relationship exists between the buyers and the sellers that transport costs may be conveniently ignored. A commodity may be transported from place to place and market to market without incurring any cost of transport. It means that there are no transport costs under perfect competition.

4.5 PRICE AND OUTPUT DETERMINATION, UNDER PERFECT COMPETITION

The price or value of a commodity, under perfect competition, is determined by the demand for and supply of a commodity. Let us construct hypothetical demand and supply schedules to show how the price gets determined by these two forces

Price (Rs.)	Quantity Demanded (Units)	Quantity Supplied (Units)
1	50	10
2	40	20
3	30	30
4	0	40
5	10	50

The above schedule explains the fact that as price goes on increasing demand goes on contracting. In case of supply, lower price leads to contraction of supply. When the price of the commodity is Rs.3 per unit, the quantity demanded is equal to the quantity supplied, i.e., 30 units. At this price, suppliers are ready to offer exactly the same amount which is demanded in the market. It is only at this price (i.e., Rs. three) that demand is equal to supply. Therefore, it is the only price which can prevail under conditions of perfect competition. This price is called the “equilibrium price”.

Now it is possible for us by drawing the demand and the supply curves to show that under conditions of perfect competition price is determined by demand and supply.

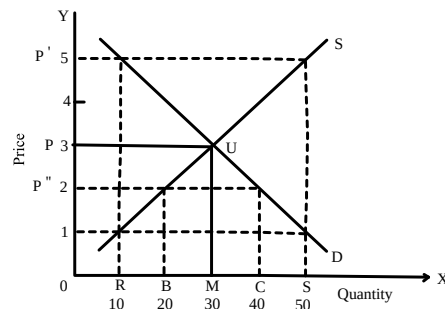


Figure : 4.1

Along OX-axis we measure the quantity of the commodity demanded and supplied. The vertical axis measures the price per unit. D is the demand curve and S is the supply curve of the commodity. These two curves intersect at point U. This point shows that demand is equal to supply. The equilibrium price OP and the quantity demanded and supplied is OM.

At a higher price OP' the quantity demanded OR is lesser than the quantity supplied OS. As the supply is greater than the demand, the price will fall to OP. At a lower price OP'' the quantity demanded OC is greater than the quantity supplied OB. In this case, as the demand is greater than the supply, the price will increase to OP.

OP is the only price at which the quantity demanded is equal to the quantity supplied and therefore it alone can be called the equilibrium price. The assumptions of perfect competition like large number of buyers and sellers, homogeneous commodity, perfect knowledge etc., is such that only one price prevails in the market.

Under conditions of perfect competition, in the long run, price tends to equal cost of production (including normal profits). If the price is greater than the cost of production,

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output will expand until price is equal to cost of production. Output will expand as the existing producers can produce more and new firms can enter into production. If the price is less than the cost of production, output will contract as the existing firm may reduce output and some of the firms may go out from the production of the commodity.

Time Element in the Theory of Pricing

Even though the price under conditions of perfect competition is determined by demand and supply, their relative influence on the price depends upon the time period. For this purpose, Marshall has conceived four times periods

- 1) Very short or market period
- 2) Short period
- 3) Long period
- 4) Very long or secular period

1) Very short or Market Period

Very short period is defined as one in which the supply is more or less fixed. It is a period of a day or a few days. The fundamental feature of this period is that it will be so short that supplies of the commodity in question will be limited to the existing stocks. It generally exists for perishable commodities like fish, milk, vegetables etc. Supply being given, the change in demand influences the price. The equilibrium between demand and supply established under this period is purely a temporary phenomenon. This period is also known as the market period. The price which prevails in this period, when supply does not have sufficient time to alter, is called the market price. Market price is a temporary one and subject to fluctuations. The market period equilibrium may be shown with the help of figure 4.2.

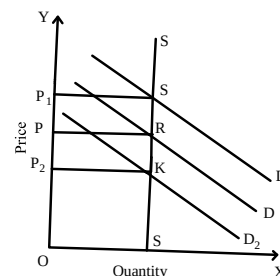


Figure :4. 2

SS is the supply curve showing the fixed supply of fish for a day. The supply is completely inelastic because the period is so short that the supply of the commodity cannot be altered. D_1 is the demand curve and OP_1 is the price determined by the demand for and supply of the commodity.

When the demand for fish increases, there will be a shift in the demand curve to and the price will increase or and when the demand decreases, there will be a downward shift in the demand curve D_2 and the price determined OP_2 .

Given the supply, it is the change in the demand that influence the price. The price which prevails in the very short run when supply does not have sufficed change is called market price. The price prevails in the market temporarily. The market period supply curve will not be a vertical straight line throughout its length in case of durable goods. In case of such goods, two points of prices can be noted.

In the first instance, there will be a minimum price at which sellers will not be prepared to sell at all. On the other hand, they would like to hold back the stock of the commodity. This price is known as reserve price. Secondly, there will be a price

sufficiently high at which the sellers will be prepared to supply the whole stock of the commodity. The market price determination of durable and non-perishable commodities is shown in figure 4.2.

In Figure 4.3, SMS' is the market period supply curve of durable goods. OS is the reserve price and RM is the maximum the demand is represented by d curve, the price determined is $F'N'$. When the demand shifts to d' curve, the market price $F''N''$. Further increase in demand shifts the demand curve to d'' and the maximum price RM prevails in the market.

Up to this point, supply increases with the increase in demand. Once the maximum limit of supply is reached, any further increase in demand results only in price rise. For instance, when the demand curve shifts to d'' showing an increase in demand, the price rises to $F'''R$ but there will be no increase in supply. The price determined in the very short period is called market price.

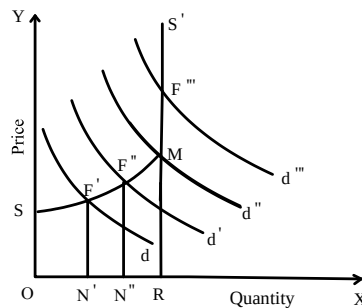


Figure : 4.3

2) Short Period

According to Marshall, short period is one during which supplies of a commodity can be changed by increases or decreases in the current output without changing the existing plant and machinery. This period is long enough to allow only variable factors of production to be increased. An increase in the supply can be realized by having additional shifts or by using the existing equipment more intensively.

Similarly, decreases in the supply can be realized by reducing the number of shifts or by working capital less hard. In the short-run, the firms can employ more of the variable factors of production to the fixed factors of production and therefore greater supply will come forth only at higher marginal costs. During this period, new firms cannot enter the industry as the construction of factory requires long period.

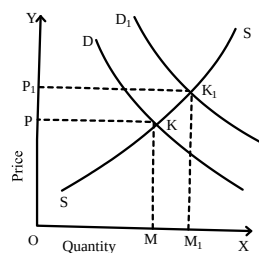


Figure : 4.4

In figure 4.4, the supply curve for the short-run is shown by 'S' curve. Output can be altered with same plant and machinery. Therefore, there would be no change in the supply curve. Change in output would take price along the same supply curve. But demand can change. As the demand changes, supply gets adjusted. But more will be supplied at a higher price as the increased output will be produced at a higher cost due to increase in the variable cost. This is shown by a shift in the demand curve from D to D_1 . Initially, output is OM and price determined is OP at point K where demand equals

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supply. With an upward shift in the demand curve, equilibrium position is shifted to Kr . The supply of output increases to OM_1 and price gets determined at OP_1 . The price determined in the short period is called the 'Short Run Normal Price'.

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3) Long Period

Long period is defined as that period during which supply has enough time to adjust itself to any change in demand. It is the time period during which all factors of inputs are variable. Therefore, in the long-run most of the costs become variable costs and a few costs remain as fixed costs. As all costs are variable in the long run, the scale of production may also undergo a change during this period. Hence, long-run costs are subject to the Laws of Returns to scale. Therefore, the supply curve in the long-run may be rising, constant or falling. The price in the long-run is determined depending upon the nature of the supply curve.

4.5.1 Equilibrium of the Firm in the Short-run

A firm, under perfect competition, reaches its equilibrium position in the short-run when it earns maximum profits. The maximum profits are earned by the firm when marginal cost is equal to marginal revenue [$MR = MC$]. Under perfect competition, marginal revenue is always equal to price. It means the firm maximizes its revenue by fixing the output at the point where the marginal cost is equal to the price. The firm, under perfect competition, has to adjust its output to the prevailing price in order to get maximum profits. When the marginal cost is not equal to the price, it is either less than the price or more than the price. When the marginal cost is less than the price, the firm will stand to gain by expanding output.

In case marginal cost is more than the price, the firm should reduce the output. When this is not done, the firm should abandon production. The firm should accept the prevailing price and alter its output accordingly to the short-run equilibrium of the firm under perfect competition is shown by the figure 4.5. OP is the price determined in the market by the demand and supply forces. This price the firm has to accept as given as under perfect competition an individual firm is just an insignificant part of the market.

Naturally, the average revenue curve under perfect competition is a straight line parallel to OX and average revenue is equal to marginal revenue. AC and MC are the average and marginal cost curves of the firm respectively. The firm under conditions of perfect competition in the short-run comes to an equilibrium at point A where $MR = MC$. The profits of the firm per unit are shown by the difference between the average revenue and the average cost [AB]. It must be noted here $MR = MC$, in the below diagram (figure 4.5). At two points R and A . But the point R is the point of minimum costs and not that of maximum profits. Only at point A the firm is earning maximum profits. This is because there is one more condition for the firm to attain equilibrium and i.e. at the point of equilibrium the marginal cost curve must cut the marginal revenue curve from below.

In the above diagram (figure 4.5), the firm is earning super normal profits in the short-run. There is every possibility (and the diagram can be rebuilt accordingly) that the firm may be incurring losses. If there are losses in the short-run, the firm tries to reduce them to the minimum. Instead of completely closing the factory and losing complete fixed costs, the firm may continue production if it can cover variable cost of production.

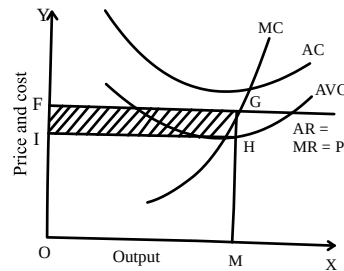


Figure : 4.5

In the diagram, the firm is not in position to cover the full average cost of production. It has to, as a result, face losses. But it tries to minimise losses. It continues to produce if it can cover the variable cost of production. In figure 4.5, the firm comes to an equilibrium at point G where $MR = MC$ and produces the output of OM. By producing an output OM, it gets a surplus of FGHI over the variable cost of production. The area FGHI is described as net revenue by Donald Stevenson Watson. The main objective of the firm in the short-run is to maximize the net revenue. If the firm instead stops production, the losses will be equal to the fixed cost of production.

To conclude in Watson's words. "If, therefore, price is marginal cost equal to price gives net revenue that reduces loss to a minimum. Thus, the short-run output of the firm under perfect competition is determined by the marginal cost curve above the average variable cost curve. The marginal cost curve above the average variable cost curve is the supply curve of the firm in the short-run and the sum of the supply curves of the firms is the supply curve of the industry. The supply curves of both the firm and the industry are shown in figure 4.6 (A) and 4.6 (B).

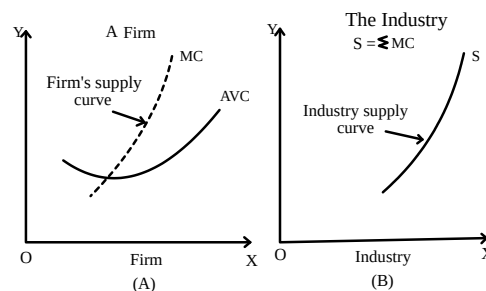


Figure : 4.6

Figure 4.6 (A) shows the marginal cost curve of the firm above a range variable cost curve. This is the supply curve of the firm. The summing of the individual firms' supply curves yields the industry's supply curve. Let us suppose that in the market there are 'n' number of identical firms. The market supply then will be equal to 'n' times the quantity offered for sale by an individual firm. The S curve in figure 4.6 (B) shows the supply curve of the industry.

Long-run Equilibrium of the Firm: Long-period is a time period in which not only variable factors of production but also fixed factors of production can be changed. New firms can also enter into the production of the commodity. Supply has got enough time to adjust itself to the changing demand conditions.

In the long-run, the average revenue of the firm must be equal to its average cost of production. In case average revenue is greater than the average cost of production, the firm is earning supernormal profits. When there are supernormal profits, new firms will enter into the industry, the output of the industry will expand and consequently price

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will fall. The entry of the new firms will continue until all the firms are earning normal profits. If there are losses in the short-run, the process is reversed in the long-run, some of the firms will leave the industry. This will result in reduction in the output and the rise in the price. This process will continue until all firms are earning normal profits.

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The long-run equilibrium of the firm under perfect competition is shown in figure 4.7. At output OM. $MR = MC$. At the same point of equilibrium $AR = AC$. Under conditions of perfect competition, $AR = MR$. Therefore, under conditions of perfect competition in the long run, $AR = MR = MC = AC$. At the equilibrium point in the long run, the average cost curve is tangent to the average revenue curve. Since average revenue curve is a horizontal straight line and AC curve is U-shaped, the point of tangency can be only at the lowest point on the average cost curve. It means in the long-run under conditions of perfect competition, the firm becomes an optimum firm, that is, it produces at the lowest possible average cost of production.

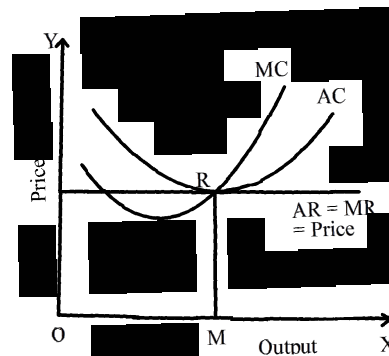


Figure : 4.7

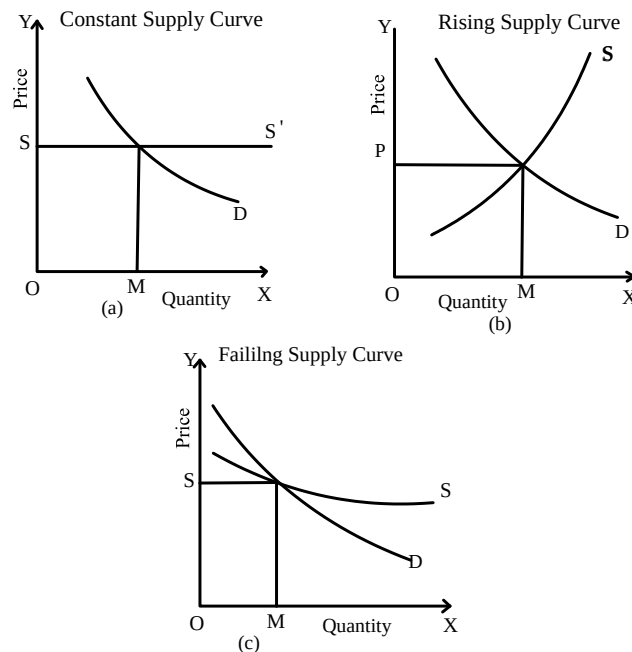


Figure 4.8

The price that prevails in the long period is known as the “Long-Run Normal Price.”

4.5.2 Equilibrium of the Industry in the Short-run

In the short-period, supply can be expanded by the existing firm's with-out changing their machinery and equipment. The firms can employ more of the variable factors of production to the fixed factors of production which means greater supply can come

forth only at a higher price. Short-period being not long enough to enable the new firms to enter the industry, supply has more influence on price than in the very short-period.

The supply curve of an industry in the short-run is the summation of the marginal cost curves of the firms. This is because the output produced at each level of prices corresponds to the point of equality between the price and the marginal cost. The short-run supply curve of an industry, therefore, is a curve moving upwards like SS as shown in figure 4.9.

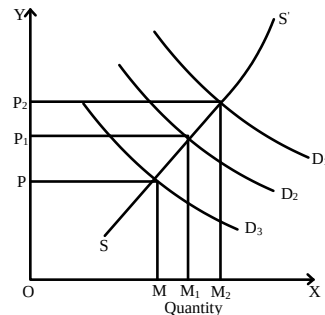


Figure :4.9

In this figure, SS' is the supply curve of an industry in the short-run and D is the demand curve. The price determined is OP. When the demand increases to D₃ the price determined is OP which shows increased supply at a higher price. In case demand increases still further to D₂, the price determined is OP₂ which emphasizes the same fact in the short-run, increased supply comes forth at a higher price. The price which is determined in the short-run is called the short-run normal price.

In the short-run, firms may earn super normal profits or suffer losses and therefore the short-run equilibrium of the industry is compatible with excess profits' or minimum losses.

Equilibrium of the Industry in the Long Run

In the long-run, all factors of production are variable. The firm can adjust itself to the new capital and machinery and as such the scale of operation may also undergo a change. Therefore, the long-run industry is subject to the laws of returns to scale. When there are external economies, the average cost of the firm shifts downwards.

With the result, the industry will have a downward sloping supply curve. If there are diseconomies of scale, the average cost curve of the firm shifts upwards and the industry will have a rising supply curve.

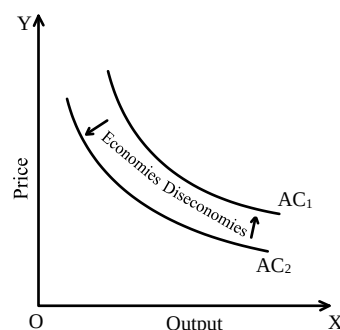


Figure : 4.10

Whenever there are external economies, the AC curve will drop from AC₁ to AC₂ (Figure 4.10). If there are diseconomies, the position is reversed and the AC curve rises from AC₂ to AC₁. There will not be any change in the average cost of production, when there are neither external economies nor diseconomies of scale; or both of them balance

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each other. As a consequence, the long-run supply curve of an industry may be rising, falling or constant.

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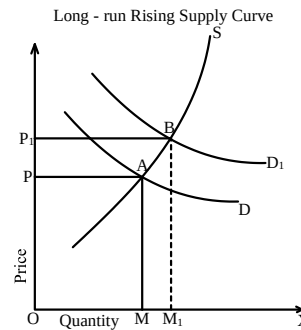


Figure : 4.11

Increasing Cost Industry

Figure 4.11. depicts a situation where there is rising supply curve. More is produced at higher cost due to diseconomies of scale. When demand increases supply gets itself adjusted to a price which is higher than before. Initial demand is shown by D which intersects the rising supply curve of the industry at point A . At this point, output sold is OM at OP price. But when demand increases, the demand curve shifts upwards from D to D_1 . It intersects the supply curve at B . The output gets itself adjusted to the increased demand which is shown by OM_1 and the price also rises from OP and OP_1 .

Figure 4.12 indicates constant supply curve. Neither there are external economies of scale; nor diseconomies or both balances against each other. Since the industry is subject to constant returns to scale, despite change in the demand price remains the same. SS_1 is the constant supply curve, D is the initial demand. When demands increases, the demand curve shifts upwards from D to D_1 . The output supplied also increases from CM to OM_1 . However the price remains constant as OS .

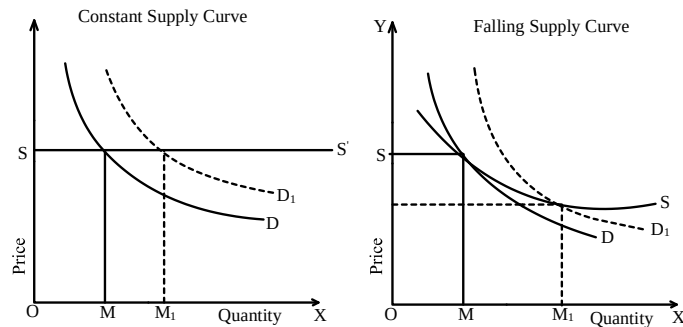


Figure 4.12 : Constant Cost Industry Figure 4.13: Decreasing Cost Industry

Figure 4.13 shows the situation where there is falling supply curve. As the industry experiences external economies, more output is produced at a lower cost. Therefore, with an increase in the demand, quantity supplied also increases and the price gets determined at a lower level than before. S is the falling supply curve. Initial demand is indicated by D . When demand increases, the demand curve gets shifted to D_1 . Quantity supplied increases from OM to OM_1 , and price comes down from OP to OP_1 .

Thus, the equilibrium of the industry in the long-run, under conditions of perfect competition, is explained with the help of rising, falling or constant supply curves. The price which is determined in the long-run is called the long-run normal price.

Secular or very long Period: The secular period is defined as the period during which changes take place even in the factors of production. Demand for commodities may

also change due to changes in habits and tastes of people. It is a period during which the size of population, supplies of raw-materials, general conditions of capital supply and such other factors would have enough time to alter. Marshall describes variation in value brought about by such changes as secular changes in value. The very long-period according to Marshall is essentially a historical situation.

4.5.3 Equilibrium of both the Firm and the Industry

So far we have seen separately the equilibrium of both the firm and the industry. The firm under conditions of perfect competition is just an insignificant part of the market. It has to accept the market price as given and adjust its output to the given price. An individual firm through its action cannot influence the price. The industry consists of many producers and consumers. The producers are the suppliers and the consumers are the people who demand the product. The price of the commodity is determined by the demand for and the supply of the commodity. The price and product adjustment of both the firm and the industry is shown with the help of the following short-run demand and supply curves.

Short-run: Figure 4.14, the industry attains equilibrium at point P the point where the demand for the commodity is equal to the supply of the commodity. The price determined is PM. The same price is accepted as average revenue curve by the firm and it adjusts its output according to its marginal cost. The firm comes to equilibrium at point Q and the difference between average revenue curve and average cost curve multiplied by the units of output shows the short-run profits earned by the firm.

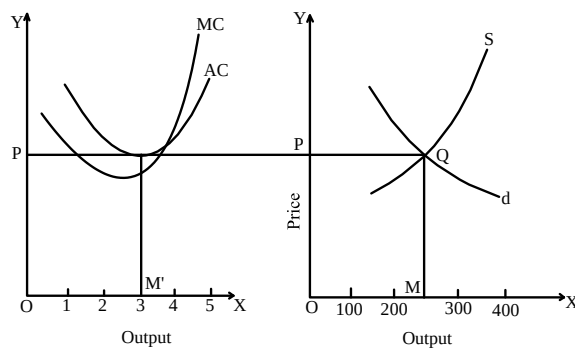


Figure : 4.14

The diagrams of both the firm and the industry indicate as if there is not much difference as far as output is concerned. This not true as under conditions of perfect competition an individual firm is just an insignificant part of the market. As such, two different scales are employed to measure the output of the firm and the industry. When the output of the firm is reduced to the scale of the output of the industry, the output of the firm just looks to be an insignificant part of the output of the industry.

Long-run: In the long-run, the firms have enough time to adjust their plant and machinery. The industry may also operate under different laws of returns. The equilibrium of both the firm and the industry, in the long-run.

The industry attains equilibrium at the point where demand is equal to supply, i.e., at the point Q. The price determined is OP which is accepted by the firm as the average revenue curve. In the long-run, the firm under conditions of perfect competition attains equilibrium at the point where not only $MR = MC$ but also where $AR = AC$, i.e., all the firms in the industry will be earning only normal profits. As in case of the diagrams of the short-run, here also different scales are used to represent the output of the firm and the industry. Under conditions of perfect competition, an individual firm is just an insignificant part of the market.

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4.5.4 Optimum Firm

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An optimum firm is the one which has reached the best or most efficient size and at which its costs of production per unit are at a minimum. At a certain size, the costs of production of a firm per unit of output will be at a minimum. At this size there will be no motive for further expansion or contraction of the firm. This is so because at any other size the firm will be less efficient. Therefore, the firm which is able to produce at the minimum average cost of production with the existing conditions of technique and organizing ability, is called the 'optimum firm'.

According to E.A.G. Robinson the optimum firm is one which, in existing conditions of technique and organizing ability, has the lowest average cost of production per unit when all those costs which must be covered in the long-run are included. In other words, the optimum size is the best or the most efficient size of the firm. This size of the firm is attained when it produces at the minimum average cost of production per unit of output.

The optimum size of a firm varies as between one industry and another. It also varies in the same industry at different periods of time. In theory, it is easy to conceive an optimum size of the firm, but difficult in actual practice to decide whether a particular firm has reached its optimum or not. The optimum size may change as a result of changing conditions.

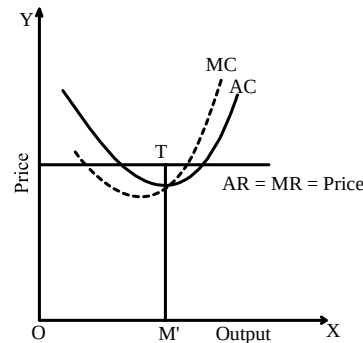


Figure : 4.15

When economic progress is being recorded and such changes as the development of new techniques or changes in the relative prices and efficiency of factors of production are taking place, firms may have a tendency to expand towards the optimum but they may never reach it.

According to E.A.G. Robinson, the optimum size of a firm depends mainly upon the economies of scale. He has classified these economies as technical, managerial, financial, marketing and risk-bearing. These forces operate making for a technical optimum size, optimum managerial unit, optimum financial unit and optimum sales unit respectively. The difficulty before a firm while reaching the optimum is that the different divisions of the firm will not all reach their individual optimum at the same output. For instance, the optimum marketing unit may not suit either the optimum technical or the optimum financial unit. In such cases, a sort of a compromise will have to be made to reconcile the different optima.

Thus, the optimum size of the firm is largely determined by the economies and diseconomies of the scale of production along with other factors such as factors proportions and the availability of capital. Such an optimum firm is shown with the help of figure 4.15. T is the point where the firm is producing at the minimum cost per unit of output.

4.5.5 Competitive Industry in Short-run

Sometimes the diagram of the short-run competitive industry is drawn to include not only short-run supply curve but also the supply curve of very short-run as shows in figure 4.16.

In figure 4.16, MS is the supply curve of the very short-run. Prices OP and OP'' are the market prices. $S'S'$ is the supply curve of short-run. OP and OP' are short-run normal prices. The normal price of the short-run (OP') is so defined as in the short-run supply will have time to adjust itself with the changing demand conditions.

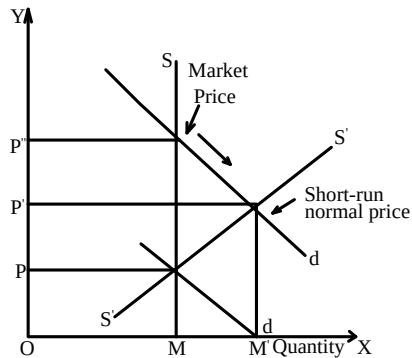


Figure : 4.16

Competitive Industry in Long-run. The diagrams of the long-run can be drawn which include the supply curves of all periods, i.e. very short-run, short-run and long-run.

1. Rising Supply Curve

In figure 4.17, the supply curve of the competitive industry is rising, OP' is the short-run normal price determined by the intersection of the demand curve and the short-run supply curve. OR is the long-run normal price determined by the intersection of the demand curve and the long run supply curve L' . The long-run normal price is lower than both the short-run normal price (OP') and the market

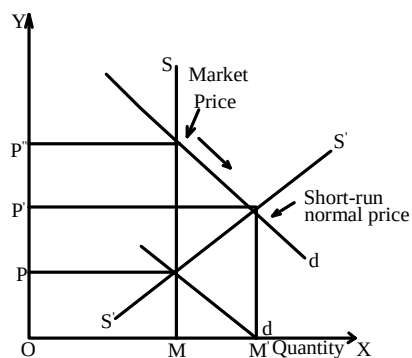


Figure 4.17

2. Constant Supply Curve

Figure 4.18 explains the determination of long-run normal price under competitive conditions when the industry is working under constant cost conditions. The long-run supply curve (LL') is a horizontal straight line. The long-run normal price OL is the same as the original market price i.e., OL . This price is lower compared to the market price (OP'') and short-run normal price (OP').

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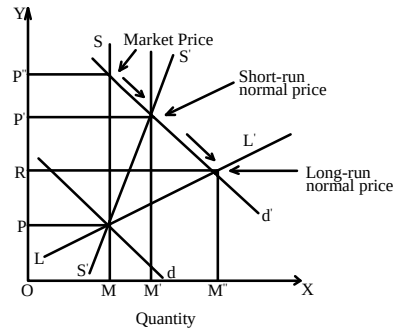


Figure : 4.18

3. Decreasing Supply Curve

The long-run supply curve is LL' when the industry is working under decreasing cost conditions. The new long-run normal price ON is lower than the original market price OP . This is because the industry is reaping the economies of the scale.

This price is considerably lower than the market price (OP'') and the short-run normal price (OP'). The above discussion clearly indicates that the long-run normal price in all cases is lower than the short-run normal price. This is because supply has got enough time to adjust itself with the changing demand conditions.

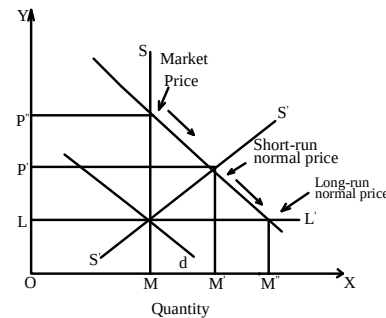


Figure: 4.19

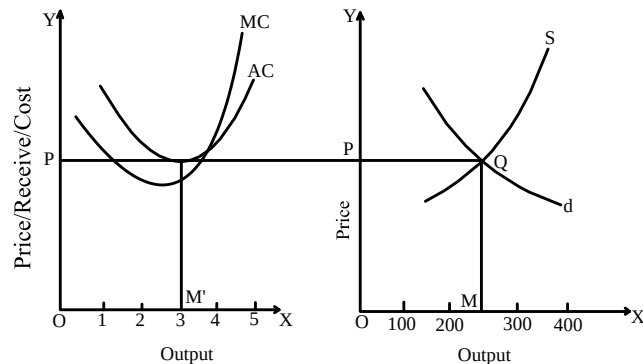


Figure: 4.20

4.6 MONOPOLY

4.6.1 Meaning of Monopoly

The word monopoly is derived from two Greek words mono and ploy. The meaning of mono is single and ploy means selling. Monopoly, therefore, prevails in the market when there is a single seller. This is the common sense definition of monopoly. In Economics, the monopolist is defined as the sole producer of a product which has no close

substitutes. We have to rule out the possibility of suggesting that there are no substitutes as anything can compete against anything else. The rational way of defining monopoly is that there are no close substitutes.

According to Stigler, a monopoly is a firm producing a commodity for which there are no close substitutes. H. Speight in his book 'Economics as The Science of Prices and Income' contends that a good practical definition of monopoly might be a firm which controls the whole supply of a commodity for which there are no good substitutes. In the words of Donald Watson, "In the standard definition, a monopolist is the only producer of a product that has no close substitutes". Benham defined Monopoly as the monopolist who controls the supply of some commodity for which there is no very close substitute. He further maintains that a monopolist may not control the whole supply, but he controls enough of it to dominate the market and so to determine the price.

According to Stonier and Hague, the monopolist is the sole producer of a product which has no closely competing substitutes. Therefore, in monopoly, the distinction between the firm and industry disappears. It is the only firm producing the product in question. The firm under monopoly takes all the characteristic features of an industry. It has an average revenue curve which slopes negatively just as the demand curve for the product of an industry slopes downwards.

In other words, monopoly is a market situation where the supply of commodity is undertaken by a single seller whose product has no very close substitutes. The distinct feature of a monopoly firm is that it enjoys freedom and independence in fixing the price of the commodity. It may fix either price or output, but not both. While doing so, it has to take demand variations into account. Therefore, the monopoly firm is said to be a price-maker and not a price-takers as the firms under perfect competition.

Pure Monopoly

Pure monopoly prevails in the market when the monopolist is in a position to take away the whole of the community's income all the time. This happens only when the average revenue curve is a rectangular hyperbola having elasticity of demand equal to one. In other words, under pure monopoly the cross elasticity of demand between the product of the firm and that of other commodities in the market is zero. The firm, under pure monopoly, is so powerful that it can fix any fantastic price for the product in question. The firm is in a position to take away the whole of to take whole of the community's income, whatever may be the price. The average revenue curve under pure monopoly is as shown in figure 4.21.

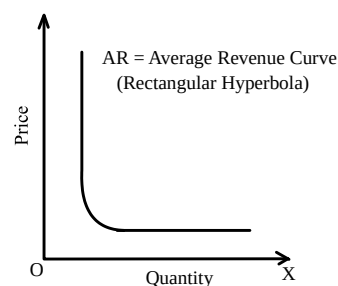


Figure: 4.21

Pure monopoly situation shows absolute monopoly power. However, in reality such type of monopoly cannot be found. It is merely a theoretically limiting case and not the practical reality. Pure monopoly seldom prevails in the actual market. It is not possible for the monopolist to enjoy such an absolute power in the real world.

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4.6.2 Types of Monopoly

Monopolies are of several types. Generally they are classified in the following manner:

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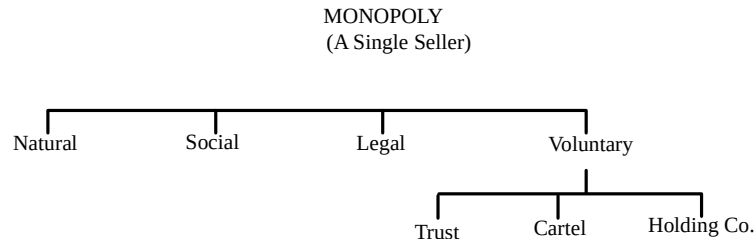


Figure :4.22

Natural Monopoly

When monopoly arises due to natural factors like climate, availability of a particular type of a raw-material and the rare talent, we call it natural monopoly. For example, gold mining in South Africa is a natural monopoly. India has a natural monopoly in tea. Turkey, Bulgaria and Greece have natural monopoly in tobacco.

Social Monopoly

A monopoly may be created to satisfy certain social wants. It may be created by the state, but in the social interest. These monopolies are formed for social considerations. Such a monopoly is called the social monopoly. All public utility concerns partake the nature of social monopoly. For example, Posts and Telegraphs Railways, Supply of Gas, Water and Electricity etc.

Legal Monopoly

Sometimes monopoly arises on account of legal support or as a matter of legal privilege. Such type of a monopoly is known as legal monopoly. The special brands, trade names, patents and copyrights are the examples of legal monopoly. The main objective here is to protect the special form of a property.

Voluntary Monopoly: A voluntary monopoly is created when the firms producing the same product come together voluntarily to control the supply of the commodity with a view to earn more profits. These monopolies arise from industrial combinations. The objective here is to avoid unnecessary competition. For example, All India Sugar Syndicate. These monopolies broadly fall in three classes, viz., Trust, Cartel and Holding company.

Trust: Trust is a monopolistic combination of many firms. It is created when a number of firms agree to place them under a single management. When various firms come together under a single management, they lose their independent existence and an entirely new concern under a new name is formed. This is a typical form present largely in the U.S.A. The best example of the trust in India is A.C.C. in Indian cement industry.

Cartel: A cartel is also a monopolistic combination of the firms. But in case of Cartels, the firms joining the combination keep their separate individual existence. It is less centralized than the trust. The firms in the Cartel act together on an agreed basis as regards price, output and the division of market. The main objective here is to earn maximum profits jointly. In other respects, they remain independent. Cartels are short-lived. Cartels existed in large numbers in pre-war Germany. Some exist now in the U.K. and the U.S.A. The Indian Sugar Syndicate is the best example of a cartel in India.

Holding Company: The holding company is a modern method of bringing a number of firms under single control. It is primarily a financial institution. It holds a major proportion of shares in other companies so as to obtain virtual control over all operations. It uses its

capital to acquire controlling interest in other firms. A great advantage of this type of organisation is that the constituent firms can retain their original names and goodwill that goes with them. The holding company has become an important organisation for large concerns in both Great Britain and the United States.

Monopoly Equilibrium: Equilibrium, under the conditions of monopoly, is attained when the firm earns maximum profit. A monopoly firm earns maximum profit when equality between the marginal cost and marginal revenue is established ($MR = MC$). The monopoly firm does not sell all the output it produces, but sells an output which is rather consistent with the equality between the marginal revenue and the marginal cost.

Another condition that is to be satisfied for monopoly equilibrium, apart from the equality between the marginal revenue and marginal cost, is that the marginal cost curve shall cut the marginal revenue curve from below or from the left. From this it is clear that a monopolist will fix the output at that level at which his marginal cost and his marginal revenue are equal to one another.

4.7 PRICE DETERMINATION UNDER MONOPOLY

4.7.1 Elasticity's of Monopoly

A monopolist will never fix the output of his product at any level where the elasticity of his average revenue curve is less than one. In case he does so, his total revenue will fall as his output increases his marginal revenue will become negative. He would increase total revenue by reducing his output.

He would be able to earn larger profits by reducing output, if he is producing an output at which the elasticity of demand for the product is less than one, provided his marginal costs are not negative. When the marginal costs are positive, the monopolist would certainly add to his profit by reducing his output to level where the elasticity of his average revenue curve is more than one. The average revenue curve, its elasticity and the marginal revenue curve are shown with the help of figure 4.23

When the elasticity of average revenue curve is equal to one, marginal revenue will be zero. If the elasticity is less than one, the marginal revenue is negative. When the elasticity is greater than one, marginal revenue is positive. If the marginal cost is positive, the firm produces at the point where the elasticity of average revenue curve is greater than one. At point R, the average revenue curve has elasticity equal to one and the marginal revenue is zero. At this moment, MR curve cuts the OY-axis.

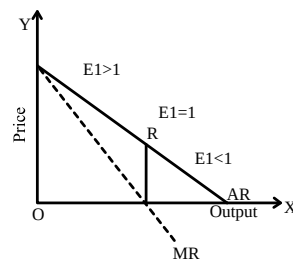


Figure : 4.23

4.7.2 Profit Positions in Monopoly

Unlike perfect competition, a monopolist firm can be in equilibrium with rising, falling and constant marginal costs. Monopoly firm comes to equilibrium with rising, falling and constant cost curves. In figure 4.24, marginal cost is rising near the equilibrium point as under perfect competition. The marginal cost curve cuts the marginal revenue curve from below and $MR = MC$ at OM output. The monopoly firm is therefore, in equilibrium earning super-normal profits equal to the shaded area PARK.

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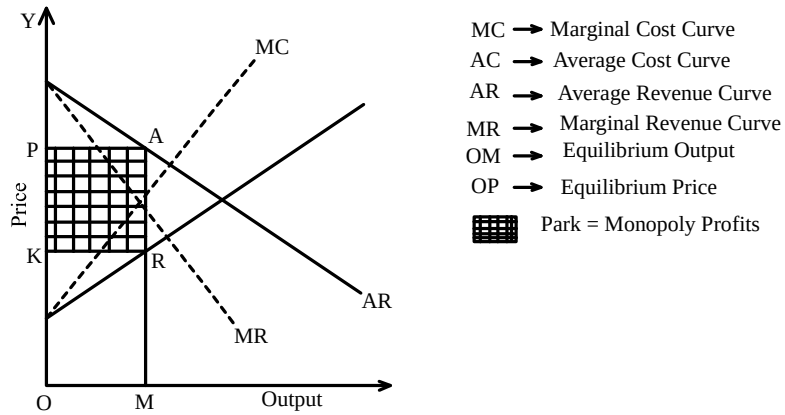


Figure : 4.24

In the diagram given below (figure 4.25), the marginal cost curve is horizontal straight line and the average costs coincide with it. In other words marginal costs are constant and are equal to average costs. The equilibrium position is determined at point B or at OA output, where $MR = MC$. The monopoly profits are shown by RUBY.

Constant Marginal Cost Curve

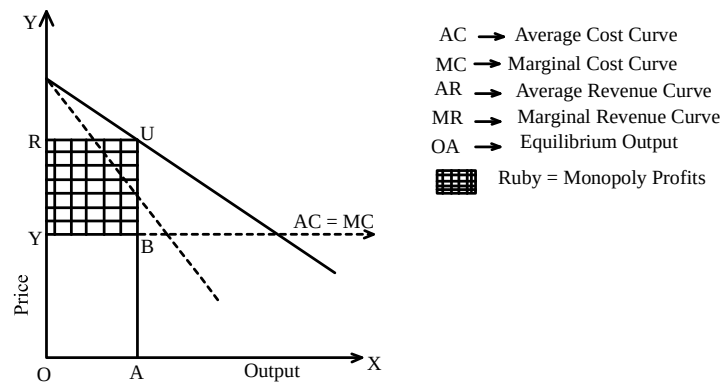


Figure : 4.25

Falling Marginal Cost Curve

Figure 4.26 shows that monopoly equilibrium is also possible with falling marginal costs. Here equilibrium is at point K, where $MR = MC$. Monopoly output is OM and monopoly profits are shown by the ABCD. There can be equilibrium under monopoly even with falling marginal costs so long as marginal cost curve cuts the marginal revenue curve from below or from the left. When MC start falling more rapidly than MR, this condition cannot be satisfied and hence equilibrium becomes unstable. The constant MC and falling MC condition is rather incompatible with the equilibrium of the firm under competition.

Falling Marginal Curve

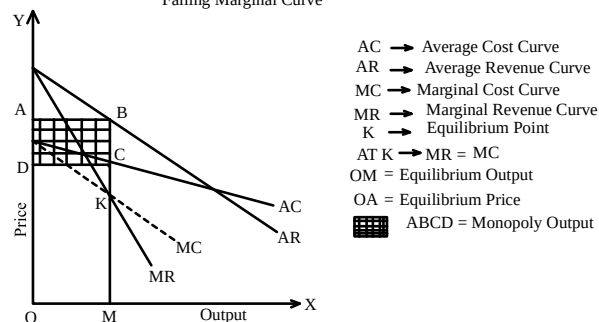


Figure : 4.26

The second major difference between equilibrium under perfect competition and monopoly lies in the size of profits. Under perfect competition, the entrepreneur in the long-run will be unable to earn supernormal profits. Super-normal profits are earned only in the short run by the firms under perfect competition. In the long-run, these supernormal profits are competed away by the new firms entering the industry. Supernormal profits, therefore, disappear and only normal profits remain. But under monopoly it is quite possible for the firm to earn supernormal profits even in the long-run. Thus, monopoly profits are maintained throughout.

Thirdly, under monopoly there is the loss of consumer's surplus as the consumers have to pay a higher price. On the contrary, the monopolist gains by maximizing his profits. Referring to the loss of consumer's surplus and the benefit of the monopolist, Donald Watson writes "it is clear that the loss of consumer's surplus is greater than the gain to the monopolists".

Lastly, in case of monopoly, price will be usually higher and output smaller as compared with price and output under perfect competition. Under monopoly there is no difference between the firm and the industry-the monopoly firm, itself constitutes the industry. The output of the monopoly firm, therefore, is to be compared with the prefect competitive industry out put. Under perfect competition output is determined at the point where demand equals supply. Monopoly output is determined where $MR = MC$. The output comparison between monopoly and competition is done with help of the figure 4.27.

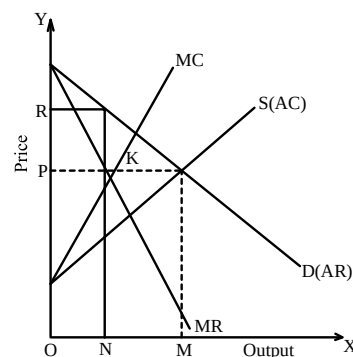


Figure : 4.27

In figure 4.27, D and S are the demand and supply curves of the competitive industry. The output OM and the price OP of the competitive industry are determined at the point where demand equals supply. Let us now suppose that the same industry is taken over by the monopolist. The demand curve becomes the average revenue curve and the supply curve becomes the average cost curve. Corresponding to these curves, we can have marginal revenue and marginal cost curves. The monopoly firm comes to an equilibrium where $MR = MC$ at the point K. Monopoly price becomes OR and the output ON. It is clear from the above diagram that the monopoly output is smaller and the price is higher compared with the price and output under perfect competition.

Price and Output Comparison Chart

Perfect Competition	Monopoly
Price	$OP < OR$
Output	$OM > ON$

The demand and the supply curves of the competitive industry in this case are straight lines. "If the curves are straight lines, a perpendicular from any point of the average curve to the Y-axis will be bisected by the marginal curve". Therefore

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monopoly output will be exactly half of the competitive output. To quote Mrs. Joan Robinson again, when the demand and supply curves are straight lines monopoly output will be half the competitive output, whether the supply curve is rising or falling. It is to be noted here that this comparison of price and output between monopoly and competition is based on the assumption that the cost and demand conditions will not change when the monopolist takes over the competitive industry.

4.7.3 Equilibrium position both in short-run and long-run under monopoly Short-run Monopoly Equilibrium

In the short-run, the monopolist has to work with the given plant and machinery. If he is desirous of altering the output, he can do so by changing the variable factor:

The monopoly firm comes to equilibrium where marginal revenue equals marginal cost. It is the point where the monopolist gets short-run maximum profits. The monopoly equilibrium in the short-run is represented by figure 4.28.

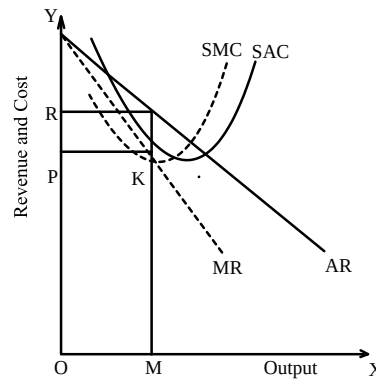


Figure :4.28

In figure 4.28, SAC is the short-run average cost curve of the monopolist. SMC indicates the short-run marginal cost curve. AR is the average revenue curve and MR the marginal revenue curve. The short-run marginal cost curve of the monopolist intersects the marginal revenue curve at point a. Here the marginal revenue is equal to the marginal cost which explains the equilibrium position of the monopolist. OM is the equilibrium output and the short-run monopoly profits are shown by the rectangle (pkr) known as BAIR.

Long-run Monopoly Equilibrium

If the long-run monopolist is in a position to alter not only the variable costs but also the fixed cost. Therefore, he will take the decision to build the best size of the plant. The best size of the plant for him is one in which his current output can be produced as cheaply as possible. In this case the monopoly firm attains its equilibrium position when the marginal revenue curve intersects the long-run marginal cost curve. This is shown by figure 4.29.

In figure 4.29, the long-run marginal cost curve (LMC) intersects the long-run marginal revenue curve (LMR) at point K. The long-run monopoly equilibrium, therefore, is established at point (K). The equilibrium output is OM and the long-run monopoly profits are shown by MISA.

Even though a distinction is made between the short and the long-run monopoly equilibrium, theoretically not much importance is given to such discussion.

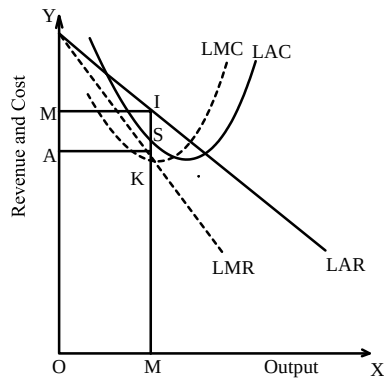


Figure : 4.29

In the words of Donald S. Watson, “Since the analytical problems of the theory of monopoly pricing are on the demand side, not on the cost side, there is no need to dwell on the difference between pricing in the short-run and the long-run.

Figure 4.30 shows monopoly equilibrium both in the short-run and the long-run. The monopolist expands his output along short-run marginal cost curve if the demand for his product increases temporarily. The output is determined by the intersection of the MR and SMC curves. In the long-run, the monopolist builds a bigger plant and the equilibrium output is determined by the intersection of MR and LMC curves.

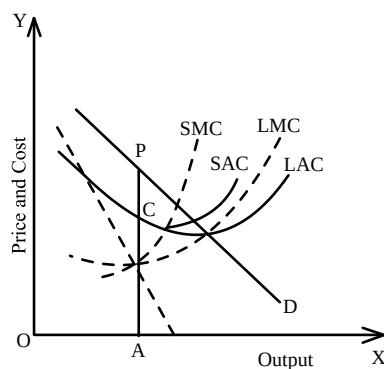


Figure : 4.30

4.8 PRICE DISCRIMINATION

According to Mrs. Joan Robinson, price discrimination is possible and profitable only when the following conditions are satisfied:

First, price discrimination is possible when the market is divided in such a way that goods which are sold cannot be bought in one market and resold in another. If the buyers of the commodity purchase the commodity in one market and resale the same in another market, price discrimination becomes difficult. Price discrimination is not possible when the industrial purchasers of electricity resale it to the domestic consumers.

Secondly, price discrimination becomes possible when the buyers in the dearer market do not get themselves transferred to cheaper market to get the benefits of lower price. When such a transfer of buyers takes place, it means they do not purchase the commodity at a higher price.

Thirdly, price discrimination is profitable when the monopolist can separate the consumers into different markets.

Lastly, to make price discrimination profitable, the elasticity of demand in different markets should be different. When the elasticity's of demand are the same in different

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markets, at a monopoly price, the marginal revenue in both the markets will be the same and therefore the monopolist cannot introduce price discrimination. Price discrimination is possible and profitable only when the elasticity of demand is different in different markets. When the elasticity of demand is different in different markets, the monopolist can increase his profits by selling less in those markets where demand is inelastic and selling more in those markets where demand is elastic. He goes on adjusting his output in such a way that on the margin the revenue he gets is the same from all markets.

The monopolist gets maximum amount of profit when his marginal costs for the whole of output are equal to the marginal revenue in each separate market. In other words, the output under discriminating monopoly is determined by the intersection of the monopolist's marginal cost curve for the whole output and the total marginal revenue. The total output is made up of the amount sold in both the markets. Equilibrium under discriminating monopoly may be shown with the help of figure 4.31.

Let us suppose that the monopolist is selling his product in two markets - market one and market two. In figure 4.31 (A), we have shown the average revenue curve and the marginal revenue curve of market one and in Figure 4.31(B) average and marginal revenue curves of market two. AMR is the aggregate marginal revenue curve which is shown in figure 4.31(C). In the same figure, [4.31(C)] the marginal cost curve for entire output is drawn. The output of the discriminating monopolist is determined at point 'E' in figure 4.31(C), where the aggregate marginal revenue is equal to the aggregate marginal cost ($MR=MC$).

The output so determined (OM) is distributed in both the markets, OM_1 in market one and OM_2 in market two. The output is distributed in both markets is such a way that marginal revenue in one market is equal to the marginal revenue in market two ($R_1M_1 = R_2M_2$) and they in turn are equal to the aggregate marginal cost i.e. EM. At the point of equilibrium $MR_1 = MR_2 = MC$ i.e. $R_1M_1 = R_2M_2 = EM$. "This is nothing more than an application of the general principle - 'in equilibrium marginal revenue equals marginal cost' to special case where discrimination between different parts of the market is possible.

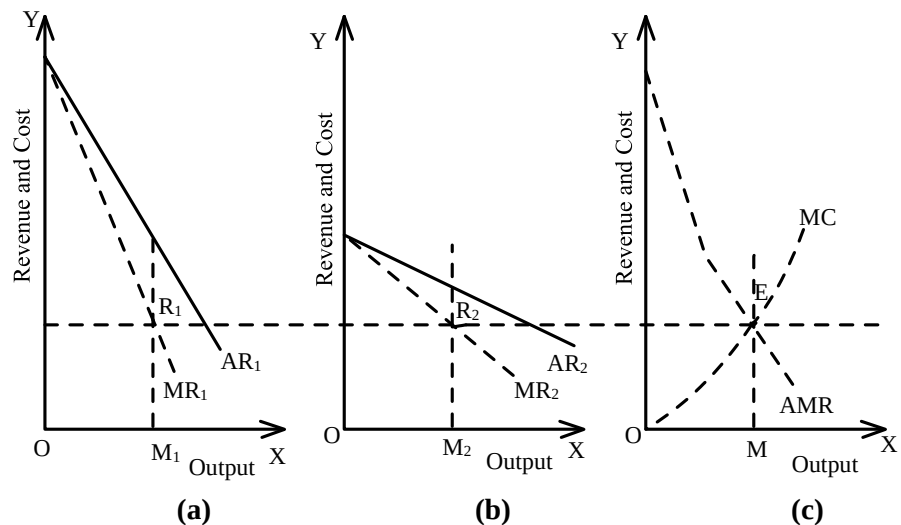


Figure : 4.31

Is Price Discrimination Beneficial: Some of the commodities and services may not be produced in the absence of the price discrimination. The best example is that of a doctor in a village. If the doctor charges the same price to all patients his income will be meager and therefore he cannot continue his business any more. On the contrary, if he practices price discrimination he can charge more to rich patients and get adequate

amount of income. A doctor will be practicing in a village only if price discrimination is allowed. According to Mrs. Joan Robinson, "It may happen, for instance, that a railway would not be built or a country doctor would not set up his practice, if discrimination were forbidden. It is clearly desirable that price discrimination should be permitted in such cases."

Sometimes, price discrimination leads to greater output compared to monopoly. Under such circumstances price discrimination is beneficial to the society.

Price discrimination, from the view point of society, may become beneficial when the monopolist charges a higher price to the rich and a lower price to poor. If there had not been price discrimination poor would have been required to pay the same price as rich who is not-socially desirable. Price discrimination is, thus, beneficial from the point of view of society.

4.8.1 The Consequences of Monopoly

Monopoly has been criticized and considered as against public interest from the days of Adam Smith. It is assumed that the powerful monopolist exploits the consumers. On the contrary, it was thought that competition works to the consumers' advantage. Traditional economic theory has advocated competition as the best market situation compared to monopoly. In this section, we will analyse the relative merits demerits of monopoly over competition or the case for and the case against monopoly.

The Case for Monopoly

The late Sir Henry Clay has pointed out certain benefits of monopoly in his article "The Campaign Against monopoly and Restrictive Practices" published in Lloyds Bank Review of April 1952. He has pointed out certain instances wherein monopoly may be in the public interest.

1. **Monopolies may produce more efficiently.** Monopolies, because of their large-scale organization, can produce more efficiently and at a lower cost compared to small competitive firms of perfect competition. The monopoly organizations can reap technical and commercial advantages over the smaller firms of competition. Sir Henry Clay gives the example of the British Cement Industry which has a monopoly organization and pointed out that its prices are lowest in the world and it has achieved very high labor productivity nearer the American productivity than any other British industry. The British electric lamp industry is another example of monopoly organization producing with greater efficiency. The industry is working at lower costs of production, though there is a general rise in the cost of production.
2. **Monopoly can withstand depression.** Monopoly, because of its larger financial resources and strength, can withstand the depression. This is not possible for the small competitive firms. If the depression is severe such firms have to close down their business. For instance, the British Cotton Industry survived the depression 1929-32 as it exercised some collective control over prices. The other British industries which could withstand the depression because of their monopoly actions are steel, coal and shipbuilding. The above examples clearly indicate that monopoly is in a better position to withstand depression compared to small competitive firms because of its large scale organization.
3. **Cut-throat competition may ruin the business.** Sir Henry Clay has pointed out the under competition the prices may be driven down to such a lower extent that they may not allow the firms to cover the fixed costs of production. Under perfect competition each firm tries to get a larger share in the market by reducing the price. This may result in cut-throat competition and such competition may ruin the

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business itself as some of the firms may find that the price that they are charging may not be enough to cover the fixed costs of production. Sometimes, the business receipts may be so low that they may not allow the firms to replace their plant and machinery. Such a situation does not arise under monopoly as there is absence of competition. The monopoly firm will have its own monopoly profits and hence the firm will not face any problem as regards the coverage of fixed costs or replacing plant and machinery.

4. **Monopoly may reduce the inequality of income.** Generally, it is said that monopoly increases the inequality of income. The monopolist gets profits by exploiting the consumer. But there are certain circumstances in which monopoly reduces inequality of income. For instance, the monopoly of laborers i.e., trade union fighting for higher wages tries to reduce the inequality of the income and wealth.

The Case Against Monopoly

- 1) **Lesser output.** If the competitive industry is taken over by the monopolist and in the process the cost and demand curves do not change, monopoly results in lesser output and higher price compared to perfect competition. In the previous section already we have noted that monopoly results in lesser output and higher price.
- 2) **Monopoly prevents the best use of resources.** Under perfect competition, in the long run, each firm produces at the minimum possible average cost or the firm is an optimum firm. Perfect competition results in the best use of resources as the costs indicate the relative opportunities for the use of resources. The resources (i.e., factors of production) are used in the best possible way as they are combined in such a way that they can result in minimum cost of production.

But this does not happen under monopoly. A monopoly firm produces at the point where marginal revenue is equal to marginal cost and not where the average cost is at a minimum as under conditions of perfect competition. Monopoly, restricting output, prohibits both low prices and the best use of resources.

In this way, monopoly prevents the best use of resources, i.e., production at the minimum cost of production compared to perfect competition. On this ground, the traditional value theory prefers competition to monopoly.

- 3) **Consumers are at a loss.** Under conditions of perfect competition marginal cost of production is equal to price. Marginal cost of production is the cost of producing of the last unit and the price is what the consumer is willing to pay for the last unit he purchases. It means under conditions of perfect competition the consumer buys the last unit for a price equal to the marginal cost of it. The consumer stands to gain under perfect competition.

Under conditions of monopoly the price is greater than the marginal cost of production. It means that the consumer pays to the last unit he buys, an amount greater than the marginal cost of production. Under perfect competition, the consumer pays to the commodities he buys according to their marginal cost of production. Under monopoly he pays more than the marginal cost. Naturally, the consumer is the sufferer under conditions of monopoly compared to competition. The above discussion clearly indicates that the traditional economic theory was against monopoly. The theory preferred competition to monopoly. But the recent discussion in economic theory pinpoints certain circumstances under which monopoly may be in the public interest. Monopoly is not as bad as it was conceived in the traditional economic theory.

4.8.2 Control of Monopoly

In practice, the monopolist cannot exercise an absolute control over prices and output. He cannot behave like an autocrat. At the most, he can have enough control over price or output. The monopoly power is limited by the following factors

1. **Potential Competition.** A monopolist is always worried about the potential rivals. When the monopolist charges a very high price and earns enormous profits, dynamic entrepreneurs will enter into the production of similar commodities and share the enormous gains which he is making. Such potential competition is not possible only in a few cases such as copyrights, patents and the government monopoly. But in all other cases the possibility of competition exists which limits the use of monopoly power.
2. **Substitutes.** A substitute's always acts as a threat to the monopoly power. The substitute may not be always satisfactory. If the monopolist charges a very high price, the consumers by using the available substitutes may put a limit to the monopoly power. For example, if the State Electricity Board charges a very high price for the domestic consumers, the consumers may check this tendency by using gas or kerosene oil.
3. **Consumer's association.** The abuses of monopoly can be controlled by forming consumers' association. The consumers may resist the high price charged by the monopolist by boycotting the purchase of the commodity. The bargaining strength of the consumers increases when they have a better organisation. No monopolist will like to alienate the sympathies of his customers. This is also regarded as one of the powerful means of controlling the monopoly.
4. **Anti-Monopoly legislation.** The monopolies can also be controlled by enacting anti-monopoly legislations. These legislation aims at
 - 1) Preventing monopoly firms from coming into existence
 - 2) When they come into existence, it got them dissolved and split them into a number of competing firms and
 - 3) Prevent the unfair practices of the monopolist.

Some advanced countries followed this method of controlling monopolies. For example, in the U.S.A., the Sherman Anti Trust Act of 1890, the Clayton Act and the Federal Commission Act of 1914, Robinson Pitman Act of 1936 etc. were enacted to prevent monopolies and bring about fair competition.

5. **Publicity:** Pigou has suggested an interesting device to control monopoly. He contends that the monopoly firms will become afraid of the public if all their details are published very often. The details may include their coercion of rivals, use of unfair practices, tough competition, price and output agreements, donation to political parties, their enormous profits and bribing of legislators and judges. When such details are given a wide publicity, the monopolist may follow more reasonable and less objectionable method.
6. **Nationalization:** When all such measures as potential competition, substitutes, consumers' association, anti-monopoly legislation and publicity fail to control monopoly, the solution suggested is the nationalization of monopoly industry. This solution is popular in countries like India. It is said that nationalization may also not solve all the problems concerning monopoly power due to a variety of other factors. However, this device is also suggested and used in many countries to control monopolies.

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4.9 MONOPOLISTIC COMPETITION

Meaning of Monopolistic Competition

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Monopolistic competition refers to a market situation where there are many firms selling a differentiated product.” There is competition which is keen, though not perfect, among many firms making very similar products. No firm can have any perceptible influence on the price-output policies of the other sellers nor can it to be influenced much by their actions. According to Salvatore. “Monopolistic competition refers to the market organization in which there are many firms selling closely related but not identical commodities.

Products are close substitutes with a high cross-elasticity and not perfect substitutes, Tata, Lipton etc., are tea; Hamam, Lux etc.,are soap; Pepsi, Coca Cola, etc. cold drinks are examples of product differentiation. Under monopolistic completion, no single firm controls more than a small portion of the total output of a product. As the products are close substitutes, a reduction in the price of a product will increase the sales of the firm but it will have little effect on the price-output conditions of other firms, each will lose only a few of its customers. Likewise, an increase in its price will reduce its demand substantially but each of its rivals will attract only a few of its customer. Therefore, the demand curve (average revenue curve) of a firm under monopolistic competition slopes downward to the right. It is elastic but not perfectly elastic within a relevant range of price at which he can sell any amount. It means that it has some control over price due to product differentiation and there are price differentials between firms. Despite this, the slope of the demand curve is determined by the general level of the market price for the differentiated product. In so far as it exercises some control over price, it resembles monopoly and since its demand curve is affected by market conditions, it resembles pure competition. Such a situation is, therefore, characterized as monopolistic competition.

Features of Monopolistic Competition

- 1. Product Differentiation:** The most important and distinguishing feature of monopolistic competition is product differentiation. In monopolistic competition neither products are homogeneous as in perfect competition, nor are they remote substitutes as in monopoly. Under monopolistic competition there are various ‘monopolists’ who compete with each other. These monopolists do not produce identical goods. They also do not produce the goods which are completely different. They produce the goods which are different in some ways and not altogether different. Therefore, it is said that under monopolistic competition producers produce goods which are similar but not identical. Brands, trade marks, trade names, distinctive designs, peculiarities of packaging and wrappers are some of the popular methods by which products are differentiated under monopolistic competition.

In other words, under monopolistic competition products are slightly differentiated so that they act as relatively close substitutes to one another, but definitely not perfect substitutes as such. A number of examples may be cited to show how products are differentiated by using the methods mentioned above.

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Product	Trade Names/Brands
Bicycle	Atlas, Speed King, Norton, Rayleigh, Hercules, Eastern Star etc.
Car	Ambassador, Maruti, Deewoo etc.
Toothpaste	Colgate, Cibaca, Close-up, Promise, Forhans, Vicco Vajradaniti, Pepsodent, etc.
Pen	Parker, Wingstar, Mechant Hero, Doctor, etc.
Cigarette	Wills, Gold Flake, Capstan, Bristol, Barkeley.
Soap	Lux, Rexona, Hamam, Pears, Mysore Sandal, etc.
Blades	Bajaj, LML Vespa, Lambretta, Vijay etc.
Suiting	Reaymonds, Dinesh, Gwalior, etc.
Tea	Broke Bond, Liptons, Modis, etc.

2. **Selling Costs:** Another distinguishing feature of monopolistic competition is selling costs. Sales promotion becomes necessary under monopolistic competition on account of product differentiation. Obviously, the firm under monopolistic competition has to incur certain expenditure on promoting sales. Whatever amount the firm spends on sales promotion is known as the selling outlays.

Selling costs include not only the advertising costs, but also other costs such as salaries of salesmen, expenditure on sales department, commission granted to retailers and wholesalers, window displays, posters, demonstrations, door to door canvassing and expenditure on other such activity that leads to sales promotion.

3. **Large number of sellers:** There are a large number of firms producing goods under monopolistic competition. Even though each of the producers enjoys a monopoly privilege, he has to compete with other producers in the market.
4. **Free entry or exit of the firms:** Another feature of monopolistic competition is that there is freedom of entry and exit of the firms. There are no restrictions placed on the entry as well as the exit of the firms. A new firm may enter into the production and an old firm may go out of the production.

Monopolistic competition is, thus, a market situation characterised by the presence of both 'monopoly' and 'competition'. Product differentiation and selling outlays are the two fundamental features of the monopolistic competition which distinguish it from other market forms.

4.9.1 Equilibrium Level of an Individual Firm

The equilibrium of the firm under monopolistic competition follows the usual analysis in the short-run and long-run Equilibrium.

A) Short-run Equilibrium

The short-run analysis of the firm under monopolistic competition is based on the following assumptions

- 1) The number of sellers is large and they act independently of each other. Each is a monopolist in his own sphere.
- 2) The product of each seller is differentiated from the other products;
- 3) The firm has a determine demand curve (AR) which is elastic;
- 4) The factor-service are in perfectly elastic supply for the production of the product in question;
- 5) The short-run cost curves of each firm differ from each other; and

6) No new firms enter the industry.

Explanation

Given these assumptions, each firm fixes such price and output which maximises its profits. The equilibrium price and output is determined at a point where the short-run marginal cost curve (SMC) cuts the marginal revenue (MR) curve from below.

Since costs differ in the short-run, a firm with lower unit costs will be earning only normal profits. In case it is able to cover just the average variable cost, it incurs losses.

In figure 4.32 (A) the short-run marginal cost curve (SMC) cuts the MR curve at E. This equilibrium establishes the price $QA (=OP)$ and output OQ . As a result, the firm earns supernormal profits represented by the shaded area PABC.

Figure 4.32 (B) indicates the same equilibrium point of price and output. But in this case the firm just covers the short-run average unit cost as represented by the tangency of demand curve D and the short-run average unit cost curve SAC at A. It earns normal profits.

Figure 4.32(C) shows a situation where the firm is not able to cover its short-run average unit cost and therefore incurs losses. Price set by the equality of SMC and MR curves is QA which covers only the average variable cost. The tangency of the demand curve D and the average variable cost curve AVC at A makes it a shut-down point. If the firm lowers the price below QA , it will have to stop further production. However at this price, the firm will incur losses equal to the area CBAP during the short-run in the hope of lowering its costs in the long-run.

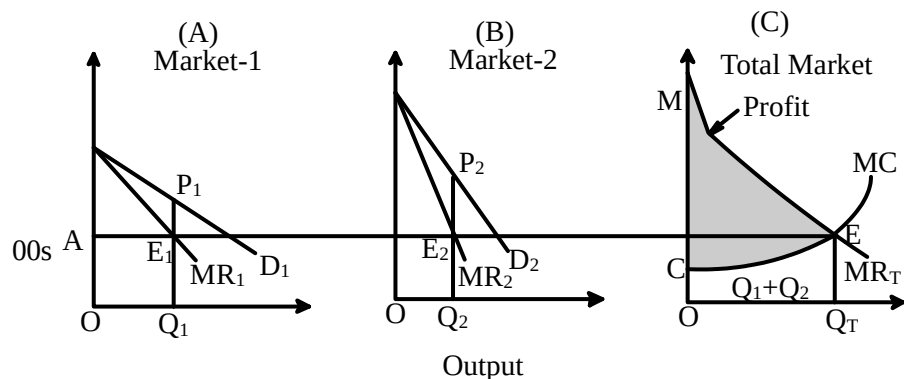


Figure 4.32

It is not essential that during the short-run all firms charge identical prices and produce the same quantity as we have shown above. This is to simplify our geometrical presentation. There being product differentiation identity of prices and quantities cannot be expected. Each firm acts in accordance with its own short-run costs and equates its SMC curve with the MR curve. However, this does not mean that the firm fixes a very different price from the other producers. Since its product has close substitutes, its price will have to approximate to the prices of the other firms producing a similar product.

B) Long-run Equilibrium

In the long-run, there is entry and exit of firms in a monopolistic competitive industry as under pure competition, the adjustment process will ultimately lead to the existence of only normal profits. This is a realistic assumption for in the long-run no firm can earn either super-normal profits or incur losses because each produces a similar product.

If firms in the monopolistic competitive industry are earning super-normal profits, new firms will be attracted into the group. With the entry of new firms, the existing

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market is divided among more sellers each firm will sell lesser quantities of the product than before. As a result, the demand curve faced by individual firms shift down to the left. At the same time., the entry of new firms will increase the demand and hence the price of factor-services will rise which will shift the cost curves of individual firms upward. This way adjustment process of lowering the demand curve and raising the cost curves will squeeze out super-normal profits. Thus, each firm will be earning only normal profits in the long-run, as shown in figure 4.33.

In the figure, all firms are in the long-run equilibrium at point E where (1) $LMC = MR$ and (2) LMC cuts MR from below, and the LAC curve is tangent to the D/AR curve at point A. Since price $QA = LAC$ at point A, each firm is earning normal profits and no firm has the tendency to enter or leave the industry.

The long-run equilibrium analysis under monopolistic competition reveals that each firm and the entire industry will not produce optimum output. There will always be excess capacity. For the firms are not in a position to operate their plants to the maximum capacity and thus enjoy the economics of large scale production fully. It is evident from figure 4.33 where the point of tangency between the demand curve D/AR and the LAC curve is not at the lowest level L. Rather, L is to the right of the point of tangency A. This is because the demand curve D/AR is not horizontal but slopes downward to the right. Thus each firm under monopolistic has unutilized capacity even in the long-run.

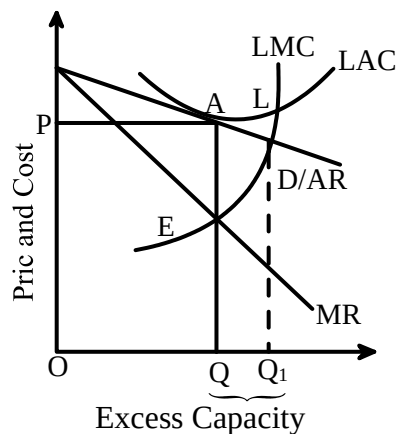


Figure 4.33

4.9.2 Equilibrium level of Industry and Group

Group equilibrium relates to the equilibrium of the “industry” under a monopolistic competitive market. The word “industry” refers to all the firms producing a homogeneous product. But under monopolistic completions the product is differentiated. Therefore, there is no “industry” but only a “group” of firms producing a similar product. Each firm produces a distinct product and is itself an industry. Chamberlin lumps together firms producing very closely related products and calls them product groups. So in defining an industry, Chamberlin lumps together firms in such product groups as cars, cigarettes, breweries, etc. According to Chamberlin, “Each producer within the group is a monopolist, yet his market is interwoven with those of his competitors, and he is no longer to be isolated from them.” In the product group, the demand for each product has high cross elasticity so that when the price of other products in the group changes, it shifts the demand curve.

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Theory of Group Equilibrium

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Chamberlin develops his theory of long-run group equilibrium by means of two demand curves DD and dd, as shown in figure 4.34. The demand curve facing the group is DD. It is drawn on the assumption that all firms charge the same price and are of equal size. dd represents an individual firm's demand curve. The two demand curves reflect the alternatives that face the firm when it changes its price. In the figure, the firm is selling OQ output at OP price. As a member of the group with product differentiation, the firm can increase its sales by reducing its price for two reasons. First, because it feels that the other firms will not reduce their prices; and secondly it will attract some of their customers. On the other hand, if it increases its price above OP, its sales will be reduced because the other firms in the group will not follow it in increasing their prices and it will also lose some of its customers to the others.

Thus the firm faces the more elastic demand curve dd. But if all firms in the product group reduce (or increase) their prices simultaneously, the firm will face the less elastic demand curve DD.

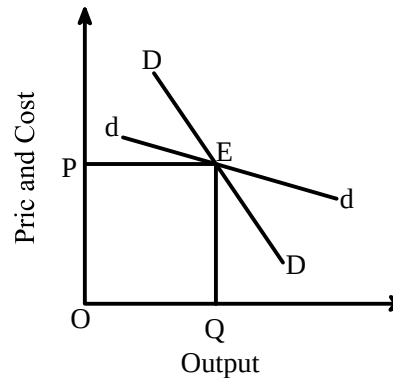


Figure 4.34

Its Assumptions

Chamberlin's group equilibrium analysis is based on the following assumptions:

- 1) The number of firms is large.
- 2) Each firm produces a differentiated product which is a close substitute for the other's product.
- 3) There is a large number of buyers.
- 4) Each firm has an independent price policy and faces a fairly elastic demand curve, at the same time expecting its rivals not to take any notice of its actions.
- 5) Each firm knows its demand and cost curves.
- 6) Factor prices remain constant.
- 7) Technology is constant.
- 8) Each firm aims at profit maximisation both in the short-run and the long-run.
- 9) Any adjustment of price by a single firm produces its effect on the entire group so that the impact felt by any one firm is negligible. This is the symmetry assumption.
- 10) As put forth by Chamberlin, there is the "heroic assumption" that both demand and cost curves for all the 'products' are uniform throughout the group. This is the uniformity assumption.
- 11) It relates to the long-run.
- 12) No new firm can enter the group.

Given these assumptions and the two types of demand curves DD and dd , Chamberlin explains the group equilibrium of firms. He does not draw the MR curves corresponding to these demand curves and the LMC curve to the LAC curve to simplify the analysis.

Figure 4.35 represents the long-run equilibrium of the group under monopolistic competition. Adjustment of long-run equilibrium starts from point A where dd and DD curves intersect each other so that Q_A is the short-run equilibrium price level at which each firm sells OQ quantities of the product. At this price-output level, each firm earns $PABC$ super-normal profits. Regarding dd as its own demand curve each firm applies a price cut for the purpose of increasing its sales and profits on the assumption that other firms will not react to its action. But instead of increasing its quantity demanded on the dd curve, each firm moves along the DD curve. In fact, every producer thinks and acts alike so that the dd curve “slides downward” along the DD curve. This downward movement continues until it takes the shape of the $d_1 d_1$ curve and is tangent to the LAC curve at A_1 . This is the long-run group equilibrium position where each firm would be earning only normal profits by selling OQ_1 quantities at $Q_1 A_1$ price. If the $d_1 d_1$ curve slides below the LAC curve, each firm would be incurring losses (not shown in the figure to keep the analysis simple). Such a situation cannot continue in the long-run and price would have to be raised to the level of A_1 to eliminate losses. Thus each firm will be of the optimum size and operate the optimum scale plant represented by the LAC curve and produce ideal or optimum output OQ_1 .

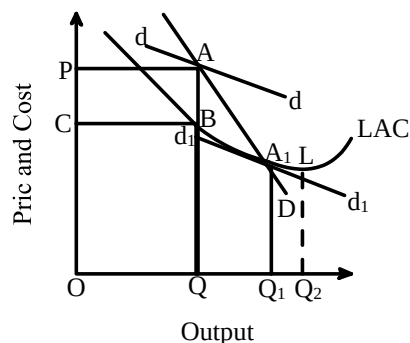


Figure 4.35

4.10 OLIGOPOLY (KINKED DEMAND CURVE)

Oligopoly is a market situation in which there are a few firms selling homogeneous or differentiated products. It is difficult to pinpoint the number of firms in the oligopolist market. There may be three, four or five firms. It is also known as competition among the few. With only a few firms in the market, the action of one firm is likely to affect the others. An oligopoly industry produces either a homogeneous product or heterogeneous products. The former is called pure or perfect oligopoly and the latter is called imperfect or differentiated oligopoly. Pure oligopoly is found primarily among producers of such industrial products as aluminium, cement, copper, steel, zinc, etc. Imperfect oligopoly is found among producers of such consumer goods as automobiles, cigarettes, soaps and detergents, TVs, rubber tyres, refrigerators, typewriters, etc.

Price Determination Under Oligopoly

We shall confine our study to the non-collusive oligopoly model of Sweezy (the kinked

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demand and to the collusive oligopoly models relating to cartels and price leadership.

1. The Sweezy Model of Kinked Demand Curve (Rigid Prices)

In his article published in 1939, Prof. Sweezy presented the kinked demand curve analysis to explain price rigidities often observed in oligopolistic markets.

Sweezy assumes that if the oligopolistic firm lowers its price, its rivals will react by matching that price cut in order to avoid losing their customers. Thus the firm lowering the price will not be able to increase its much. This portion of its demand curve is relatively inelastic. On the other hand, if the oligopolistic firm increases its price, its rivals will not follow it and change their prices. Thus the quantity demanded of this firm will fall considerably. This portion of the demand curve is relatively elastic. In these two situations, the demand curve of the oligopolistic firm has a kink at the prevailing market price which explains price rigidity.

Its Assumptions

The kinked demand curve hypothesis of price rigidity is based on the following assumptions:

- 1) There are few firms in the oligopolistic industry.
- 2) The product produced by one firm is a close substitute for the other firms.
- 3) The product is of the same quality. There is no product differentiation.
- 4) There are no advertising expenditures.
- 5) There is an established or prevailing market price for the product at which all the sellers are satisfied.
- 6) Each seller's attitude depends on the attitude of his rivals.
- 7) Any attempt on the part of a seller to push up his sales by reducing the price of his product will be counteracted by other sellers who will follow his move.
- 8) If he raises the price, others will not follow him, rather they will stick to the prevailing price and cater to the customers, leaving the price-raising seller.
- 9) The marginal cost curve passes through the dotted portion of the marginal revenue curve so that

changes in marginal cost do not affect output and price.

The Model

Given these assumptions, the price-output relationship in the oligopolist market is explained in Figure 4.36 where KPD is the kinked demand curve and OP_0 the prevailing price in the oligopoly market for the OR product of one seller. Starting from point P, corresponding to the current OP_0 , any increase in price above it, will considerably reduce his sales, for his rivals are not expected to follow his price increase. This is so because the KP portion of the kinked demand curve is elastic, and the corresponding portion KA of the MR curve is positive. Therefore, any price - increase will not only reduce his total sales but also his total revenue and profit.

On the other hand, if the seller reduces the price of the Product below OP_0 (or P), his rivals will also reduce their prices. Though he will increase his sales, his profit would be less than before. The reason is that the PD portion of the kinked demand, curve below P is less elastic and the corresponding part of marginal revenue curve below R is negative. Thus in both the price-raising and price-reducing situations the seller will be a loser. He would stick to the prevailing market price OP_0 which remains rigid

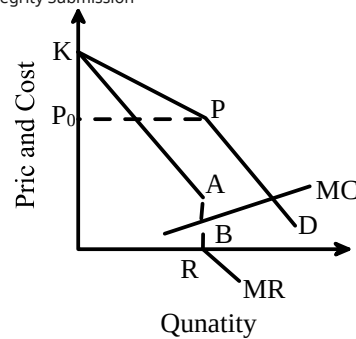


Figure: 4.36

In order to study the working of the kinked demand curve, let us analyse the effect of changes in cost and demand conditions on price stability in the oligopolistic market.

Changes in Costs. In oligopoly under the kinked demand curve analysis, changes in costs within a certain range do not affect prevailing price. Suppose the cost of production falls so that the new MC curve is MC_1 to the right, as in figure 4.36. It cuts the MR curve in the gap AB so that the profit maximizing output is OR which can be sold at OP_0 price. It should be noted that with any cost reduction the new, MC curve will always cut the MR curve in the gap because as costs fall the gap AB continues to widen due to two reason; 1) As costs fall, the upper portion KP of the demand curve becomes more elastic because of the greater certainty that a price rise by one seller will not be followed by rivals and his sales would be considerably reduced. (2) With the reduction the lower portion PD of the kinked curve becomes more elastic, because of the greater certainty that a price reduction by one seller will be followed by the other rivals.

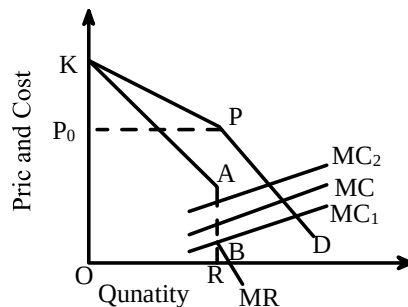


Figure 4.37

Thus the angle KPD tends to be a right angle at P and the gap AB widens so that any MC curve below point A will cut the marginal revenue curve inside the gap. The net result is the same output OR at the same price OP_0 and large profits for the oligopolistic sellers.

In case the cost of production rises the marginal cost curve will shift to the left of the old curve MC as MC_2 . So long as the higher MC curve intersects the MR curve within the gap up to point A, the price situation will be rigid. However, with the rise in costs the price is not likely to remain stable indefinitely and if the MC curve rises above point A, it will intersect the MC curve in the portion KA so that a lesser quant is sold at a higher price. We may conclude that there may be price stability under oligopoly even when costs changes so long as the MC curve cuts the MR curve in its discontinuous portion. However, chances of the existence of price-rigidity are greater where there is a reduction in costs than there is a rise in costs.

Changes in Demand. We now explain price rigidity where there is a change in demand

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with the help of Figure 4.38, D_2 , is the original demand curve, MR_2 is its corresponding marginal revenue curve and MC is the marginal cost curve. Suppose there is a decrease in demand shown by DJ curve and MR_1 is its marginal revenue curve. When demand decreases, a price-reduction move by one seller will be followed by other rivals. This will make LD_1 , the lower portion, of the new demand curve, more inelastic than the lower portion HD_2 of the old demand curve. This will tend to make the angle at L approach a right angle. As a result, the gap EF in MR_1 curve is likely to be wider, than the gap AB of the MR_2 curve. The marginal cost curve MC will therefore, intersect the lower marginal revenue curve, MR_1 inside the gap EF , thus indicating a stable price for the oligopolistic industry. Since the level of the kinks H and L of the two demand curves remains the same, the same price OP is maintained after the decrease in demand. But the output level falls from OQ_2 to OQ_1 . This case can be reversed to show increase in demand by taking D_1 and MR_1 as the original demand and marginal revenue curves and D_2 and MR_2 as the higher demand and marginal revenue curves respectively. The price OP is maintained but the output rises from OQ_1 to OQ_2 . So long as the MC curve continues to intersect the MR curve in the discontinuous portion, there will be price rigidity.

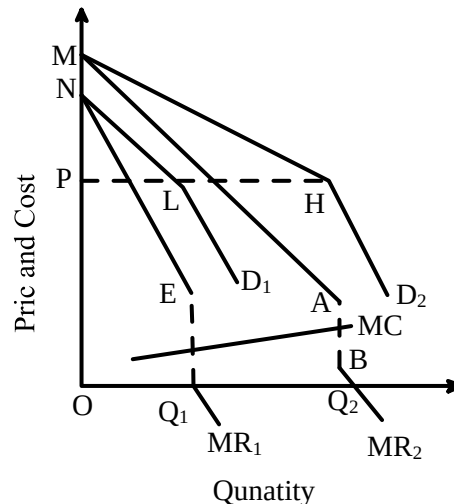


Figure:4.38

However, if demand increases, it may lead to a higher price. When demand increases, a seller would like to raise the price of the product and others are expected to follow him. This will tend to make the upper portion MH of the new demand curve elastic than the NL portion of the old curve. Thus the angle at H becomes obtuse away from the right angle. The gap AB in the MR_2 curve becomes smaller and the MC curve intersects the MR_2 curve above the gap, indicating a higher price and lower output. If, however, the marginal cost curve passes through the gap of MR_2 there is price stability.

Conclusion. The whole analysis of the kinked demand curve points out that price rigidity in oligopolist markets is likely to prevail if there is a price reduction move on the part of all sellers. Changes in costs and demand also lead to price stability under normal conditions so long as the MC curve intersects the MR curve in its discontinuous portion. But price increase rather than price rigidity may be found in response to rising cost or increased demand.

Reasons for Price Stability

There are a number of reasons for price rigidity in certain oligopoly markets.

- 1) Individual sellers in an oligopolistic industry might have learnt through experience the futility of price wars and thus prefer price stability.
- 2) They may be content with the current prices, outputs and profits and avoid any involvement in unnecessary insecurity and uncertainty.
- 3) They may also prefer to stick to the present price level to prevent new firms from entering the industry
- 4) The sellers may intensify their sales promotion efforts at the current price instead of reducing it. They may view non-price competition better than price rivalry.
- 5) After spending a lot of money on advertising his product, a seller may not like to raise its price to deprive himself of the fruits of his hard labour. Naturally, he would stick to the going price of the product.
- 6) If a stable price has been set through agreement or collusion, no seller would like to disturb it, for fear of unleashing a price war and thus engulfing himself into an era of uncertainty and insecurity.
- 7) It is the kinked demand curve analysis which is responsible for price rigidity in oligopolistic markets.

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4.11 SUMMARY

Market, in economics, does not refer to any particular place or region. In the ordinary language, market is identified with a particular place. Market refers to any area where buyers and sellers come in contact with each other either face to face or by using modern means of communication to transit business at a certain price at a given point of time. In economics, a perfect market is defined by several conditions, collectively called perfect competition. Competition in business or trade implies the presence of more than one seller and one buyer in a particular market in a competitive market, each seller acts independently of other sellers and each buyer also acts independently of other buyers. Competition thus involves more than one buyer and one seller. The price or value of a commodity, under perfect competition, is determined by the demand for and supply of a commodity. The word monopoly is derived from two Greek words—mono and ploy. The meaning of mono is single and ploy means selling. Monopoly, therefore, prevails in the market when there is a single seller. This is the common sense definition of monopoly. In Economics, the monopolist is defined as the sole producer of a product which has no close substitutes. Oligopoly is a market situation where there are a few sellers. The word oligopoly is derived from two Greek words-oligo meaning a few and polein meaning sell. Oligopoly is pure or homogeneous if the firms produce a homogeneous product (e.g. steel, cement etc.). It is differentiated oligopoly when the product is differentiated (e.g. automobiles, cigarettes etc.).

4.12 KEYWORDS

Perfect Competition

Economists have broadly classified the market structure on the basis of competition into two categories, viz. the Perfect competition and the Imperfect competition.

Pure Competition

The terms Perfect Competition and Pure Competition are many a time used synonymously. But in economic literature we draw a line of distinction between the two.

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Imperfect Competition

Mrs. Joan Robinson has developed the concept of imperfect competition. According to her, in the present world market structures are neither perfectly competitive nor entirely monopolistic in nature. Market structures are imperfectly competitive. There are numerous factors which make the competition imperfect. Important among them are inertia and ignorance, cost of transport, location, quality competition, differences in facilities provided, attention paid to individual wants, advertisement and salesmanship. Sellers in such a market may follow secret and individual output and price policy so as to reap the maximum benefit. An important feature of imperfect competition is that the non-price competition plays a significant role under imperfect competition.

D. Monopoly

Pure monopoly is the outcome of imperfections in market competition. It is said to exist when the firm is the sole producer of some commodity for which there are no close substitutes. He is the only producer of a commodity in question in the market and as such exercises a complete control over the supply and price so as to earn supernormal profits. A pure monopolist faces no imminent threat of competitors. It is a market structure characterised by the absence of competition. Monopolist thus emerges when he becomes the sole producer of a particular product. Pure monopoly rarely exists in practice.

Monopolistic Competition

Professor Edward Hastings Chamberlin of Harvard University is considered to be the main architect and builder of the theory of monopolistic competition. According to him, the modern market structure is characterized by the presence of rival monopolists competing with each other with their prices, products and advertising campaigns. Every producer is a sort of monopolist and between such monopolist-producers there is competition. Hence, modern market structure consists of both the elements-Monopoly and Competition. Since modern markets combine both monopoly and competition they are called Monopolistically Competitive markets.

Oligopoly

Oligopoly is an important form of imperfect competition. It is a market structure characterised by the presence of a small number of large firms producing the bulk of output in the market. Oligopoly exists when there are two or more than two, but not many sellers, of a product in the market. It is essentially a competition among the few. Though there is no hard and fast rule regarding the exact number of firms constituting oligopoly, it is generally said to exist when the number of sellers of the product is between two and ten. Oligopoly may be of two kinds: (i) Pure Oligopoly and (ii) Differentiated Oligopoly.

Market Period

Very short period is defined as one in which the supply is more or less fixed. It is a period of a day or a few days. The fundamental feature of this period is that it will be so short that supplies of the commodity in question will be limited to the existing stocks. It generally exists for perishable commodities like fish, milk, vegetables etc. Supply being given, the change in demand influences the price. The equilibrium between demand and supply established under this period is purely a temporary phenomenon. This period is also known as the market period. The price which prevails in this period, when supply does not have sufficient time to alter, is called the market price.

Pure Monopoly

Pure monopoly prevails in the market when the monopolist is in a position to take away

the whole of the community's income all the time. This happens only when the average revenue curve is a rectangular hyperbola having elasticity of demand equal to one. In other words, under pure monopoly the cross elasticity of demand between the product of the firm and that of other commodities in the market is zero. The firm, under pure monopoly, is so powerful that it can fix any fantastic price for the product in question. The firm is in a position to take away the whole of the community's income, whatever may be the price.

Monopolistic Competition

Monopolistic competition is a combination of both "monopoly" and "competition". It is a situation in between 'competition' and "monopoly". It prevails when there are many firms producing commodities similar to one another. The firms under monopolistic competition produce commodities which are similar to one another, but not identical. The credit of developing a systematic theory of monopolistic competition goes to Professor Edward Hastings Chamberlin of Harvard University. He is regarded as the main architect and builder of the theory of monopolistic competition. Professor Chamberlin discovered the term 'monopolistic competition' to show that in reality there exists neither perfect competition nor monopoly. The modern world is characterised by the presence of rival monopolists competing with one another with their prices, output and advertising campaigns. Each producer is a sort of monopolist and between such monopolists there is competition.

Product Differentiation

The most important and distinguishing feature of monopolistic competition is product differentiation. In monopolistic competition neither products are homogeneous as in perfect competition, nor are they remote substitutes as in monopoly. Under monopolistic competition there are various 'monopolists' who compete with each other. These monopolists do not produce identical goods. They also do not produce the goods which are completely different. They produce the goods which are different in some ways and not altogether different. Therefore, it is said that under monopolistic competition producers produce goods which are similar but not identical. Brands, trade marks, trade names, distinctive designs, peculiarities of packaging and wrappers are some of the popular methods by which products are differentiated under monopolistic competition.

Selling Costs

Selling costs are defined by Professor Chamberlin as those "cost which are incurred to alter the shape and/or position of the demand curve for a product". These are incurred to increase the demand for a product. Earlier the theory of value was formulated on the assumption that the demand is given and consumers possess perfect knowledge. But this is not the case in reality. The consumers, many a time, do not have perfect knowledge. They also do not know the products that are in the market. They know nothing about the prices of products and their availability.

Price-Leadership and Oligopoly

Price leadership implies that the firms, in an industry follow the price lead of one firm. Prices are mostly uniform if the products are physically homogeneous. When the products are differentiated, prices can be uniform or can follow a definite pattern of price-differentials. The leader announces a price change, according to his calculations say 5 per cent and others also change their prices by 5 per cent.

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4.13 REVIEW QUESTIONS

1. Explain the market forms.
2. Define market? Explain the market classifications.
3. Discuss about the perfect market.
4. Explain about the imperfect markets.
5. Explain the nature and types of competition.
6. Define price and output determination, under perfect competition.
7. Explain the equilibrium of the firm in the short-run.
8. Discuss about the equilibrium of the industry in the short-run.
9. Difference between equilibrium of both the firm and the industry.
10. Discuss about the competitive industry in short-run.
11. Explain the meaning of monopoly. What are the types of monopoly.
12. Explain the price determination under monopoly.
13. Define elasticity's of monopoly? What are the profit positions in monopoly.
14. Explain the equilibrium position both in short-run and long-run under monopoly.
15. Explain the price discrimination.
16. What are the consequences of monopoly?
17. Discuss about the monopolistic competition.
18. Distinguish between monopolistic competition Vs. imperfect competition.
19. Explain about the oligopoly (Kinked demand curve).

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UNIT 5

FACTOR PRICING

Structure

- 5.0 Aims and Objectives
- 5.1 Introduction
- 5.2 Marginal productivity theory of distribution
- 5.3 Theory of Wage Determination
 - 5.3.1 The Subsistence Theory of Wages
 - 5.3.2 The Standard of Living Theory of Wages
 - 5.3.3 The wage Fund Theory
- 5.4 Wages and Collective Bargaining
 - 5.4.1 Wage Differences
 - 5.4.2 Collective Bargaining
 - 5.4.2.1 Characteristics of Collective Bargaining
 - 5.4.2.2 Principles of Collective Bargaining
- 5.5 Rent
 - 5.5.1 The Ricardian Theory of Rent
 - 5.5.2 Scarcity Rent
 - 5.5.3 Quasi Rent
- 5.6 Interest Theory
 - 5.6.1 Classical Theory of Interest
 - 5.6.2 Neo-Classical or Loanable Funds Theory of Interest
 - 5.6.3 Keynes' Liquidity Preference Theory of Interest
- 5.7 Profit theory
 - 5.7.1 The Dynamic Theory
 - 5.7.2 The Innovation Theory
 - 5.7.3 The Risk Theory
 - 5.7.4 The Uncertainty-bearing Theory
- 5.8 Summary
- 5.9 Keywords
- 5.10 Review Questions

5.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Explain the marginal productivity theory of distribution
- Describing concept of wage and minimum wage
- Define rent and its types
- Explain collective bargaining.

5.1 INTRODUCTION

The theory of distribution or the theory of factor pricing deals with the determination of the share prices of four factors of production, viz., land, labour, capital and organization. The share of land in Economics, is named as Rent, the share of labour as Wages, the share of capital as Interest and the share of organization as Profit. The four factors of production in co-operation with one another produce annually a net aggregate of commodities, material and non-material. This we name as national income. The national income is to be shared among the four factors of production which have contributed to this production. In the theory of distribution, we are chiefly concerned with the principles according to which the price of each factor of production is determined and distributed. In the words of Chapman: "The Economics of distribution or the pricing of factors accounts for the sharing of the wealth produced by a community among the agents or the owners of the agents which have been active in its production". Distribution is functional and not personal.

5.2 MARGINAL PRODUCTIVITY THEORY OF DISTRIBUTION

Marginal Productivity theory of Distribution

1. The market price for a factor of production is determined by the supply and demand for that factor.
2. Demand for a factor of production is derived from the demand for the things it helps produce.
3. Demand by a firm for a factor of production is the marginal productivity schedule of the factor.
4. Cost-minimizing firms will hire factors of production until the cost of hiring an additional unit of the factor, the marginal factor cost, equals the revenue gained from selling the additional output created by using that additional unit of the factor, the Value of Marginal Product or Marginal Revenue Product.

Marginal Factor Cost = Marginal Revenue Product

In the example below, we see the marginal physical product of labor in a model with one fixed factor of production, land. Assume that the output, corn, and the input, labor, are both bought and sold in perfectly competitive markets. This means that the farm is a perfectly competitive firm in the corn market, and that each laborer is a perfectly competitive seller in the market for labor.

The firm is the perfectly competitive seller in the corn market, and a perfectly competitive buyer in the labor market.

Total Physical Product	Land	Labor	Average Physical Product	Marginal Physical Product
0 Bushels	5 Acres	0		
				10
10 Bushels	5 Acres	1	10	
				15
25 Bushels	5 Acres	2	12.5	
				12
37 Bushels	5 Acres	3	12.3	
				10
47 Bushels	5 Acres	4	11.7	
				8
55 Bushels	5 Acres	5	11	
				5
60 Bushels	5 Acres	6	10	
				2
62 Bushels	5 Acres	7	8.9	
				1
63 Bushels	5 Acres	8	7.9	
0 Bushels	5 Acres	0		

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If the wage, measured in bushels of corn, is 10 bushels per worker, then the equilibrium number of workers hired will be 4, as seen in the supply and demand graph for labor by this farm. The marginal physical product curve is the demand curve for labor by the farmer. The flat supply curve of labor is what the farmer sees as the labor supply curve in this perfectly competitive market for labor.

The firm will minimize its costs of production by hiring workers until the cost of hiring an additional worker is equal to the additional output that last worker hired generates: Wage in Bu of corn = Marginal Physical Product of last worker hired. [or, Real wage = MPP]

If we had a money economy, then the cost minimization condition is that the cost of hiring an additional worker equals the additional revenue the last worker hired generates. Suppose the price of a bushel of corn is \$20. Assume the money wage is \$100 per growing season.

Then, the cost minimizing situation occurs when: Money Wage = Marginal Physical Product * Marginal Revenue from selling additional corn produced. [or, $w = MPP * MR$]
Since the corn producer sells in a perfectly competitive market, $P = MR$.

Our condition becomes: Money wage = MPP * Price of corn $\$100 = MPP * \$20 \implies$
Hire 6 workers, since MPP of sixth worker is 5 bushels.

The graph is similar to that above, but marginal revenue product will be the demand curve, instead of marginal physical product.

Distribution and value theory rests on three points

1. Technology defines the production function.
 2. The demand for factors of production are derived from the goods those factors produce.
 3. Relative factor supplies, in conjunction with factor demand, determines factor price.
- Profit maximizing firms demand factors of production because these factors enable

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the firm to produce a good individuals want to buy.

If a firm is maximizing profits, in perfect competition, it will find Q to set $P = MC$.

Thus, for a firm using multiple variable inputs, the cost-minimizing and profit conditions together imply

$$MPP_1/W_1 = MPP_2/W_2 = \dots = 1/MR = 1/MC$$

If this condition holds, factors are hired efficiently, resources are allocated efficiently, costs are minimized, and profits are maximized.

But, in long-run equilibrium, those Max Profits will be ZERO. For a price taking firm, buying inputs in perfectly competitive markets, $P=MR$, we have;

Money wage = Price of Firm's output * marginal physical product

$w = \text{Price of output} * \text{Marginal Physical Product}$ or $w = MRP$ [Money wage = Marginal Revenue Product.]

For a price setting firm, buying inputs in a perfectly competitive market: $w = MR * MPP = MRP$.

Demand for labor will shift if

1. Demand for producers output changes
2. New technology is introduced
3. Variations in use of other factors occurs
4. Amount of human capital in the labor force changes

Elasticity of demand for labor depends on

1. Elasticity of demand for the good labor produces. The more elastic the demand for the output, the more elastic the demand for labor.
2. Proportion of labor cost to total cost. The demand for labor is more elastic, *ceteris paribus*, then labor's share of total costs is higher.
3. Ease of substitution of other factors of production for labor. The easier it is to substitute other inputs for labor, the greater is the elasticity of demand for both inputs.

Labor supply depends on

1. Labor force participation rates
2. Number of hours people are willing to work
3. Value of human capital, i.e., skill, education and training of work force.

Labor supply exhibits a purchasing power effects and a substitution effect when wages change. Higher wages mean work is substituted for leisure. But, higher wages mean that each hour worked brings the worker more purchasing power per hour worked.

If leisure is a normal good, higher wages will also make workers want to work less.

If substitution effect → purchasing power effect, labor supply slopes upward.

If substitution effect ← purchasing power effect, labor supply slopes downward → Backward bending supply of labor.

This is true for an individual's labor supply, not for the market supply of labor curve. It is assumed that the backward-bends average out in the end.

Demand for labor represents marginal benefits society receives from additional employment.

Supply of labor represents marginal costs to society from using those resources.

Human Capital: Capabilities of an individual

1. Education improves capabilities of a worker and has beneficial external effects for society.
2. Training gives benefits to the individual. It may be specific or general, i.e., cannot be taken with the worker from where he or she learned it, or it can be taken away. Turnover and quit rates are negatively correlated with specific training. Firms want to keep the workers they have trained. Firms that invest in their workers will pay high wages and have benefits packages for them, to keep them from leaving for other jobs.

Monopsonist: Sole Buyer in the Market

A firm that is a monopsonist in the market for labor is the only buyer of labor. Monopsony power causes the marginal factor cost (MFC) to be larger than the wage. This is analogous to the effect a monopolist has on marginal revenue and price in an output market.

MP of labor	Output in Bushels	Workers per season	Wages per worker per season	Total Labor Cost	Marginal Factor Cost = DTLC/D Workers
	150	1	\$225	\$225	
125	275	2	\$275	\$550	\$325
100	375	3	\$350	\$1050	\$500
75	450	4	\$450	\$1800	\$750
50	500	5	\$575	\$2875	\$1075

If Money Wage = \$375 per season, $P_c = \$5/\text{BU}$, then a monopsonistic buyer of labor will force a reduction in employment.

Note, if perfect competition in labor market,

Money Wage = MRP when 4 workers hired:

$$\$375 = \$5 * 75$$

With monopsony

MFC = MRP is cost minimization rule.

$$\$500 = \$500 \text{ when 3 workers hired.}$$

How are factors of production distributed to competing uses

1. Equal net advantage: Input owners will sell factors to industry with highest net advantage, considering monetary and non-monetary rewards vs. costs. (College professors are paid less than private sector Ph.D.'s)
2. Factor mobility: If a factor will move from one use to another for a small change in incentives or pay, it is highly mobile. Labor within a geographic area is more mobile than it is across areas.

Labor is immobile across many occupations: engineers, lawyers, doctors, trained technicians.

Labor Mobility

- a. Increases as time lengthens.

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- b. Easier between jobs in same area.
- c. Easy for jobs in same occupation
- d. Education provides “upward” mobility.
- e. New job opportunities raise mobility.
- f. Barriers to entry restrict mobility

3. Factor Price Differentials: Why do some types of labor get paid more than others?

- a. Dynamic differentials: Disequilibrium as market adjusts. Electrical engineers make more than civil engineers, until supply catches up with demand.
- b. Equilibrium differentials: Caused by differences in the types of training and skill individuals possess, and the demand for their services.
 1. Different skill levels are paid differently because skill is rare with regard to demand for it.
 2. Compensate different costs of acquiring skills.
 3. Differentials may reflect non-monetary compensation. {Professors}

Economic Rent

Transfer Earnings is amount a factor must earn to keep it from moving to another use; opportunity cost of alternative use. Pure Economic Rent is amount that is in excess of transfer earnings.

Factors in fixed supply earn only pure economic rent. Idea was stated by David Ricardo in discussing the Corn Laws- He realized that land had no where to go if demand rose and fell for its output. Its opportunity costs were “zero”, since farm land was farm land, and of no other use, in his view.

Henry George: 1886 ran for Mayor of NYC. Advocated “single tax” on land, since land was perfectly inelastic in supply. Taxing land will cause no waste, and no escape of the tax. Landlords would bear whole tax burden.

5.3 THEORY OF WAGE DETERMINATION

Wages are a payment for the services of labour, whether mental or physical. Though in ordinary language an office executive a minister or a teacher is said to receive a salary, a lawyer or a doctor a fee; and a skilled or unskilled worker a wage, yet in economics no such distinction are made for different services and all of them are said to receive a wage. In other words, wages include fees, commissions and salaries. It is another thing at some may be receiving more in the form of real wages and less in terms of money wages and vice versa. We shall refer to the problem later on.

Time and price wages: Wages may be paid weekly, fortnightly, or monthly and partly at the end of the year in the form of bonus these are time wages. But the bonus may be a task wage if a work is finished within a specified period or before that. Sometimes, time wages are supplemented by wages earned by working extra factory or a tailoring department as per one pair of shoes or pants manufactured. If the rate per pair of shoes or for pants is Rs 50, a worker will be paid according to the number of pairs of shoes or pants manufactured. These will be piece wages.

Theories of Wages

Different theories have been put forward from time to time to explain as to how wages

main elements of these theories are explained below.

5.3.1 The Subsistence Theory of Wages

The subsistence theory of wages was first immolated by the Physiocratic School of French Economists of 18th century. The theory was further developed and improved upon by German economists who called it as the Iron Law of Wages.

According to this theory, labour power is a commodity and its price is determined by its cost of production. Its cost of production is the minimum subsistence expenses required for the support of the worker and his family so that continuous supply of labor is maintained. The exponent of this theory held that wages have a tendency to settle only at the subsistence level or cost of production. If at any time, wages exceeded this level, workers finding themselves in better economic position, would marry as such, population would increase and with it the supply of labor. This tendency would continue to operate until wages were reduced to the minimum subsistence level. If on the other hand, wages fell below the subsistence level, there would be reduction in population through starvation or diseases among workers, thereby bringing about a shortage in the supply of labour. This tendency would continue to operate until wages were again raised to the minimum subsistence level. Thus the subsistence theory of wages reaches the conclusion that the wage level can neither rise nor fall below the minimum subsistence level.

Its Criticisms

This Theory has been Criticised on the following Grounds

1. **Wrongly based on the Malthusian Theory of Population.** The subsistence theory of wage is based on the Malthusian theory of population which in turn, is a highly controversial theory and never has its application in Western economies.
2. **Historically not Correct.** Critics also maintain that historically this theory has not been correct in its conclusion. Experience shown that a rise in wages is not necessarily accompanied by an increase in population; rather it is followed by a decline in the rate of growth of population.
3. **Unable to Explain Difference in Wages.** Labour market is characterized by heterogeneity of wage rates. If wage rates were to be equal to the subsistence level, then they would have been uniform for everyone. This is also a proof that the theory is unrealistic.
4. **One-sided Theory.** This theory approaches the problem of wage determination from the side of supply and completely ignores the demand side of labour. This theory is thus one sided.
5. **Highly Pessimistic.** This theory is highly pessimistic for the working class. It presents a very dark picture of the future of the society.
6. **No attention to Efficiency and Productivity.** According to this theory, wage rate for all workers tends to be equal to the minimum subsistence level, but it need not be so because workers differ in efficiency and productivity.

The discussion given above shows that the subsistence theory of wages is not a sound doctrine as it fails to present a correct empirical description of the actual facts in the labour market.

5.3.2 The Standard of Living Theory of Wages

The profounder of this theory were some classical economists of the late 19th century who presented a modified version of the subsistence theory of wages.

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The standard of living theory of wages states that in the long-run wages tend to equal the standard of living of workers. There is some standard of living to which workers are habituated. They will try to maintain it, which has no tendency to increase or decrease it.

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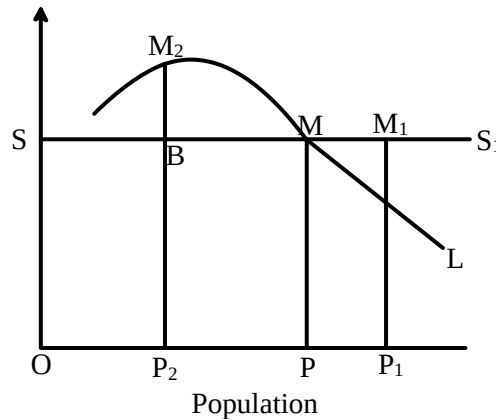


Figure 5.1

Although this level is determined primarily by physical or biological requirements, it is also determined by social and customary needs which, in turn, influence the renting of children. If wages fall below the established standard of living of workers, they will stop having children. As a result, population will decline. The supply of labour will be reduced, its marginal productivity will increase and wages will rise. Conversely, if wages rise above the standard of living workers will tend to have more children. Population will increase. The supply of labour will rise, its marginal productivity will decline and wages will fall.

This theory is explained in figure 5.1 where population is measured along the horizontal and standard of living on the vertical axis. Suppose the line SS_1 is the standard of living level of workers and L is the actual level of living curve. At OP level of population, the workers are maintaining $PM = (OS)$ standard of living. If the population rises to OP_1 level the actual level of living curve will be below the standard of living curve SS_1 , as shown by the distance AM_1 . As a result, the workers will stop having children. The population and supply of labour will decline and wages will rise. The standard of living of workers will again equal level of living curve at point M . On the other hand, if the population falls to OP_2 level, the actual level of living curve L will be above the SS_1 curve, as shown by the distance BM_2 . Consequently, the workers will have more children. The population and supply of labour will increase and wages will fall. The standard of living of workers will again equal their actual level of living curve at point M . Thus wages tend to equal the standard of living of workers in the long run.

Criticism

This theory is better than the subsistence theory of wages because it takes into account efficiency and productivity of workers.

Despite this, it is not free from certain criticisms.

1. **Interdependent:** The theory states that the standard of living determines wages. But standard of living is also determined by wages. The standard of living of a worker depends upon the wages he receives. Thus the standard of living and wage are interdependent.

2. **Standard of Living not Fixed:** The theory assumes that the standard of living of workers is fixed, as shown by the horizontal line SS_1 in Figure 5.1. In reality, standard of living rises when the wages of workers increases.
3. **Fails to explain wage Differentials:** This theory is based on the assumption that wages tend to equal the standard of living of workers. This means that all workers receive uniform wages. But workers in different categories and occupations receive different wages. Thus the theory fails to explain wage differentials.
4. **No Direct Relation between Wages and Population:** The theory assumes that wages and population are directly related. This is a wrong assumption. The experience of advanced countries shows that the rise in wages is not accompanied by an increase in population but by a decline in population via the increase in standard of living.
5. **Ignores the Demand for Labour:** This theory explains the determination of wages from the supply side and ignores the demand side of labour. Thus this theory is a one-sided theory.

5.3.3 The Wage Fund Theory

The wage fund theory was propounded by J.S. Mill. According to this theory, “Wages depend upon the proportion between population and capital, or rather between the number of the laboring class who work for hire and the aggregate of that may be called wage-fund”.

The theory says that wages are determined by two factors.

1. **Wage Fund:** It is that amount of capital which is set apart by the entrepreneurs for the direct purchase of the services of labour.
2. **Population:** It refers to that section of population which enters the labour market for employment.

The total wage-fund available for distribution among labourers is a fixed sum, the result of past saving or accumulation. Wages depend upon the proportion or ratio between circulating capital or wage-fund and population. The theory can be stated in the form of the following equation:

$$AW = \frac{\text{Wage Fund}}{\text{Population}}$$

This equation shows that wages can increase either when wage-fund increased or when population decreases. The wage-fund, argues Mill, can be increased by saving which is not under the control of workers. So, if they want an improvement in their wage level, they should reduce the numbers.

Its criticisms

This theory has been widely criticized on the following grounds.

1. **Unscientific:** Critics maintain that this theory rests upon the unscientific idea of a fixed fund. National income is a flow and not a fund, wages are paid out of national income and not out of a fixed fund set apart by entrepreneurs for the purchase of the services of labour.
2. **No Conflict between Wages and Profits:** The theory contends that there is a conflict between wages and profits. Mill maintained that an increase in wages will necessarily bring down profits. However, this may not happen. For example, during inflationary conditions, both profits and wages increase. Thus, the wage fund

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theory does not hold good in real life.

3. **Differences in Wages:** This theory cannot explain the existence of wage differentials among workers. This weakness makes the theory highly unrealistic. Critics maintain that if the wage differentials among workers. This weakness makes the theory highly unrealistic. Critics maintain that if the wage fund is fixed and the wage rate depends upon the number of workers seeking employment, then it follows that the wage rate throughout the country must be uniform. But in actual life, this is not the case.
4. **Labour is not Homogeneous:** The theory rests upon the assumption that labour is homogeneous. But this assumption is not in conformity with the facts of life. Workers differ in efficiency and productivity. In fact, labour is highly heterogeneous.
5. **Ignores the Influence of Trade Unions:** In modern times, trade unions are able to affect a rise in the wage level. But the wage-fund theory is incompetent to explain this phenomenon.
6. **Nature of Fixed Fund:** The theory is based upon the idea of a fixed fund. Critics point out that there does not exist anything like a fixed fund. Even if it exists in the mind of entrepreneur, it is subject to variations. It cannot remain fixed for ever. It can increase or decrease in accordance with the requirements for it.
7. **Ignores Productivity:** A main defect of the theory is that it completely ignores the effect of productivity on wages. Critics point out that the wage-fund comes from labour. Wages are no doubt drawn out of a reservoir of capital but this reservoir is constantly fed by the products of labour. The higher the efficiency, the higher will be the wages. But the wage fund theory does not take note of this fact.

Mill himself realized its weakness. Bowing down to the critics, he withdrew this in the second edition of his principles.

5.4 WAGES AND COLLECTIVE BARGAINING

The main function of a trade union is to raise wages and to improve the working conditions of its members. It replaces individual bargaining by collective bargaining and makes the rates of wages uniform for the same category of workers over the entire industry.

Under perfectly competitive labour market, wages in a particular industry are fixed by the forces of demand and supply. But unions can raise wages in the short-run by reducing the supply of labour.

This is illustrated in Panels (A) and (B) of figure 5.2. Panel (A) shows the equilibrium wage rate OW being determined by the equality of demand and supply of labour OE at point a . In Panel (B), at a given wage rate OW or WS , the firm employs Oe units of this labour. If the workers employed in this industry form a union, they cannot affect the demand for labour in the short-run. They may demand a wage rate above the equilibrium rate OW but it will tend to reduce the number of workers employed.

Suppose the union asks for OW_1 wage rate. This will tend to make the supply curve of labour perfectly elastic so that it now becomes W_1S_1 in place of SS in Panel (A). The new equilibrium position is established at n where the demand curve D intersects the supply curve W_1S_1 and the number of workers employed in the industry is reduced from OE to OE_1 . The given wage rate for the firm being W_1S_1 it will also employ less

workers than before, $Oe_1 < Oe$ as shown in figure 5.2 (B).

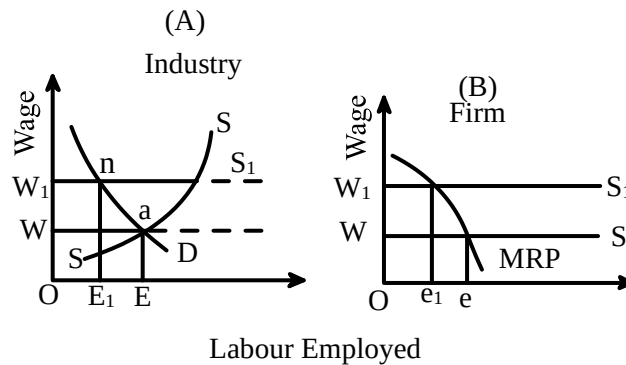


Figure 5.2

If the union wishes to maintain the increased wage rate, it will have to reduce the supply of labour. It may do so in a variety of ways: by encouraging the unemployed to seek jobs in other industries; by raising the membership fee for new entrants; by raising the apprenticeship period and by encouraging restrictions on immigration, etc. Above all, the reduction in supply will depend upon the elasticity of demand for labour. If the demand for labour is quite inelastic, then the reduction in supply would be small. But this is not likely to be the normal situation in the case of an industry.

If somehow the union is able to shift the MRP curve (demand curve for labour) upward to the right, the wage rate would be raised substantially and the employment would also expand. But to raise the demand for labour is not an easy job for the unions. This is possible over the long-run when technological changes raise the demand for the industry's product. The union can then demand a wage increase, the rise being negotiated by collective bargaining.

Marshall has conceived of certain situations when the union of a particular group of workers can raise the wages of its members by threatening to withdraw their supply. It is possible if (i) the demand for the services of that set of workers is inelastic; or (ii) the demand for the commodity which the group helps to produce is inelastic; or (iii) the wage-bill of this group forms a very small proportion of the total wage-bill of the concern so that a rise in their wages does not substantially affect the total cost of production of the commodity; and lastly, if the other co-operant factors are squeezable, that is, the wages of the other group of workers are reducible or the raw material suppliers are forced to accept low prices, etc. The union will be successful if any of these conditions is fulfilled. This is only possible in the short-run. In the long-run, the employer may try for substitutes by adopting a device to replace this group of workers.

In a perfectly competitive labour market, wages are paid equal to the marginal revenue product of labour. But competition is not perfect and labour is paid much below the marginal revenue product. A trade union can raise wages up to the marginal revenue product level by collective bargaining. A rise in the wage rate which equals the marginal revenue product of labour would neither affect employment nor output adversely. Assuming that the employers are not united a powerful trade union can force the industry to pay wages equal to the marginal revenue product. In such a situation, it is difficult to import even the 'black-legs'.

In the case of a monopsonist buyer of the services of labour, the workers will be paid less than their marginal revenue product and even the number of workers employed will be much smaller than the under perfectly competitive labour market. In figure 5.3, OE quantity of labour is employed at OW wage rate by the monopsonist, as against OE_1

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quantity of labour at OW_2 wage rate if there were perfect competition in the labour market. If the workers are organized, their union through collective bargaining can raise the wage rate to OW_2 , and at the same time increase employment to OE_1 up to the competitive market level C. But if the union tries to push up the wage rate above OW_2 , employment will fall. If the union follows the 'closed shop' policy and does not bother about increasing the level of employment, it can at best raise the wage rate to OW_1 . But employment will be reduced from OE_1 to OE. It means that the trade union has a monopoly in the selling of the services of labour and aims at destroying monopsonist exploitation by asking for OW_1 wage rate. This is the case of bilateral monopoly.

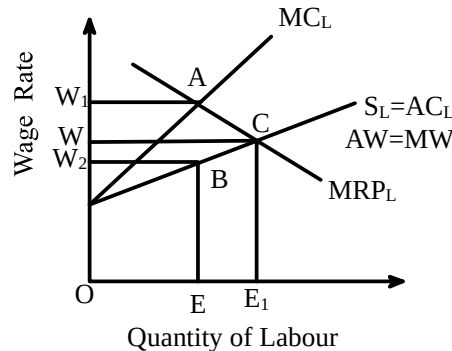


Figure 5.3

5.4.1 Wage Differences

An important reason why wages differ from one occupation to another is the existence of what are called 'non-competing groups'. An occupation becomes 'non-competing' when it provides a service which is non-substitutive and when the movement of labour into this.

In India generally the standard working hours are 44 to 48 hours per week. A standard working day comprises of 8 hours and a standard work week consists of five and a half to six days.

Occupation is difficult because it: (i) requires specialised training and education (doctors, engineers, etc.), (ii) involves possession of some specialised innate talents (singers, actors, cricketers, etc.), (iii) requires certain type of creativity (writers, poets, scientists) or (iv) involves uncommonly bold temperament to face occupational hazards (air-pilots, soldiers, foresters, etc.). Due to these characteristics a non-competing group earns wages higher than those earned by labour in highly competitive white collar or blue collar occupations like clerks, and mechanics. Wage differences among various occupations also arise on account of the characteristics of certain occupations. Actors and sportsmen earn higher wages because their working life is short and their income is irregular. Wages of workers in cargo shipping, oil drilling, etc. are higher to compensate for the hardships involved in these jobs.

Institutional factors like trade unions, and minimum wage laws also give rise to occupational wage differences. Employees in industries having strong trade unions or those covered by minimum wage laws generally earn higher wages than workers not so protected. For instance in India, wages of agricultural labourers are much lower than wages of low skilled industrial workers employed in large scale industries because the latter have formed powerful unions. Although there exist minimum wage laws for agricultural labourers in many states in India, these are often ignored since there are no

unions to ensure their implementation. It is difficult for agricultural workers to organize themselves into trade unions because they are locationally scattered and their employment is highly dispersed among many employers.

Wages differ from firm to firm in the same occupation due to factors such as ownership, location, perquisites, unions, and participation (or consultation) in decision making. Employees in government-owned banks in India earn higher wages than those working in cooperative or private banks because the former are protected by strong unions. Managerial staff in the Reserve Bank of India, Railways, Life Insurance Corporation, etc. receive salaries lower than salaries of management staff in large private sector corporations but enjoy advantages and perquisites “in the form of security of service, promotion by seniority, staff quarters, subsidised canteen, etc. Fresh MBAs from IIMfc joining medium-sized companies accept lower starting salaries than their counterparts joining large corporations because of the ample opportunities they are given to get involved in the decision-making process.

Individual Choice between Income and Leisure: One aspect of labour supply which has attracted considerable attention from economists is the effect of wage rate on an individual’s choice between ‘work’ (income) and leisure. The argument is that the curve showing an individual’s labour supply is backward bending because he/she prefers work or income more than leisure when wages are low but when wages are high leisure becomes relatively more important.

An adult individual who is independent and does not possess any wealth must work in order to earn an income. But he must also have leisure to enjoy the goods and services purchaseable with this income. However, since the total time at an individual’s disposal is fixed at 24 hours per day, the more the time he devotes to leisure, the less time he can spend at work to earn income. The individual’s choice between leisure and work amounts to a choice between leisure and income. If an individual wants to enjoy N hours of leisure in a day then he would be spending $(24 - N)$ hours at work and at the wage rate of W rupees per hour, he would earn income amounting to $[W(24 - N)]$ rupees per day. Moreover, an hour spent on leisure amounts to sacrificing the wage (or income) he could have earned during that hour. The wage rate is therefore the price or opportunity cost of leisure.

An important characteristic of ‘leisure’ is that it is a ‘normal’ good. As an individual’s income increases his demand for leisure increases because he would want to have more time to enjoy the comforts and luxuries affordable with this higher income.

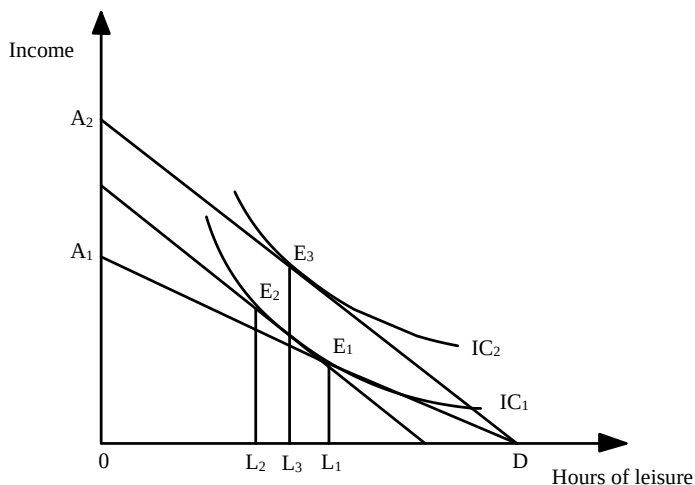


Figure : 5.4

Consider leisure and income as two ‘goods’. The maximum leisure an individual

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can have in a day is 24 hours as shown by point D in Figure. 5.4. Any point say, L_1 between the origin O and D shows that the individual has OL_1 hours of leisure and works for $(24-L_1) = L_1D$ hours. Any point A_1 on the y-axis shows the maximum income per day that the individual can earn by working 24 hours at the prevailing wage rate of W_1 per hour given by the slope of the budget line DA_1 . DA_1 shows the various combinations of income and leisure hours that the individual can obtain at the prevailing hourly wage rate, W_1 which is the slope (OA_1/OD). As the wage rate increases the slope of the 'budget' line DA_1 increases so that it shifts upwards as shown by the line DA_2 .

Now since an individual would like to have both income and leisure, we can derive an indifference curve showing those combinations of income and leisure which give him equal satisfaction. In a map of such 'income-leisure' indifference curves, a higher level of satisfaction is shown by a higher indifference curve.

The substitution effect of a rise in wage rate makes the individual substitute leisure by work i.e. income, thus increasing his supply of labour. At the same time the income effect of a rise in wage rate makes him demand more leisure, reducing his supply of labour. Hence, the price effect of a rise in wage rate may reduce or increase the supply of labour, depending upon which of the two effects is stronger.

In figure 5.4 the initial budget line DA_1 at the existing hourly wage rate (OA_1/OD) is tangent to the 'income-leisure' indifference curve IC_1 , at point E_1 . Thus, the individual is at maximum-satisfaction equilibrium when he has OL_1 hours of leisure and ON_1 level of income by working L_1D hours a day. Now suppose the hourly wage rate increases to (OA_2/OD) so that the budget line moves up to DA_2 . The 'substitution effect' shown by movement of the equilibrium from E_1 to E_2 on IC_1 , conveys that the individual's demand for leisure decreases from OL_1 to OL_2 hours and his supply of labour increases from L_1D to L_2D hours. The income effect of the rise in wage rate shown by the movement of the equilibrium from E_2 on IC_1 , to point E_3 on the higher indifference curve, IC_2 leads to an increase in individual's demand for leisure from OL_2 to OL_3 and reduce his supply of labour from L_2D to L_3D hours.

The price effect of a rise in price of leisure i.e., a rise in the wage rate shown by movement from E_1 on IC_1 , to point E_3 on IC_2 is the sum of the substitution effect reducing the individual's demand for leisure by L_2L_1 hours and the income effect increasing his demand for leisure by L_2L_3 hours. Since the substitution effect is greater than income effect, the individual reduces demand for leisure from OL_1 , to OL_3 hours when the wage rate rises from (OA_1/OD) to (OA_2/OD)

At low wage rates the individual is placed at low level of income. Since many of his wants for conventional necessities and comforts are unfulfilled, he values an increase in income much more than additional hours of leisure. However, an individual labourer's preferences for leisure and work (income), change at higher wage rates when he obtains high level of income. His wants for necessities and comforts having been satisfied, he wants time to watch TV, read books, and spend time with his family and friends. In other words, the individual places higher value on additional hours of leisure than on additional income. Consequently, at high level of wages if the wage rate increases further the decrease in demand for leisure due to the substitution effect would be less than the increase in demand for leisure due to the substitution effect would be less than the

increase in demand for leisure due to the income effect. Hence, at higher wage levels, the price effect of a rise in wage rate leads to an increase in the individual's demand for leisure i.e., it reduces the individual's supply of labour (work).

In figure 5.4, at the wage rate of (OA_4/OD) equilibrium is indicated by E_4 on IC_4 . He has leisure of OL_4 hours and income of OA_4 rupees. As the wage rate rises further to (OA_5/OD) as given by budget line DA_5 , the substitution effect, shown by the movement of the equilibrium from E_4 to E_5 on the same indifference curve IC_4 , reduces his demand for leisure to OL_5 hours. The income effect of this wage hike increases his demand for leisure to OL_6 by moving his equilibrium to point E_6 on a higher indifference curve IC_5 . This raises his demand for leisure from OL_5 to OL_6 hours. Since the increase in demand for leisure by L_5, L_6 hours due to income effect is greater than the decrease in demand for leisure by L_4, L_5 hours arising from the substitution effect, the price effect raises the demand for leisure increases by L_4, L_6 hours. Thus at the high wage levels a rise in price of leisure (i.e. rise in wage) increases the individual's demand for leisure from OL_4 to OL_6 hours and reduces his supply of labour (work) from DL_4 to DL_6 .

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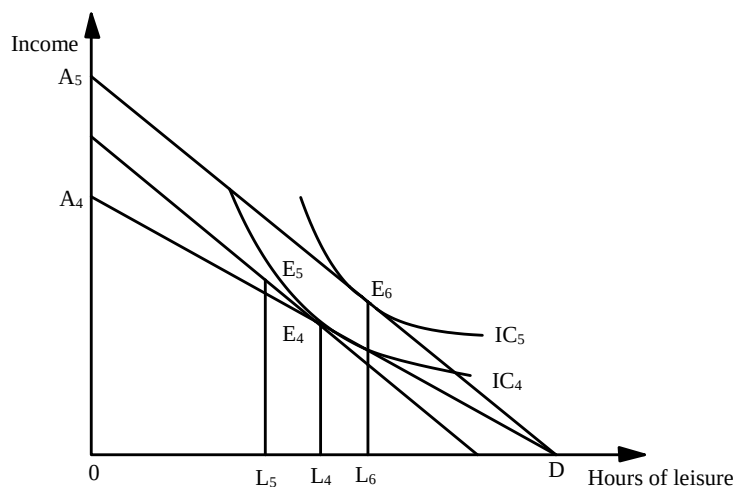


Figure: 5.5

From the above analysis, we find that at low level of income the price effect of a rise in wage rate reduces the individual's demand for leisure, whereas at higher levels of income, it increases the demand for leisure. Consequently, as figure 5.5 shows, the price consumption or the 'wage-leisure consumption' curve moves towards the left at low wage levels and at higher wage levels, this curve moves rightward.

This "C" shape of the wage-leisure consumption curve shows that an increase in the wage rate reduces an individual's demand for leisure and increases his supply of labour, upto a certain wage level; but thereafter a rise in wage rate increases his demand for leisure. Thus, the 'C' shape of 'wage-leisure consumption' curve leads to a backward-bending supply curve of individual's labour as shown in figure 5.6.

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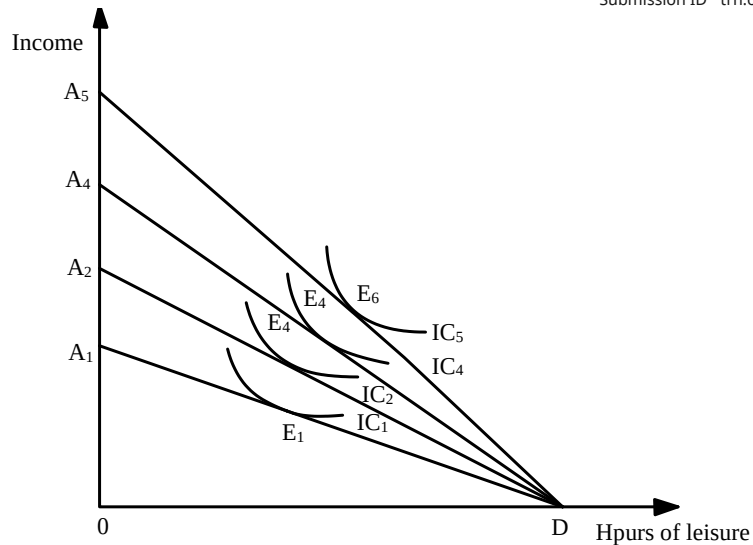


Figure : 5.6

Although an individual's labour supply curve is backward bending, this cannot be generalized for total supply of labour. The horizontal summation of the individual labour supply curves of many workers is most likely to be upward sloping at low as well as high wage levels.

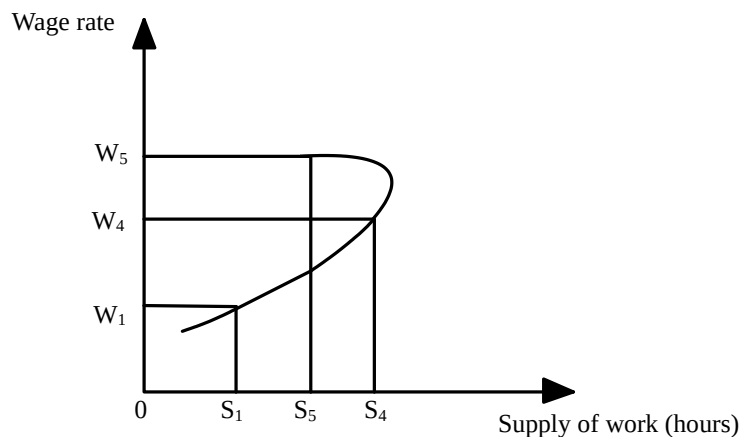


Figure : 5.7

In low-skill occupations such as farm labour, street cleaning, domestic service, construction and, small and cottage industries, entry into labour market is very easy since no prior education or training is required. The supply of labour in these occupations far exceeds the demand. Added to this is the fact the suppliers of labour in these occupations are poor, in dire need of work, and generally not unionised. Workers in these 'sweatshops' are made to work long hours and paid wages below-subsistence level because of their weak bargaining position. Due to its concern for social justice and 'fairness', the government deals with this problem by enacting and enforcing the minimum wage laws, under which it is illegal to pay workers a wage below the prescribed minimum. In India such laws are effectively enforced for factory workers but in many states the laws for agricultural labour have failed.

The enforcement of these laws is however not an unmixed blessing for the working class as a whole. This is because while minimum wages can surely eliminate exploitation of labour by a monopsonist employer, they adversely affect employment in a perfectly competitive labour market.

Figure 5.8 (a), shows that in a perfectly competitive labour market, the curves DL

and SL representing market demand and supply of labour intersect at point E , so that OW_1 is the equilibrium market wage. At this wage, total employment of labour is ON_1 . Figure 5.8(b) shows that an individual firm, buying labour from a perfectly competitive labour market faces perfectly elastic labour supply curve at the market wage, OW_1 . At this wage the individual firm employs OF_1 units of labour so that market wage OW_1 is equal to MRP of labour at point G_1 .

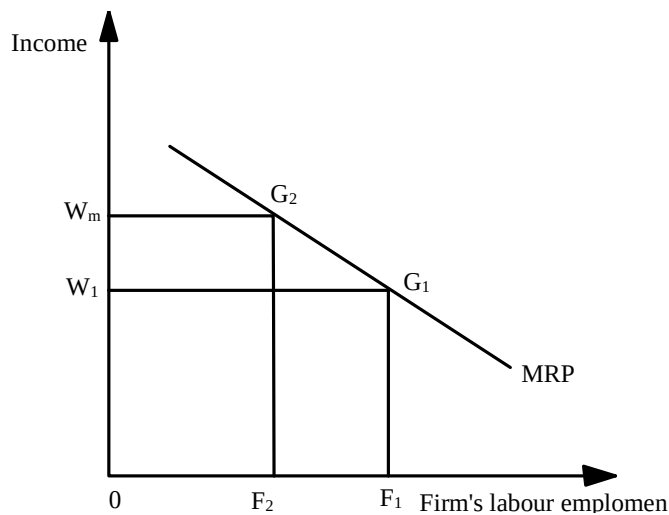


Figure : 5.8 (a)

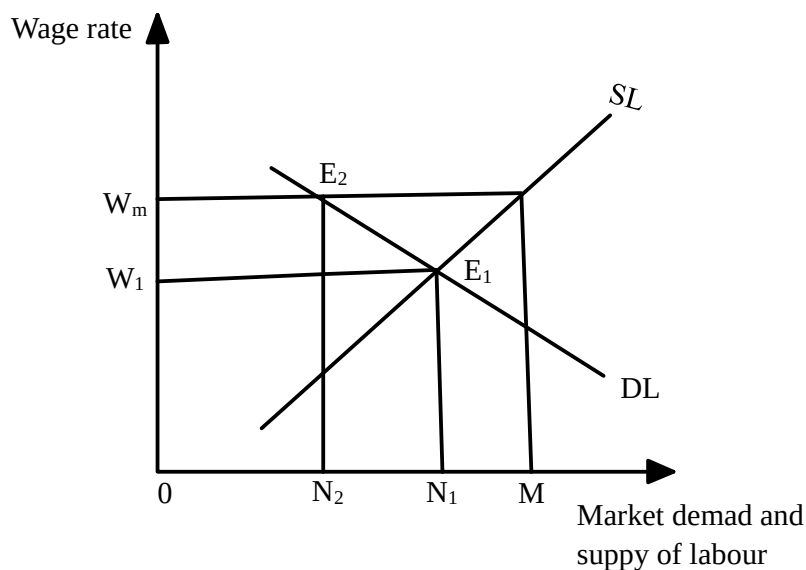


Figure : 5.8(b)

Now when the minimum wage law raises the minimum wage to OW_m the shape of the supply curve changes to W_mE_2AS so that no labour supply is available at any wage below the minimum wage W_m , and wage OW_m remains constant for labour supply upto OM level. This new labour supply curve intersects labour demand curve DL at point E_2 . Consequently, labour demand decreases to W_mE_2 (from W_1E_1) and employment of labour declines from ON_1 to ON_2 .

Thus enforcement of minimum wage law leads to unemployment of N_2N_1 workers for the market (industry) as a whole. At the individual firm level, equilibrium employment decreases from OF_1 to OF_2 units of labour so that the higher minimum wage OW_m is equal to MRP at point G_2 .

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Here N_2N_1 shows the actual unemployment resulting from enforcement of the minimum wage. However, if one takes into account the potential increase in labour supply from $W_1E_1 (= ON_1)$ to $W_mA (= OM)$ that would arise when the wage is raised from OW_1 to OW_m , one finds that potential unemployment is N_2M which is higher than N_2N_1 . Thus in perfectly competitive labour market the minimum wage law is beneficial to those who remain employed but it harms the interests of those who lose their jobs.

When the elasticity of demand for labour is low, the labour-demand curve is steep and so the decline in employment resulting from the enforcement of minimum wage is relatively smaller than what it is when the elasticity of demand for labour is high and the labour demand curve is relatively flatter. This is illustrated in figure 5.9.

The enforcement of minimum wage law may also adversely affect the interests of the working class through its effect of reducing the wage levels in the segment of the economy which is not covered by the law (or where this law cannot be effectively enforced). In a developing country like India the laws prescribing standard working hours and minimum wages are enforceable only in the organized sector (formal sector) of the economy. These laws, even if applicable, are generally not complied with by the employers in the unorganized (or informal) sector. Assuming perfectly competitive labour market in the organized sector, the enforcement of minimum wage law leads to unemployment of labour in this sector. These unemployed workers would compete for jobs in the unorganized sector where the minimum wage law is not enforceable. The resultant increase in the supply of labour brings down wages in the unorganized sector. Thus, due to the minimum wage law one section of the working class benefits at the expense of another.

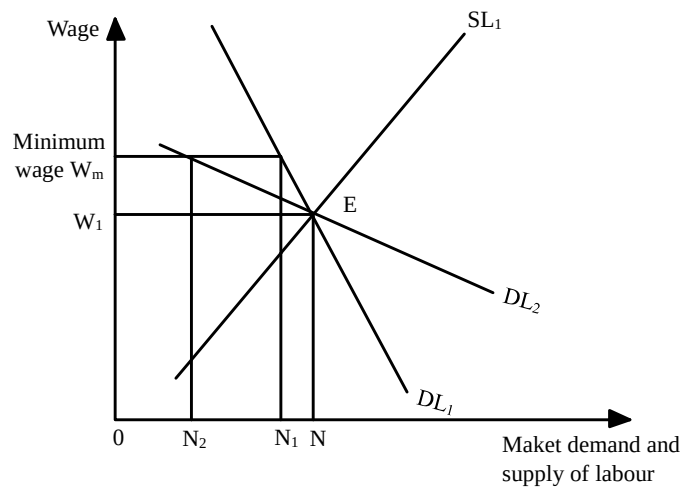


Figure :5.9

Figure 5.10(a) shows that in the perfectly competitive labour market of the organized sector the minimum wage law raises the wage from OW_1 to OW_m and this reduces labour demand from OM_1 to OM_2 . As a result, M_2M_1 workers are rendered jobless in this sector. In figure 5.10(b), the curve LD_U shows the demand for labour in the unorganized sector. Assume that prior to the minimum wage law, wages in the two sectors are equal at OW_1 . At this wage OW_1 , employment in the unorganized sector is OL_1 workers. When the M_2M_1 workers rendered jobless in the organized sector enter the unorganized sector, employment in the unorganized sector increases, as shown in figure 5.18(b), by the distance L_1L_2 which is equal to distance M_2M_1 , in figure 5.18(a). Consequently, the labour demand curve LD_U of unorganized sector shows that the wage in this sector falls from OW_1 , to CW_2 . Thanks to the minimum wage law, those workers

who retain their jobs in the organized sector benefit by earning a higher wage of OW_m whereas those employed in the unorganized sector suffer a loss of income through a decline in their wage from OW_1 to OW_2 . In view of the adverse effects of the minimum wage legislation on employment and wages in the 'uncovered sector' it is debatable whether in the competitive labour market this social justice measure is, on balance, beneficial to the working class as a whole.

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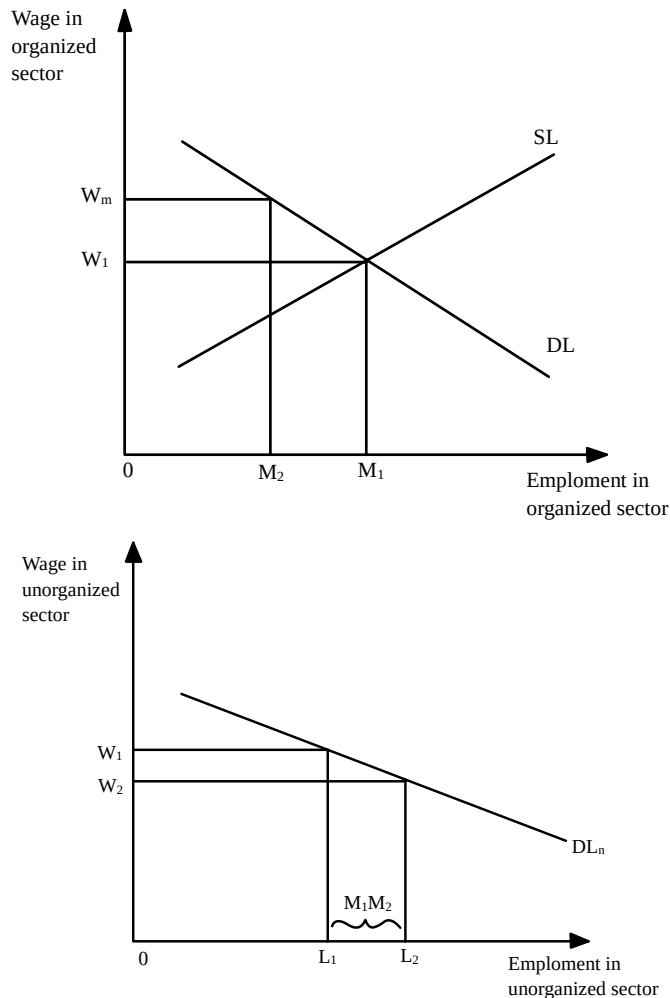


Figure : 5.10 (a), (b)

5.4.2 Collective Bargaining

Concept

Sydney and Beatrice Webb of 'Great Britain' coined the phrase 'Collective Bargaining' and Great Britain is said to be the 'Home of Collective Bargaining'. Collective bargaining acts as an important tool for the prevention of disputes and also for settling the disputes. Collective bargaining takes place when the representatives of both workers and management meet to discuss upon employees wages and benefits, to frame working rules, to settle the disputes etc.

Definition

Collective bargaining has been defined in different ways.

- "Negotiations about working conditions and terms of employment between an employer and a group of employees or one or more employees' organizations with

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a view to reaching an agreement where in the terms serve as a code of defining the rights and obligations of each party in their employment, relations with one another; fix a large number of detailed conditions of employment; and, during its validity, none of the matters in deals with can in normal circumstances be given as a ground for a dispute concerning an individual worker”.

- **International Labor Organisations, 1973 (ILO)**

- ii) “Collective bargaining is a negotiation between an employer or group of employers and a group of working people to reach an agreement on working conditions.”

- **Encyclopedia Britannica**

- iii) Collective bargaining is a process of discussion and negotiation between two parties one or both of whom is a group of persons acting in consent, the resulting bargain is an understanding as to the terms and conditions under which a continuing services is to be performed. More specifically, collective bargaining is a procedure by which employers and a group of employees agree upon the conditions of work” - Encyclopedia of Social Sciences Collective Bargaining is a negotiation between employer and employees to reach an agreement on working conditions.

5.4.2.1 Characteristics of Collective Bargaining

The main characteristics of collective bargaining are,

- i) ‘Collective bargaining is a group activity, where one group representing the employers and the other group representing the employees, sit together and negotiate the conditions of employment’.
- ii) ‘Collective bargaining is flexible and mobile’.
- iii) Collective bargaining is not an economic process but it is a socioeconomic process where the values, aspirations and expectations play a significant role.
- iv) It is a bipartite/two-party process as employers and employees are the only parties involved in bargaining process.
- v) In collective bargaining there is an ample scope for discussion, compromise and mutual give and take, rather than a dispute.
- vi) It is a continuous process as it provides a mechanism for continuing harmonious relation between management and workers.
- vii) It is dynamic in nature because it is relatively a new concept which is growing and changing,
- viii) Collective bargaining emphasizes industrial democracy at work, as employees are given a chance in framing policies.
- ix) It is not competitive in nature but it is complementary.

Collective bargaining is a group activity that is flexible and mobile. It is a continuous socioeconomic process which is dynamic in nature and emphasizes industrial democracy at work.

5.4.2.2 Principles of Collective Bargaining

Certain essential general principles of collective bargaining according to Arnold F.Campo are,

For Management and Union

- i) Collective bargaining should be made an educational as well as a bargaining process.
- ii) The management and trade unions must look upon collective bargaining as a means of finding the best possible solution, and not as a means of acquiring as much as

one can while accepting the minimum.

- iii) Both the parties to a dispute should command the respect of each other and should have enough bargaining power to enforce the terms of the agreement that may be arrived at.
- iv) There must be confidence, good faith and a desire to make collective bargaining effective in practice.
- v) There should be honest, responsible and effective leadership.
- vi) The national and state laws that are applicable to collective bargaining should be followed.

For the Management

- i) The labor policy developed by the management should be accepted and implemented by all.
- ii) Should ensure security to the trade unions by providing them the recognition in organisations and in industry.
- iii) Management should gain the goodwill of the employees by periodically examining the rules and regulations and changing them in accordance with employees' comfort.
- iv) Management should settle the grievances before they are brought to their notice by the trade unions.
- v) Management should deal with only one trade union.
- vi) Social considerations should be emphasized while weighing the economic consequences of collective bargaining.

For Trade Union

- i) The trade unions should be loyal, honest and should eliminate unethical practices within the organisations.
- ii) Trade unions should assist the management in the elimination of waste and improving quality rather than always demanding for higher wages, less working hours and good working conditions.
- iii) Trade unions should try to maintain industrial harmony.
- iv) Trade unions should resort to strikes only when all other methods of settling the disputes have failed.

5.5 RENT

In popular languages, the word rent is used to denote payments for the use of land, a house or a shop. It also denotes the hiring charges for a taxi, or a machine. It is often taken to mean payments received by owners of all kinds of private property that is leased for affixed sum. But what an owner received is not pure rent. It is in fact, contract rent or gross rent, and includes (a) interest for the capital invested in making improvements; (b) its depreciation and maintenance charges; (c) wages of management (d) some profits as the reward for risk taking involved in hiring, leasing and investing; and (e) economic rent which is a surplus arrived at by deducting items (a) to (d) from gross rent. Thus in economics, according to Dr, Marshall, "the income derived from the ownership of land and other free gifts of nature is commonly called rent." It is a surplus above cost of production, due to either to the bounty of nature or to the scarcity of land in relation to its demand.

Modern economists use of the word "rent" as an economic surplus or transfer

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earnings which means the earning of a factor or production in excess of the minimum amount necessary to keep it in its present use. It is not a differential surplus, the difference between the superior and the inferior grades of lands, as Ricardo meant by rent. Moreover, it accrues not to land alone, but to all other factor-services. A piece of land which is earning Rs200 in its present use can earn at the most Rs 150 in its next best use, the difference of Rs50 is economic rent. If it cannot be put to any alternative use (is completely specific in its use), its transfer earning is zero and the whole of the present earning of Rs 200 is rent. Similarly, there is an element in the wages when a worker is able to earn more in his present occupation than in the alternative one. There is an element of rent in interest when a saver gets the market rate of interest though he is prepared to lend at a lower rate; and an entrepreneur may obtain larger profit than is required for him to stay in business. Thus economic rent is an element that enters into the incomes of all factors and is not peculiar to land alone.

5.5.1 The Ricardian Theory of Rent

David Ricardo was a brilliant 19th century economist of England who propounded a systematic theory of rent which is, in many ways, the basis of the modern concept of rent.

Ricardo defines rent as "that portion of the produce of the earth which is paid to the landlord for the use of the original and indestructible powers of the soil." Two references are clear from this definition: land possesses original and permanent properties with reference to its nature, situation, environment and construction, and rent is paid for the use of land alone. These, in turn, reveal that rent accrues to the landlord both from extensive cultivation of land, as well as due to the situation of his land.

Its Assumptions

Ricardo's theory of rent based on the following assumptions:

- 1) There is perfect competition in the economy
- 2) The supply of land is limited
- 3) There is difference in the fertility of land.
- 4) There is marginal or no-rent land in the economy.
- 5) Land has original and indestructible powers of the soil.
- 6) The demand for agricultural products increases with population growth
- 7) The law of Diminishing Returns applies
- 8) Rent accrues from land alone.
- 9) Rent arises in the long-run.
- 10) Land and capital are single factors
- 11) Rent is price determined
- 12) Land is cultivated in historical sequence, i.e., first the best land, then the less fertile and in this order.

5.5.2 Scarcity Rent

While Ricardo argued that rent exists because of the differences in quality of land, the modern factor pricing theory argues that the basic reason for the emergence of rent is scarcity of land. Rent would arise even if all lands were to be of equal quality. It needs to be noted here that here scarcity of land means scarcity in relation to the demand for land in general.

In order to explain the theory of scarcity rent we make the following assumptions:

- 1) All lands are of the same quality.
- 2) All lands are used for only one purpose viz. to grow wheat.
- 3) Output of wheat is increased only through extensive cultivation i.e., by bringing more and more land under cultivation. There is no intensive cultivation.
- 4) Average cost of labour and capital remains constant with increasing output. Hence marginal cost (MC) and average cost (AC) are equal at all output levels.
- 5) Market for wheat is perfectly competitive so that price = AC = MC.

As the demand for wheat increases with the growth of population, increasingly more land is brought under cultivation. Note that wheat production increases in the same proportion as the extension of area (acreage) under cultivation because, by assumption, all lands are of the same quality. Now as long as uncultivated land is available the growth in demand for wheat does not result in any rise in wheat price since AC and MC are assumed to remain constant and under perfect competition $P = AC = MC$. But land being a gift of nature its supply is permanently fixed or perfectly inelastic. Once all the available land is brought under cultivation and the area under cultivation cannot be extended any further, output cannot be increased in response to growing demand because by assumption there is no intensive cultivation. Consequently, wheat price increases when demand grows to a level where it exceeds the output that can be produced with the total fixed supply of land. As the new higher price exceeds the constant AC (= MC), a surplus of revenue over costs emerges. This surplus is the rent that land earns and it has arisen only on account of the scarcity of land since there are no differences in the quality of land.

There is no intensive cultivation, hence output and land under cultivation both rise in the same proportion when all land is of equal quality. Thus the x-axis in Figure 5.11 shows both output and acreage under cultivation, with the ratio of output to acreage remaining constant. The figure also shows that the output of wheat and supply of land cannot be increased beyond ON. The vertical line NK shows the perfectly inelastic fixed supply of land. CEK shows the supply curve of wheat. When demand for wheat is low as shown by the curve DD₁ it intersects CEK at point R so that price = BR = OP₁ = AC = MC = OC.

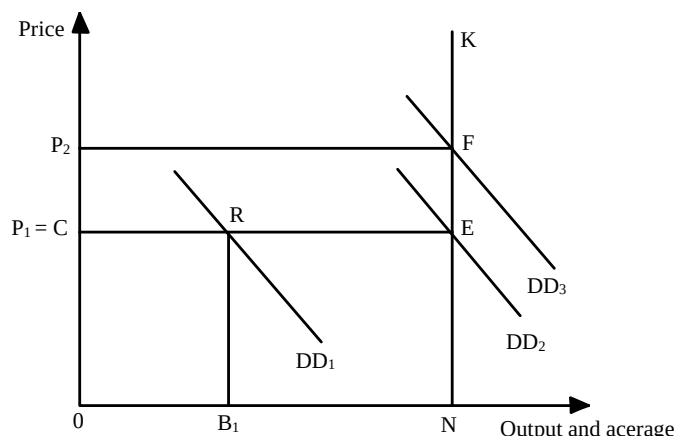


Figure: 5.11

As long as demand increases till DD₂, price remains unchanged at OP₁ - OC = NE. But when the demand curve shifts further right and becomes, for instance, DD₃ then price of wheat rises to OP₂ = NF. Since price OP₂ is greater than average cost OC₁ there will be an excess of revenue over costs as shown by the rectangle P₂CEF. This surplus is the rent which belongs to land and it emerges only because, relative to demand,

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the supply of land is scarce and cannot be increased even in the long run. We thus find that rent arises even if there are no differences in the quality of land. Scarcity of land is the basic reason why rent as a surplus comes into existence.

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Like the Ricardian theory differential rent, the theory of scarcity rent also suggests that rent does not determine price but is determined by price. High prices cause high rents and not vice-versa. The essential difference between the modern theory of scarcity rent and the Ricardian theory of differential rent is that the modern theory explains the basic reason why rent of land arises, whereas the Ricardian theory explains why there are differences in the rents earned by lands of different quality.

5.5.3 Quasi Rent

Quasi-rent is an analytical term in economics, for the income earned, in excess of post-investment opportunity cost, by a sunk cost investment. Alfred Marshall (1842-1924) was the first to observe quasi-rents. The doctrine of quasi-rent was introduced into economic literature by Marshall who extended Ricardo's theory of land-rent to other factors fixed in supply being fixed, they earn surplus which is not rent but is like rent as their supply can be increased in the long-run. Marshall preferred to call it quasi-rent.

In general, an economic rent is the difference between the income from a factor of production in a particular use, and either the cost of bringing the factor into economic use (Classical factor rent), or the opportunity cost of using the factor, where opportunity cost is defined as the current income minus the income available in the next best use (Paretian factor rent). In other words, economic rent is the difference between the income in the current use of the factor and the absolute minimum required to draw a factor into a particular use (from no use at all, or from the next best use), (see detailed page economic rent).

Many capital investments take the form of sunk cost investments in more or less highly specialized capital equipment, research and development, or training. For sunk cost investments, once the investment has been made, the cost of drawing the result into economic use may be minimal. For highly specialized equipment or training, the next best use may not pay much, so a large part of what is realized, constitutes a kind of rent. However, a sunk cost investment will only be made in the expectation that the resulting factor (e.g. capital equipment) can be employed to realize income above costs; the expectation of profitable income induced the creation of the capital factor.

While a true rent is an income in excess of what is necessary to bring a factor into productive use, a quasi-rent is only a Paretian Rent excluding the sunk cost investment. Viewed in an economic short term frame after the sunk cost investment has been made. The income realized by a sunk cost investment constitutes a rent to the extent that it exceeds the amount that would be realized in the next best use of the sunk cost investment, e.g. (you already bought the hammer and there is nothing you can do about it. If you don't use it to drive nails, then maybe it will make a good paper weight). Viewed in an economic long-term frame, which includes the decision to make the investment, the same income is not a rent, but instead might legitimately be called interest.

The existence of sunk cost investments and quasi-rents point to important problems for both business strategy and public policy, particularly in connection with natural monopolies. A business enterprise might form, for example, to build and operate a bridge across a river, charging a toll for crossing. Efficiency requires that the bridge be fully utilized, but any toll charged will discourage some crossings. A toll set at a rate, which keeps the bridge fully utilized, will not necessarily include any return on (or even recovery of) the investment in the bridge, while a toll, which does yield a return on the investment in the bridge will not necessarily result in full, efficient utilization of the bridge.

Government policy is sometimes designed or manipulated to ensure that particular sunk cost investments earn larger quasi-rents. Patents may be considered an example of such an intervention. In the absence of patents and other intellectual property law, the sunk cost investment in research behind an invention could only earn a quasi-rent to the extent that secrecy inhibited competitors from freely utilizing the results of the research. Once the sunk cost investment in research has been made, of course, efficiency would require that the results (i.e. the invention) be freely and widely disseminated, which would seem to preclude earning a return, a quasi-rent, on the research. Patents give a time-limited legal right to charge for the use of an invention, which creates a potential quasi-rent, and return on investment.

Distinction between Rent and Quasi-Rent

Quasi-rent is often distinguished from rent.

Similarities Quasi resembles rent in the following ways:

1. Quasi-rent arise when the demand for man-made goods increase, while rent arises with the rise in the demand for the products of land.
2. Just as the supply of man-made appliances is fixed in the short period, so is that of land.
3. Transfer earnings are as much made appliances is fixed in the short period, so that of land.
4. Quasi-rent, like the rent of land, is price-determined and not price determining.

Difference. There are, however, important points of difference between the two.

1. Rent is a payment for natural gifts of nature like land. Quasi rent is a payment from man-made appliance like machines.
2. As the supply of land cannot be changed, rent persists in both short-run and long – run. But quasi-rent is a short-run phenomenon which appears in the long-run when the supply of man-made goods is increased.
3. Rent is permanent in nature while quasi-rent is a temporary phenomenon.
4. Rent is the difference between total revenue and total costs. On the other hand, quasi-rent is the difference between and total variable costs.
5. Economists like Henry George regard rent as unearned income. But quasi-rent payment which all factors of production receive due to their inelastic supply in the short-run.
6. Ricardo's rent arises due to difference in fertility of land. Marshall's quasi-rent due to the scarcity of man made appliances in the short –run.
7. Rent cannot be zero but quasi –rent can be zero when the short-run price of the commodity equals its average variable cost.

Quasi-rent and Interest

Quasi –rent and interest are also related to each other.

1. Quasi-rent is the return on sunk r specialized capital; rent is the return on free or floating capital.
2. Quasi-rent, arises in the short-run, while interest arises both in the short-and long-run.
3. The supply of fixed capital cannot be increased except in the long-run-but the

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supply of free or floating capital can be increased in the short-and the long-run.

4. Quasi-rent is price determined, while interest is price-determining.
5. Quasi-rent is an unnecessary payment during the short-run because fixed capital already exists in the firm. It does not necessitate any extra costs. Therefore, quasi-rent is not a part of the cost of production. Interest is a necessary payment and enters into the cost of production.

Conclusion

IN reality, the distinction between rent and interest is one of degree only. A factor which is permanently fixed irrespective of the time period earns rent; that which is permanently fixed for a short period earns quasi-rent and that which is not fixed at all in any period earns interest. "Each group shades into the other gradually," as pointed out by Marshall, and thus, even the rent of land is seen, not a thing by itself but as the leading species of a large genus.

5.6 INTEREST THEORY

5.6.1 Classical Theory of Interest

According to the classical theory, the rate of interest is determined by the supply and demand of capital. The supply of capital is governed by the preference and the demand for capital by the expected productivity of capital. Both time preference and productivity of capital depend upon waiting or saving. The theory is, therefore also known, is the supply and demand theory of waiting or saving.

Demand Side

The demand, for capital consists of the demand for productive and consumptive purpose. Ignoring the latter capital is demanded by the investors because it is productive. But the productivity of capital is subject to the law of variable proportions. Additional units of capital are not as productive as the earlier units. A stage comes when the employment of an additional unit of capital in the business is just worthwhile and no more. Suppose an investor invests Rs. 1, 00,000 in a factory and expects a yield of 20% another installment of an equal amount would not be as productive as the first one, and might bring him 15%. While a third installment might yield 10%. If he has borrowed money 10% he will not venture to invest more. For the rate of interest is just equal to the marginal; a productivity of capital to him. It shows that at a higher rate of interest, the demand for capital slow and it is capital is low and it is high at a lower rate of interest. Thus the demand for capital is inversely related to the rate of interest for capital is low and it is high at a lower rate of interest. Thus the demand for capital is inversely related to the rate of interest and the demand schedule for capital slopes downward from left to right. There are, however, certain other factors which governs the demand for capital, such as the growth a stage growth of population, technical progress, process of rationalization, the standard of living of the community, etc.

Supply Side

The supply of capital depends upon savings, rather upon the will to save and the power to save of the community. Some people save irrespective of the rate of interest. They would continue to save even if the rate of interest were zero. There are others who save because the current rate of interest is just enough to induce them to save. They would

reduce their savings if the rate of interest fell below this level- Still there are the potential savers who would be induced to save if the rate of interest were raised. To the last two categories of savers, saving involves a sacrifice, abstinence or waiting when they forego present consumption in order to earn interest. The higher the rate of interest, the larger will be the community savings and more will be the supply of funds. The supply curve of capital thus moves upwards to the right.

Determination

Assuming the level of income to be given, the rate of interest is determined by the interaction of the demand curve, D and the supply curve of saving, S .

This is shown in figure 5.12 where the D and S curves intersect at E which is the equilibrium point when OQ quantity of capital is demanded and supplied at OR rate of interest. If at any time, the rate of interest rises above OR to OR_1 , the demand for investment funds will fall and the supply of savings will increase. Since the supply of savings is more than the demand ($R_1S > R_1d$), the rate of interest will come down to the equilibrium level OR .

The opposite will be the case if the rate of interest falls to OR_2 if the demand for investment funds is greater than their supply ($R_2d_1 > R_2S_1$) the rate of interest will rise to OR . The ultimate situation is one of equality between saving and investment brought about by the equilibrium or the natural rate of interest. If at any time people become thrifty and save more than OQ , the rate of interest would fall below OR because the demand for capital remains the same. This is shown by the rightward shift of the saving curve S_1 where it intersects the D curve at d_1 and the rate of interest falls to OR_2 . At the lower rate of interest, people will save less but the demand for investible funds will increase which will tend to raise the rate of interest to the equilibrium level OR .

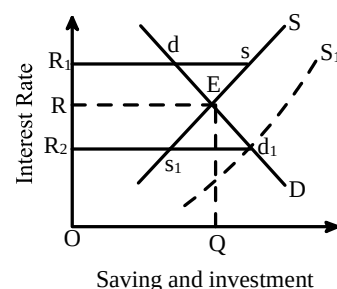


Figure 5.12

5.6.2 Neo-Classical or Loanable Funds Theory of Interest

The neo-classical or the loanable funds theory explains the determination of interest in terms of demand and supply of loanable funds or credit. Expounded by Wicksell, the theory was elaborated by Ohlin, Robertson, Pigou and other new- classical economists.

According to this theory, the rate of interest is the price of credit which is determined by the demand and supply of loanable funds. In the words of Prof. Lerner: "It is the price which equates the supply of credit, or saving plus the net increase in the amount of money in a period, to the demand for 'credit', or investment plus net 'hoarding' in the period." Let us analyse the forces, behind the demand and supply of loanable funds.

Demand for Loanable Funds

The demand for loanable funds has primarily three sources: government businessmen

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and consumers. Who need them for purposes of investment, hoarding and consumption. The government borrows funds for constructing.

Public works or for war preparations. The business men borrow for the purchase of capital goods and for starting investment projects, such borrowings are interest static and depends mostly on the expected rate of profit as compared with the rate of interest. The demand for loanable consumer on the part of consumers is for the purchase of durable consumer goods like scooters, houses etc. Individual borrowings are also interest elastic.

The tendency to borrow is more at a lower rate than at a higher interest rate in order to enjoy their consumption soon. Since this demand for funds is mostly met out of past savings or through the savings, it is represented by the curve DS in figure 5.13. The demand curve for investment funds both for the government and the business is shown as curve I. It slopes downward showing that was funds are borrowed at a higher rate and more at a lower rate of interest. Lastly, funds are determined for the purpose of hoarding them in liquid form of as idle cash. They are also interest elastic and it is shown by the curve H. the lateral summation of these curves, DS and I gives us the aggregate demand curve for loanable funds a0 D.

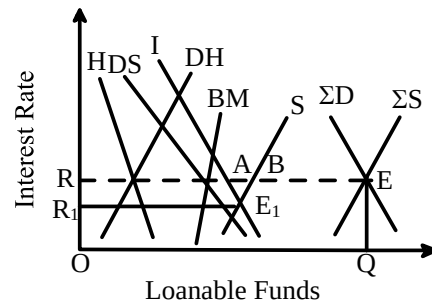


Figure 5.13

Supply of Loanable Funds

The supply of loanable funds comes from savings, dishoarding and bank credit. Private savings, individual and corporate, are the main source of savings. Though personal savings depends upon the income level, yet taking the level of income as given, they are regarded as interest elastic. The higher the rate of interest the greater will be the inducement to save and vice versa. Corporate savings are the undistributed profits of a firm which also depend on the current rate of interest to some extent. If the interest rate is high, it will act as a different to borrowing and thus encourage savings. Savings are indicated as curve, S in the figure 5.13. The second source is the volume of funds coming out of hoards or being added to them. These “dis hoardings may represent not only purchase of old assets or securities from others out of idle cash balances of one’s own funds for net investment or for consumption in purchase, in excess of net disposable income “. Such funds are direction related to the rate of interest higher the interest rate, the larger the funds that shall be coming out of rate and vice versa. These funds are represented by the curve DH Lastly; there is the bank credit or money as important source of the supply of loanable funds. Bank credit is also interest elastic to some extent. More are lent at a higher than at a lower rate of interest. Bank money is shown as the curve BM. If these curves are BM and S are laterally added up, we have the aggregate supply curve a0 S of loanable funds.

Determination

When the total demand curve for loanable funds a0 D and the total supply curve of loanable funds of interest each other at point E and OR rate interest is determined. At this rate, OQ amount of funds are borrowed and lent.

According to prof. Robertson the loanable funds is a “commonsense explanation” of the determination of the rate of interest. But this theory is also not free from certain defects.

- 1) **Equilibrium Rate reflects Unstable Equilibrium:** The demand and supply scheduled or loanable funds in figure 5.13 determines the equilibrium rate OR reflects supply side with the corresponding component on the demand side. Thus the equilibrium rate OR reflections unstable equilibrium. For stable equilibrium, it is essential that ex ante (planned) investments 1 by AB. They are equal at point E_1 but at a lower interest OR_1 which is the natural of interest.
- 2) **Indeterminate Theory:** Prof.Hansaen asserts that the loanable funds theory like the classical and the Keynesian theories of interest is indeterminate. The supply schedule of loanable funds is composed of savings dishoarding and bank money. But since savings vary with past income and the new money and activated balances with the current income, it follows that the total supply schedule of loanable funds theory is indeterminate unless the income level is already known.
- 3) **Cash Balance not elastic:** The loanable funds theory states that the supply of loanable funds can be increased by releasing cash balances of savings and decreased by absorbing cash balances into savings. This implies that the cash balances are fairly elastic. But this does not seem to be a correct view because the total cash balances available with the community are fixed and equal the total supply of money at any time. Whenever there are variations in the cash balances, they are, in fact, in the velocity of circulation of money rather than in the amount of cash balances with community.
- 4) **Savings Interest Inelastic:** the theory over-emphasis the influence of the rate of interest on savings. It regards saving elastic. Generally speaking, people save not to earn rate of interest but to satisfy precautionary motive. So savings are interest inelastic.
- 5) **Wrong to Combine Real and money Factors:** The loanable funds theory has been criticised for combining monetary factors with real factors. It is not correct to combine real factors like savings and investments with monetary factors like bank credit and dishoarding without bringing in changes in the level of income. This makes the theory unrealistic.

5.6.3 Keynes' Liquidity Preference Theory of Interest

Keynes defines the rate of interest as the reward of not hoarding but the reward for parting with liquidity for the specified period. It “is not the ‘price’ which brings into equilibrium the demand for resources to invest with the readiness to abstain from consumption. It is the ‘price’ which equilibrates the desire to hold wealth in the form of cash with the available quantity of cash.” In other words, the rate of interest, in the Keynesian sense, is determined by the demand for and the supply of money. This theory is, therefore, characterized as the monetary theory of interest.

Supply of Money

Of the two determinants of interest, the supply of money refers to the total quantity of money in the country for all purposes at any time. Though the supply of money is a function of the rate of interest to a degree, yet it is considered to be fixed by the monetary authority, that is, the supply curve of money is taken as perfectly inelastic.

Demand for Money

For the second determinant, the demand for money, Keynes coined a new term ‘liquidity

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preference' by which his theory of interest is commonly known. Liquidity preference is the desire to hold cash. The money in cash "lulls our disquietude" and the rate of interest which is demanded in exchange for it is a "measure of the degree of our disquietude". The rate of interest, in Keynes words, is the "premium which has to be offered to induce people to hold the wealth in some form other than hoarded money." The higher the liquidity preference, the higher will be rate of interest that will have to be paid to the holders of cash to induce them to part with their liquid assets. The lower the liquidity preference, the lower will be the rate of interest that will be paid to the cash-holders.

According to Keynes, there are three motives behind the desire of the people to hold liquid cash: (1) the transactions motive, (2) the precautionary motive, and (3) the speculative motive.

- 1) **Transactions Motive.** The transactions motive relates to "the need of cash for the current transactions of personal and business exchanges." It is, further, divided into the income and business motives. The income motive is meant "to bridge the interval between the receipt of income and its disbursement," and similarly, the business motive is "the interval between the time of incurring business costs and that of the receipt of the sale proceeds." If the time between the incurring of expenditure and receipt of income is small, less cash will be held by the people for current transactions, and vice versa. There will, however, be changes in the transactions demand for money depending upon the expectations of the income recipients and businessmen. They depend upon the level of income, employment and prices, the business turnover, the normal period between the receipt and disbursement of income, the amount of salary or income, and on the possibility of getting a loan.
- 2) **Precautionary Motive.** The precautionary motive relates to "the desire to provide for contingencies requiring sudden expenditures and for unforeseen opportunities of advantageous purchases." Both individual and businessmen keep cash in reserve to meet unexpected needs. Individuals hold some cash to provide for illness, accidents, unemployment and other unforeseen contingencies. Similarly, businessmen keep cash in reserve to tide over unfavorable conditions or to gain from unexpected deals. "Money held under the precautionary motive is rather like water kept in reserve in a water tank." The precautionary demand for money depends upon the level of income and business activity, opportunities for unexpected profitable deals, availability of cash, the cost of holding liquid assets in bank reserves, etc.

Keynes holds that the transaction and precautionary motives are relatively interest inelastic, but are highly income elastic. The amount of money held under these two motives, (M_1) is a function (L_1) of the level of income (Y) and is expressed as $M_1 = L_1(Y)$

- 3) **Speculative Motive.** Money held under the speculative motive is for "securing profit from knowing better than the market what the future will bring forth." Individuals and businessmen have funds, after keeping enough for transactions and precautionary purposes, and like to gain by investing in bonds. Money held for speculative purposes is a liquid store of value which can be invested at an opportune moment in interest-bearing bonds or securities.

Bond prices and the rate of interest are inversely related to each other. Low bond prices are indicative of high interest rates, and high bond prices reflect low interest rates. A bond carries a fixed rate of interest. For instance, if a bond of the value of Rs 100 carries 4% interest and the market rate of interest rises to 8%, the value of this bond falls to Rs 50 in the market. If the market rate of interest falls to 2%, the value of the

bond will rise to Rs. 200 in the market. Thus individuals and businessmen can gain by buying bonds worth Rs 100 each at the market price of Rs 50 each when the rate of interest is high (8%), and sell them again when they are dearer (Rs 200 each) when the rate of interest falls (2%).

According to Keynes, it is expectations about changes in bond prices or in the current market rate of interest that determine the speculative demand for money. The speculative demand for money is a decreasing function of the rate of interest. The higher the rate of interest, the lower the speculative demand for money, and the lower the rate of interest, the higher the speculative demand for money. Algebraically, Keynes expressed the speculative demand for money as $M_2 = L_2(r)$, where L_2 is the speculative demand for money and r is the rate of interest. Geometrically, it is a smooth curve which slopes downward from left to right.

But at a very low rate of interest, such as 2%, the speculative demand for money becomes perfectly elastic. This portion of the curve is known as the liquidity trap. At a very low rate of interest, people prefer to keep money in cash rather than invest in bonds because purchasing bonds will mean a definite loss.

If the total liquid money is denoted by M , the transactions plus precautionary motives by M_1 and the speculative motive for holding by M_2 then $M = M_1 + M_2$. Since $M_1 = L_1(Y)$ and $M_2 = L_2(r)$, the total liquidity preference function is expressed as $M = L(Y, r)$. M_1 is circulating or active money and M_2 is idle or passive money.

Determination of the Rate of Interest

We have analysed the factors behind the supply and demand for money. The rate of interest, like the price of any product or service, is determined at a level where the demand for money equals the available supply of money. In Figure 5.14, the vertical line QM represents the supply of money and LP the total demand for money curve. Both intersect at E where the equilibrium rate of interest OR is established.

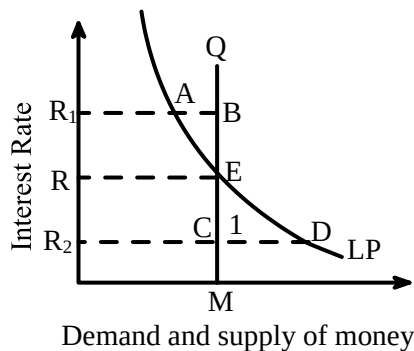


Figure 5.14

If there is any deviation from this equilibrium position, an adjustment will take place via the rate of interest, and the equilibrium level E is re-established.

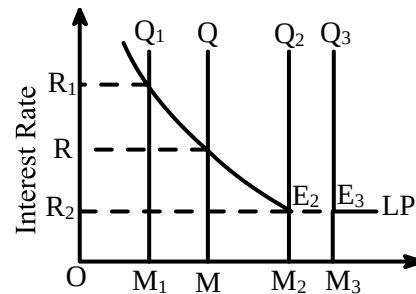
Thus E_1 is the position of unstable equilibrium where the supply of money R_1B is greater than the demand for money R_1A . Consequently, the rate of interest will start declining from OR_1 till the equilibrium rate of interest OR is reached. Similarly at OR_2 , level of interest rate, the demand for money R_2D is greater than the supply of money R_2C . As a result, the rate of interest OR_2 will start rising till it reaches the equilibrium

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rate OR .

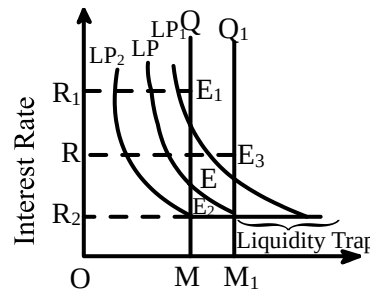
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If the supply of money is decreased by the monetary authority, but the liquidity preference curve LP remains the same, the rate of interest will rise. This is illustrated in Figure 5.15. Given the LP curve, the supply of money curve being QM , the rate of interest is OR at equilibrium point E . With decrease in the supply of money from QM to Q_1M_1 the interest rises to OR_1 at point E_1 . With the increase in the supply of money from QM to Q_2M_2 the interest rate falls to OR_2 . But any further increase in the supply of money has no effect on the rate of interest because the liquidity preference curve LP is perfectly elastic at OR_2 rate of interest. So when the supply of money increases to Q_3M_3 , the rate of interest remains stationary at OR_2 , corresponding to the equilibrium point E_3 .



Demand and supply of money

Figure 5.15



Demand and supply of money

Figure 5.16

Thus to the right of E_2 , the LP curve is perfectly elastic which shows Keynes' liquidity trap.

If the demand for money increases or decreases given the supply of money, the rate of interest will rise or fall. This is shown in Figure 5.16. Given the supply of money curve QM , when the LP curve shifts to the right to LP_1 , the new equilibrium point is E_1 , which determines OR_1 interest rate. This rate of interest is higher than OR interest rate at the equilibrium point E . With the leftward shifting of LP curve to LP_2 the interest rate falls to OR_2 at point E_2 which again shows liquidity trap. If with the increase in the liquidity preference, the supply of money also increases in the same proportion to Q_1M_1 there will be no change in the rate of interest OR except that the new equilibrium

point is E_3 . Thus the theory explains that the rate of interest is determined at a point where the liquidity preference curve equals the supply of money curve.

5.7 PROFIT THEORY

The nature of profit has ever been the most perplexed and troubled problem for economists Prof. Taussig referred to it as “that mixed bed and vexed income”. The early classical economists regarded profit as accruing to the capitalist who supplied capital and owned the business. Profits were residually determined after making all necessary payments from the total income of the business. The first systematic explanation of the nature of profit was given by Marshall in terms of demand and supply of entrepreneurs. Walker looked upon profit as the reward of the entrepreneur with a superior ability than others. Hawley ascribed it to the entrepreneur’s risk-taking; the greater the risk undertaken, the larger the profit.

To Clark, Knight and Schumpeter, “It is an income which arises Out of change, uncertainty and friction inherent in a dynamic world, and which the belated operation of competitive forces tends to eliminate.”

Veblen and Hobson, the Marxian economists, regard profit as unearned income and attribute it to the existence of institutional monopolies established by a few capitalists. Monopoly profit arises because a monopolist is able to restrict output and keep the price of this product much above the average cost of production. We discuss below some of the important theories of profit for understanding the nature of profit in detail.

5.7.1 The Dynamic Theory

Prof. J.B Clark propounded his dynamic theory of profit in 1900. To him, profit is the difference between the price and the cost of production of the commodity. But profit is the result of dynamic change. In a dynamic state, “five generic changes are going on, every one of which reacts on the structure of society.” They are: (1) Population is increasing (2) Capital is increasing (3) Methods of production are improving (4) The forms of industrial establishment are changing, the less efficient shops, etc., are passing from the field, and the most efficient are surviving, (5) The wants of Consumers are multiplying.

In a static state, competition tends to eliminate these five kinds of changes so that each factor receives what it produces. The selling price and the cost of production are equal and there is no profit. What entrepreneurs receive are simply wages of management. The static state is the state of natural adjustment between “natural” and actual prices of goods, wages interest, profit and their rates. In reality, both prices and rates are static. If there is any divergence between the two, competition tends to bring their equality.

Thus profit is the result exclusively of five dynamic changes, i.e., changes in population, capital, techniques of production, forms of business organization and in the wants of people. Obviously, from all the changes, according to Clark, “two general results must follow: first, values, wages and interest will differ from the static standards; secondly, the static standards themselves will always be changing.” The typical dynamic change is an invention. An invention enables the entrepreneur to produce more and reduce of profit. But such profit is temporary, because competition leads to the adoption of this invention by the other entrepreneurs in the industry. Production increase and prices fall.

On the other hand, competition for the services of factors tends to raise their wage and interest rates. Costs rise. The dual tendency of falling price and rising costs eliminates

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profit. Thus “profit is an elusive sum which entrepreneurs grasp but cannot hold. It slips through their fingers, and bestows itself on all members of society.” In the dynamic state “if competition worked without let or hindrance, pure business because society being dynamic changes constantly occur and adjustment always, take place. The lure of profit leads to improvement tend to raise the standard of wages but actual wages always lag being the standard rate with the result that profit appears.

5.7.2 The Innovation Theory

Prof, Schumpeter attributes profit to dynamic changes resulting from an innovation. To start with, he takes capitalist closed economy which is in a stationary equilibrium. This equilibrium is characterized by what Schumpeter calls a “circular flow”. The price of each product just equals its cost of production and there is perfectly competition equilibrium. The price of each product just equals its cost of production and there is no profit. Only exogenous.

Factors, like weather conditions, can cause changes in the circular flow, but that too temporarily, and the economy would again reach a circular flow position. In the circular flow position, goods are being produced at a constant rate. This routine work is being performed by the salaried managers. It is the entrepreneur who disturbs the channels of this circular flow by the introduction of an innovation. Thus Schumpeter assigns the role of an innovator not to the capitalist but to the entrepreneur.

The entrepreneur is not a man of ordinary managerial ability but one who introduces something entirely new. He does not provide funds but directs their use. To perform his economic function, he requires two things: first the existence of technical knowledge in order to produce new product; and second the power of disposal over the factors of production in the form of credit. He gets credit from the banks and uses his ability to untap the existing technical knowledge. This brings about an innovation which disturbs the circular-flow of production.

In the economy and leads to the emergence of profit. Thus the role of the entrepreneur is quite distinct from that of the capitalist. The former simply innovates and does not undertake any risk. Risk-taking is the function of the capitalist or the banks that provide credit. Even if the entrepreneur is the capitalist himself, he performs two functions two functions which are quite different profit, therefore, accrues to the entrepreneur as a reward for innovating and not as reward for risk-taking.

According to Schumpeter an innovation may consist of : (1) the introduction of a new product;(2) the introduction of a new method of production;(3) the opening up of a new market(4) the discovery of a new raw material; and (5) the reorganisation of an industry. When any one of these innovations is introduced by an entrepreneur, it leads to reduce the cost of production of the commodity below its selling price. Profit emerges. So long as this particular innovation remains a secret, the entrepreneur continues to earn profit. But this state of affairs cannot continue indefinitely other entrepreneurs follow this innovation in “swarm like clusters” Competition for factor services tends to raise the cost of production, whereas increase in production brings process downward. This dual tendency ultimately leads to the disappearance of profit.

The emergence of profit due in an innovation is not peculiar to only one industry innovation in one field may induce other innovations in related fields. The of a motor car industry may, in turn etc. Profit is both the cause and effect of innovations. The lure of profit leads entrepreneur to innovate, and when an entrepreneur innovates, profit emerges.

Profit continues to arise and disappear, now in one industry; and then, in another. It is a temporary phenomena which accrues to the entrepreneur who innovates. But after some time when it becomes common profit disappears.

5.7.3 The Risk Theory

The risk theory of profit is associated with F.B. Hawley who regards risk-taking as the main function of the entrepreneur. Profit is the residual income which the entrepreneur receives because he assumes risks. The entrepreneur expose his business to risk, and receives, in turn, a reward in the form of profit because the task of risk-taking is irksome. Profit is an excess of 'payment above the actuarial value of the risk' No entrepreneur will be willing to undertake risks if he gets only the normal return. Therefore, the reward for risk-taking must be higher than the actual value of the risk.

According to Hawley, the entrepreneur can avoid certain risks for a fixed payment to the insurance company. But he cannot get rid of all risks by means of insurance, for if he is able so, he would cease to be an enternepeur and would earn only wages of management and no profit. However, when the entrepreneur transfers his risk to the insurance company, he abdicates his risk-taking function to the latter which receives the profit. The reward of" the insurance company is not the premium it receives, but the difference between that premium and the loss it eventually suffers. So profit is the reward of risk-taking especially of "wisely selected" risks. But all persons are incapable of undertaking risks. So risks act as a deterrent to the supply of entrepreneurs. Those who remain in business arc able to earn an excess of payment above the actuarial value of the risk and thus earn profit.

5.7.4 The Uncertainty-Bearing Theory

Prof. Frank H, Knight regards profit as the reward of bearing non-insurable risks and uncertainties. He distinguishes between insurable and non-insurable risks .Certain risks are measurable in as the probability of their occurrence can be statistically calculated. The risk of fire theft of merchandise and o death by accident are incalculable. Such risks are borne by the insurance company. There are certain unique risks which are incalculable. The probability of their occurrence cannot be statistically computed because of the presence of uncertainly in them. Such unforeseen risks relate to changes in prices, demand supply, etc. No according to knight, is the reward of bearing non-insurable risks and uncertainness. It is deviation arising from uncertainly between earning ex post and ex ante.

Profit is thus the difference between ex ants and ex post returns. It is the residue-after deducting all contractual income to the other factor services. In a competitive economy if entrepreneurs compote cautiously and do not raise the prices of factor services to the value of marginal product, they will earn positive profits. If, on the other hand, they are optimist about future expectations, profit will be negative because the factor services are paid more than their anticipated marginal products. Positive or negative profit simply reflect the entrepreneur's judgement to meet conditions of uncertainly.

However, uncertainty prevails the entire society, and profit, positive or negative, in a way accrues to all factor services In other words there is profit element in all types of income. But the division of social income between profit and contractual income depends on the supply of entrepreneurial ability. When the supply of entrepreneurial ability is small, the size of profit increases. The supply of entrepreneurial ability is subject to diminishing returns which tends to reduce the size of profit. The application of diminishing returns to entrepreneur's is nothing except the amount of uncertainty present in business.

Uncertainty-bearing is the most important function in a dynamic state. It is the entrepreneur who either delegates this function among important personnel or assumes it himself. The excitation of profits is, in a way, the supply price of entrepreneurial uncertainty-bearing. In a competitive economy where there is no risk, every entrepreneur

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will have a minimum supply price. If his reward falls below it, the entrepreneurial services will not be supplied. But the presence of uncertainty tends to raise the minimum supply price which is actually a 'risk' premium which the entrepreneur expects to be paid. This is profit. But changes due to innovations and exogenous forces, such as climate and other unforeseen changes are constantly causing revision of these expectations so that the entrepreneur receives only normal profit in the long-run. Only unpredictable changes give rise to profit. Changes in population and capital being predictable do not give rise to profit. Thus profit is due to non-insurable risks and uncertainties generated by dynamic changes.

5.8 SUMMARY

In economic theory, the price of a finished item affects the factors of production, the various costs and incentives of producing it, so as to 'attract' it toward a theoretical Factor price. In other words it is the concept that the price of an item tends to approach the cost of producing it. There has been much debate as to what determines factor prices. Classical and Marxist economists argued that the factor prices decided the value of a product and so value was intrinsic within the product. For this reason, the term 'natural price' is often instead used. Marginalist economists argue that the factor price is a function of the demand for the final product, and so they are imputed from the finished product. Labour as a factor of production means mental or manual effort involved in production and distribution activities. The price paid to labour in consideration of work done is 'wage'. The term wages as used in economics includes 'salaries'. Collective bargaining is a process of discussion and negotiation between two parties one or both of whom is a group of persons acting in consent, the resulting bargain is an understanding as to the terms and conditions under which a continuing services is to be performed. More specifically, collective bargaining is a procedure by which employers and a group of employees agree upon the conditions of work. A minimum wage is the lowest hourly, daily or monthly remuneration that employers may legally pay to workers. Equivalently, it is the lowest wage at which workers may sell their labour. Although minimum wage laws are in effect in a great many jurisdictions, there are differences of opinion about the benefits and drawbacks of a minimum wage. Supporters of the minimum wage say that it increases the standard of living of workers and reduces poverty. Profits are the payment for the service done by the entrepreneur as a factor of production. But this concept has become vexed and mixed one. Though profit is an income that the entrepreneur gets, we cannot definitely say for what kind of work he is getting profits. There are several views regarding that. Since entrepreneurs do several functions like supervision, coordination, risk bearing etc., the income he gets as profits is a mixed one. Since there is no unanimity among economists about the definition of profits, it is a vexed one. As Prof. Knight said, no term or concept in economics is used with a more bewildering variety of meaning than profit. Even now "it remains one of the least satisfactory parts of economic doctrine".

5.9 KEYWORDS

Supply of Labour

When dealing with the supply of labour, it is important to be clear about whether it is total labour supply or the supply for an individual job that is being discussed - the supply of labour as a whole is clearly going to be more wage inelastic and more static than that for a particular job.

Wage differentials

Many questions on this area of the syllabus look to explain why there are wage differentials

between jobs. The best way of looking at this is to look at the conditions necessary for there to be no wage differentials between jobs.

5.10 REVIEW QUESTIONS

1. Explain about the marginal productivity theory of distribution.
2. Discuss about the wage determination.
3. Define wages and collective bargaining?
4. What are the characteristics of collective bargaining?
5. Explain the importance and principles of collective bargaining.
6. What are the components of collective bargaining?
7. Explain the forms of collective bargaining.
8. Explain about the minimum wage.
9. Define rent?
10. Write short notes
 Scarcity Rent
 Differential Rent
 Quasi Rent
11. Define interest theory? Explain the types of interest theory.
12. Define profit theory? Explain the types of profit theory.

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I- B.A. Economics

PAPER - I: MICRO ECONOMICS

UNIT I: INTRODUCTION

Nature, Definition and scope of Economics – Methodology in Economics – Micro and Macro, Static and Dynamic, Normative and Positive – Indicatives and Deductive Analysis – Partial and General Equilibrium – Choice as an economic problem.

UNIT II : CONSUMER BEHAVIOUR

Utility Analysis – Cardinal and ordinal approaches – Law of Diminishing marginal utility, Law of Equi-marginal utility, Indifference curves – Properties of indifference curves – Price (Budget) line – Equilibrium of the consumer with the help of indifference curves. Demand Analysis – Law of demand – Elasticity of Demand – Price, Income and cross elasticities, Demand forecasting – Meaning and factors influencing demand forecasting – Consumer surplus – Engel curve.

UNIT III: THEORY OF PRODUCTION AND COSTS

Objectives of a firm – Production function – Concept of Cobb-Douglas production function – Isoquant – Factor substitution - Law of variable proportions, law of Returns to Scale – Expansion path – Different Concepts – of Revenue and Costs and their interrelation – Equilibrium of the firm – Break – Even analysis.

UNIT IV: MARKET STRUCTURE

Market forms – Perfect and Imperfect markets. Price Determination and Equilibrium of a firm and industry under perfect competition – Monopoly – Price determination under monopoly – Price discrimination – Monopolistic competition – Price determination. Oligopoly (Kinked demand curve).

UNIT V: FACTOR PRICING

Marginal productivity theory of distribution – Theories of wage determination – Wages and collective bargaining: Minimum Wage – Rent – Scarcity rent, Differential rent – Quasi rent. Interest – Classical, Neo-Classical and Keynesian theories – Profit – Dynamic, Innovations, Risk and Uncertainty theories.

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POLITICAL SCIENCE CONCEPTS, THEORIES AND INSTITUTIONS

I- B.A(POLITICAL SCIENCE) / I - Semester

As per Choice Based Credit System (CBCS)



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I- B.A. POLITICAL SCIENCE

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1. Introduction: Definition, Scope and Importance of Political Science
2. Approaches to the Study of Political Science: Liberal and Marxist
3. State – Nation and Civil Society
4. Sovereignty: Monism and Pluralism
5. Theories of Origin of the State; Social Contract and Evolutionary (Historical)
6. Concepts:
 - 6.1 Law: Sources of Law and Concepts of Rule of Law
 - 6.2 Liberty and Equality - Their Relationship
 - 6.3 Theories and Kinds of Rights
 - 6.4 Power and Authority
7. Ideologies: Individualism, Anarchism, Fascism and Socialism
8. Forms of Government:
 - a. Democracy: Direct and Indirect
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9. Theory of Separation of Powers
10. Organs of Government
 - a) Legislature:
 - i. Unicameral and Bi-cameral
 - ii. Powers and Functions
 - b) Executive :
 - i. Powers and Functions.
 - c) Judiciary :
 - i. Powers and Functions
 - ii. Independence of Judiciary and Judicial Review.

Books Recommended:

1. Principals of Political Science : Prof.A.C. Kapoor.
2. Grammar of Politics : Laski H.J.
3. Substance of Politics : A. Appadorai
4. Political Theory: Ashirvadam
5. Political Idelogies: Their Origins and Impact, Baradar, Prentice Hall of Inida

POLITICAL SCIENCE CONCEPTS, THEORIES AND INSTITUTIONS

B.A - POLITICAL SCIENCE

(First Year:Paper-I)

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Political Science Concepts, Theories & Institutions

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Lesson 1

INTRODUCTION

Structure

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1.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Define Political Science
- Describe Nature and Scope of Political Science
- Discuss relationship with other Social Sciences
- Explain importance of political science.

1.1 INTRODUCTION

Political science is the academic field of study on power and its distribution in the

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various types of political systems. The study ventures into the sources of power, its exercise, who exercises it and how it is exercised. It deals with the study of politics and governance in an empirical model. It studies the power relations in society and the practise of political behaviour in general. It investigates the acquisition, demonstration and sustainability of political power in society.

Politics concerns itself with power distribution in society and the distribution of resources. It is the science or art of directing a political unit, or simply the art and science of government. It determines who gets what, when and how within the society; the acquisition of power, its use and the power relations. Politics is a game of power and influence. It manifests itself in situations involving power, society, hierarchy and decision making. The power relation would hold that the person higher level within the hierarchy wields more power than the inferior. Politics, therefore, centres on three main areas

- The civil government, state and public affairs
- Human conflicts and conflict resolution
- The sources and exercise of power
- It is further divided into other fields, or branches.

1.1.1 Meaning of Politics

Politics and Political Science are sometimes interchangeably used. There is a slight difference between the two. "Politics is the study of why man finds it necessary or desirable to build government, of how he adapts government to his changing needs or demands, of how and why he decides on public policies. Politics is concerned with the conditions and consequences of fin human action"

- **David Easton**

Political Science is broader in its scope. It includes both the theory and practice of State and Government. Bluntschli, a German philosopher, defined Political Science as "the science of the state". According to him Political Science deals with the State- its nature, its various forms and its development. Prof. Garner opined that Political Science begins and ends with the State, while Stephen Leacock held that "Political Science deals with Government only". For Paul Janet, Political Science deals with "the foundations of the State and the principles of Government". Thus, there is a degree of difference of opinion on the subject matter of Political Science. However, in the modern period, political scientists like Harold J.Laski and R.H. Soltau preferred to use the term "Politics" for the subject of our study. By this one can understand the difficulty in designating the discipline in view of the conceptual confusion.

Aristotle is called "the Father of Political Science". It is Aristotle who first made use of the term "Politics" in his great classic on the "State". The term 'Politics' is derived from the Latin word Politicus". It is in turn derived from the Greek word "Polis". In Greek language, polls means 'a city-slate'. The Greeks used the term "Polis" or "Politika" to describe the totality of the state activity. In other words, the term "Politics" implied the affairs of the "Polis" for the ancient Greeks.

City-State

Perhaps the greatest contribution of the Greeks not only to the subject of Politics but also to the urban civilization, is the city-states. For the Greeks, "Polis" was a city-state.

Each city-state had its own government, laws, social and political institutions and well-developed civic life. Athens, Sparta, Corinth, Argos, Thebes etc. were some of the prominent city-states then. Athens was one of the greatest city-states with a democratic polity. It was said that a city state those days was a centre of hectic political activity. Citizenship was considered a matter of great personal esteem and a prestigious possession by the Greeks. It was in these city-states that great political experiments like Monarchy, Aristocracy and Democracy etc. were experimented. Socrates, Plato and Aristotle held them so high.

What is a state today for us was a city-state for the Greeks. In other words a city was virtually considered a state by the Greeks. It is from these humble origins of city-state that the present nation-state was evolved.

Today Political Science has assumed great importance in terms of its study, research and use of knowledge.

1.2 MEANING OF POLITICAL SCIENCE

Political Science is basically a social science dealing with the subject of the State and Government. It is “the science which is concerned with the state which endeavours to understand and comprehend the state in its fundamental condition, in its essential nature, its various forms of manifestation, its development,” (Bluntschli). It is very difficult to define Political Science in exact terms. While Political Science was originally concerned with the traditional or theoretical politics in the beginning, it has become altogether different from its original. Today it is differently defined. While “Politics” has been in currency from the times of Aristotle, today it is called “Political Science”. While “Politics” refers to a particular political activity and dubs it as an art, “Political Science” refers to the study of the state in its forms and manifestations, and thereby gives it the character of Science.

A large number of writers such as David Easton, Harold Lasswell, H R.A Dahl, Kaplan, Catlin and Gabriel A. Almond, considered “Power” as the fundamental concept of political science. These political scientists tried to explain political reality in empirical terms. As a consequence the new approach—the Empirical Approach has overshadowed the speculative or normative aspects of Political Science. This trend has been described by some leading writers on Political Science as “decline” or “demise” or “retreat” of Political Theory in recent times.

Modern Thrust on the Subject

The term “Politics” has three dimensions, namely, (a) Political activity (b) Political process, and (c) Political power. Firstly, Political activity is continuous, timeless, ever-changing and universal. Its main manifestation is the making or taking a decision in which some political action is involved. Politics, for David Easton, means “the authoritative allocation of values”. A political action for Harold Lasswell and Robert A. Dahl. is “a special case in the exercise of power”. And for Jean Blondel, it is “decision-making”.

Secondly, Political process is an extension of political activity. According to Finer, “the set of procedures whereby the private associations existing in a state seek to influence the government, or participate in policy foundation by the government or become the government is the political process.”

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Thirdly, power implies “participation in the making of decisions”. It is an exercise in the attempt to change the conduct of others in one’s own direction. The subject of “Authority” is the handmaid of power. Thus Politics is not merely a study of State and Government but also a study of “the exercise of power”. Michael Curtis has rightly said, “Politics is an organised dispute about power and its use, involving choice among competing values, ideas, persons, interests and demands. The study of politics is concerned with the description and analysis of the manner in which power is obtained, exercised and controlled, the purpose for which it is used, the manner in which decisions are made, the factors which influence the making of those decisions and the context in which those decisions take place.”

1.2.1 Definitions

There are different definitions to the dimensions of Political Science. These definitions can be detailed in the following ways.

1. “Political Science begins and ends with the State” - **Dr. Garner**
2. “Political Science is a study in the past, present and future of political organizations and political theories” - **Gettel**
3. “Political Science is that part of Social Science which treats the foundation of the state and the principles of the Government” - **Paul Janet**.
4. “Political Science is the study of State and Government” - **Gilchrist**
5. “Political Science as an empirical discipline, (as) the study of the shaping and sharing of power” - **Harold Laswell**
6. “Political science is related with different activities highly influencing the system of power that directs the society, the method of implementing the power and the social values controlled and directed officially” - **David Easton**
7. “Political science studies the politico-territorial society united to lead a life under legislation”. - **Appadorai**

After going through the above definitions, one can understand that Political Science is primarily a science studying the State and the Government, Leanock and Bluntschli believed that Political Science is more concerned with the government. They also opined that all the goals of State can be achieved through the government. They specified that, the State can be controlled by having a control of government. Paul Janet opined that Political Science is the study of the principles related to the state and government. In the view of Gettel, the main aim of Political Science is to know about the aims of the political institutions in the past; to observe the aims of the contemporary political institutions and to think of the aims and ideals of the political institutions in future.

Up to the advent of the twentieth century, many of the people considered Political Science as a study of the State and Government and also the relations between the individual, State and the Government, but in the beginning of the twentieth century, political scientists like George Catlin, Charles Merium, Max Weber and Kaplan indicated many new factors that can be included in the study of Political Science. Political Science acquired many trends, newly related with the human behaviour, attitude and study of his activities. It is influenced by the behaviouralism. Basically, according to the modern political thinkers, Political Science discusses power, as the power is the nucleus in the state.

1.3 NATURE AND SCOPE

There are different views on the nature of politics. Aristotle, Bodin, Hobbes, Bluntschli, Montesquieu, Lewis, Sidgwick, Jellinek, Bryce etc., hold that politics is a science. But, writers like J.S. Mill, Maitland, Catlin, Barker, Buckle, Auguste Comte, etc. maintain that it is only an art.

1.3.1 Meaning of Science and Art

The word 'science' literally means 'knowledge'. Science generally means a systematic way of gathering and organizing knowledge. "Science is knowledge ascertained by observation and experiment, critically tested, systematized and brought under general principles." As per Garner, "Science is a knowledge relating to a particular subject acquired by systematic observation, experience, or study which have been co-ordinated, systematised and classified." The conclusions in science are based on experience and observation. The chief characteristics of science are universality, exactness, precision and predictability. It is studied by collecting and verifying data, formulating concise and standard principles, and making predictions. Science is a systematic body of knowledge based on reasons and evidence.

'Art' means 'skill' or 'a way of doing a particular thing in a particular way. It can be improved by practice, guided by principles.

Politics is a Science

Politics is considered as science on the following grounds

- 1) Politics can be studied in a systematic manner.
- 2) It is said that experimentation is possible in politics.
- 3) Political science, like other sciences, has absolute and universal laws
- 4) It is possible to make predictions in politics, but in a limited area.
- 5) There are certain principles and methods on which political thinkers unanimously agree.
- 6) Politics is a subject which has scientific nature.
- 7) At present, politics has attained modernity. Aristotle called politics as 'Supreme Science'.

Politics is not a Science

James Bryce maintains that "Politics can never become a science." Catlin thinks that there is "No such thing as a political science." Buckle holds that "Politics far from being a science is one of the most backward of all the arts." G. Mosca holds that "Political science in its present conditions has not yet genuinely entered upon its scientific state." Maitland writes, "When I see a good set of examination questions headed by the word 'Political Science' I regret not the questions but the title." Auguste Comte rejected to treat it as a science on the following three grounds:

- a) There is no consensus of opinion among the political thinkers as to its methods, principles and conclusions.
- b) It is impossible to foretell what is going to happen as Astronomy can tell us. In other words, it lacks the elements which constitute a basis of provision.

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c) It lacks continuity of development.

Politics is not considered as science on the following grounds:

- 1) Politics has no absolute and universal laws like physical sciences or exact sciences.
- 2) It does not observe the theory of cause and effect, which is the basis of all sciences.
- 3) The subject of politics has not developed in a steady, regular and continuous manner.
- 4) Scientific methods of observation and experimentation cannot be applied to politics because political conditions are ever changing and difficult to be experimented upon.
- 5) The subject-matter of politics is related to men in society and man's individuality, behavior and opinions always go on changing and universal laws and principles cannot be formulated as in other exact sciences.
- 6) The factors which influence political conditions cannot be controlled for experimentation.
- 7) In politics, there are no tools of measurement to ascertain results while observing political phenomena.
- 8) The political investigator's biased views or feelings distort the reality which is to be understood in politics. Politics is subjective by nature and objectivity is not possible in Politics.
- 9) Political theories lack exactness since human nature and behavior cannot be accurately studied just like some specimen or objects in a laboratory which are under the complete control of the researcher.
- 10) The methods used in the study of political issues are uncertain, crude and undeveloped and the results are not reliable.

Politics is a Social science

It must be admitted that political science is not an exact science, as it falls short of the degree of the perfection and exactness attained by physical sciences. Passions, emotions and prejudices which influence political process defy absolute prediction. But still it is possible to study political science in a systematic and scientific manner.

Politics deals with social phenomenon. It has judiciously chosen different methods for studying different phenomena. For that master no social science can demand absolute certainty on any social question. This is because the material it has to deal with are human beings, whose actions cannot be predicted with absolute certainty. In this regard the plight of political science is similar to other social sciences. Politics like economics, ethics, sociology is a social science having characteristics of positive science.

Politics is an Art

An art is a system of rules for the attainment of a given end. Art is the practical application of knowledge for achieving definite end. A science teaches us to know whereas an art teaches us to do. Art is an action with purpose. It lays down precepts or specific solutions for specific problems. Some writers consider politics as an art because it deals with various aspects of life and explains the ways political affairs are to be conducted. Gettell and Bluntschil that politics bears the characteristics of art. Buckle regards to be "One of the most backward of all the arts."

Prof. Cossa says, “Science requires art, art requires science, each being complementary to the other.” William Eslinger says, “Science and art need not be antithesis. Art can also be based on science.” Hence politics is considered as an art as well as social science. Politics gives practical guidelines to the rulers and administrator along with citizens. Politics has been developing as a systematic study of human relations in political State.

1.3.2 Scope of Political Science

Every discipline extends to a particular area touching upon varied facts under its fold. For example, Economics deals with the matters of wealth its consumption, production, distribution and exchange. Sociology deals with the nature and origin of social groups, race, kinship, religion, culture and so forth. Similarly political science has a scope to deal with several aspects of man in the process of governing himself. It includes several dimensions starting from a small city-state “Polis” as the Greeks emphasized to that of the modern enlarged view of internationalism and several other aspects concerning the expression, formulation and execution of public policies. Political scientists have expressed different views on the scope of political science. The varied views are discussed below.

1. Study of State and Government

Political scientists like Paul Janet, Bluntschli and Garner viewed Political Science as a study of the affairs of the state. On the other hand, Stephen Leacock, John Seely and others confined the scope of political science to government alone. On the whole, the scope of Political Science includes several aspects such as the nature of the State—its origin, growth and development, various theories of origin of state. It also includes a study of the various functions of the State from that of a limited sphere namely the police state or laissez affair state to that of socialist state and the modern welfare state. Political Science also discusses various matters concerning the classification of governments. Hence the scope of political Science revolves round both the State and the Government in its various dimensions.

2. Study of State Will

Prof. Frank K.J. Goodnow maintains that Political Science concerns with the will of the State. He elaborates that the state formulates the will or objective, and makes an expression of this basic objective and ultimately accomplishes this will into reality by the enactment of law. It implies that the state is concerned with outlining the program of action or a broad policy measure and then formulate this in the form of a law and implement it rigorously to achieve the said goals.

3. Study of Associations and Institutions

Man is a member of various associations and institutions while being a member of a particular state. As the State fulfils various political needs of man, the different associations and institutions such as moral, religious, cultural, scientific, technological, etc., also help the individual in the furtherance of his personality. There is a great linkage in between these voluntary institutions and the state at times working hand in glove with each other and sometimes in a conflicting direction posing serious problems. It is therefore, necessary that the scope of Political Science should include not only the formal pattern of State and Government but also the informal processes maintained and operated by these voluntary institutions in modern times.

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NOTES**4. Study of National and International Problems**

The traditional political science has confined its scope to a narrow vision of Polis or City-state in ancient Greek times. But this view cannot hold good in modern times. Presently, the discipline deals with enlarged national states as well as international politics. In this sphere it covers various issues of state in relation to other states and in the maintenance of territorial integrity and sovereignty. Therefore the scope of political science includes aspects like cold war, balance of power, disarmament, sphere of influence, detente, etc. Thus, Political Science deals not only the domestic policies of a nation or a country but also studies the problems of international dimension stretching from the regional organisation to that of world organisations, namely, the United Nations and global fields.

5. Study of Past, Present and Future of the State

Political Science studies the matters concerning the past, present and future of the State. Political Scientists firmly viewed that State is an indispensable institution for the all round growth of human beings. As Prof. Gettel says "In its historical aspect, political science deals with the origin of state and the development of political theories in the past, in dealing with the present it attempts to describe and classify the existing political institutions and ideas. Political Science also looks to the future to improve political organizations and activities in the light of the changing conditions and changing ethical standards".

6. Study of Power

The Behaviouralists affirmed that Political Science confines its scope to the sharing and shaping of power. It also explains how power is grabbed, manipulated and perpetuated for a control on the society. The modern political scientists while emphasizing the concept of power included in its fold the areas such as political socialization, political culture, political participation, political communication, interest articulation and aggregation etc. These aspects are viewed as non-formal political processes which have a great bearing on the theory of Political power. Eminent political scientists like William Robinsion, Hans Margentheau, Beatrand Russel and others viewed that Political power is not only confined to the domestic area but also to the international sphere.

7. Study of Public Policy

Political Scientists such as David Easton, Anderson, Thomas R. Dyes and Charles Lindblom have emphatically argued that Political Science is a "Policy science". Its area includes the formulation of policy, its execution and evaluation. With the advent of public policy the scope of political Science has been further widened to include the dimensions of basic policies such as education policy, industrial policy, agricultural policy, land reforms policy population policy, weaker sections welfare policy, etc.

The basic thrust of political science, therefore, is to examine the available resources in terms of men, material and monetary aspects and suggest measures by formulation of sound policies for strengthening the State.

1.4 RELATIONSHIP WITH OTHER SOCIAL SCIENCES

Political science is closely related to other social sciences like history, economics, sociology, ethics and psychology. Its study includes all aspects of social organization

with which other social sciences also deal. It is related to other social sciences for two reasons: (i) all systematized knowledge is unified, and (ii) all social sciences revolve round a common subject, *i.e.*, human beings, who by their motivations and actions affect all spheres of social sciences obviously then all social sciences are interrelated and indebted to each other.

1.4.1 Political Science and History

Politics and History are very closely related to each other. Freeman says, “History is past politics.” It may be added that even present politics becomes instant history. The knowledge of history enables to form conclusions of politics. History provides raw-material of politics and analyses the causes of events. Politics uses the historical facts and finds out general laws and principles useful for political life. History deals with what the State has been. This helps to modify the State and political life and create better political conditions. The origin and development of political institutions can be grasped with the help of history.

The mutual relationship is so great that they touch each other frequently. Seeley says, “History without Political Science has no fruit; Political Science without History has no root.” He further remarked, “Politics is vulgar when not liberated by History, and History fades into mere literature when it loses right of its relation to politics. Politics is an aggregate of formal institutions of the State and social progress. It means that subject-matter of politics is closely related to history.” Burges says,

In spite of their close relation, they differ from each other

- a) History is descriptive while political science is normative.
- b) History deals with events and phenomena as they are. In politics we study the events as to their utilization for the development of human culture and welfare.
- c) History records all the events that take place in society. But politics is concerned only with that social phenomena which are concerned with citizens.
- f) History presents the facts as they are. But, politics passes moral and value judgments.

In the words of Prof. Leacock, “Some history is part of political science, the circle of their contents overlapping an area enclosed by each.”

1.4.2 Political Science and Economics

Economics is the science of wealth. Originally economics was regarded as a branch of politics. It was called political economy. Adam Smith in his book ‘Wealth of Nations’ says, “Political Economy proposes to enrich the people and the sovereign.” Political Science is the study of State and Government and political activities. Both Politics and Economics have close relationship.

- 1) Economics and Politics are concerned with the welfare of the human society. Politics explains how to bring peace and make life happy. It realizes that without the satisfaction of basic economic requirements of man, political stability cannot be ensured. It tells the methods of controlling anarchy and regulating human activities. Political science and economics have always remained closely related.
- 2) State has to solve several economic problems. To start with, the State has to

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create an orderly atmosphere where smooth production and distribution of goods become possible. The State regulates industry, finance, trade and commerce through legislation. Political ideas and principles influence the economic issues.

- 3) Political and economic problems act and react on each other. Most of the problems of the nation are economic in nature, but they are decided by political agencies. Economic factors were responsible for the outbreak of the world wars.
- 4) To achieve development, the State not only performs the age-old functions relating to fiscal matters or entering into commerce but also details out the policies regarding taxation, marketing, exports and imports and nationalization. States are drawing plans for economic development.
- 5) Political power is at the root of economic power. Political power is captured in a democracy with economic resources. This indicates the affinity between Politics and Economics.
- 6) Political Science depends on Economics. The people do not enjoy the fruits of democracy without the necessary legislation of equal distribution of wealth.
- 7) Political ideas are influenced by economic conditions. To reduce economic inequalities in society, political theories like syndicalism, socialism, and communism are formulated. Industrial revolution strengthened the roots of democracy.

In spite of the intimate relationship there are differences between political science and economics.

- 1) While economics deals with wealth, political science concentrates on the origin of State.
- 2) Economics deals with prices while politics deals with social values.
- 3) Economics is a descriptive science whereas politics is a normative science.
- 4) Economics explains mainly the profit and loss aspects and it is not concerned with good and bad or values of life. On the other hand, Politics is concerned with the feelings, reactions and the ideal nature of individuals and the State.

1.4.3 Political Science and Sociology

Sociology is regarded as a parent science for all social sciences. Since originally it involved a study of society in all its manifestations it embraced society as a whole for long and took account of man in the associated process of all his social relations. Politics is the study of State and Government. Garner says, "Politics is embedded in the social and if political science remains distinct from sociology, it will be because the breadth of the field calls for the specialist and not because there are well defined boundaries marking it off from sociology." Prof. Gidding says that "to teach the theory of the. State to men who have not learned the first principle of sociology is like teaching astronomy or thermodynamics to men who have not learned the Newton laws of motion." Thus, Politics has close relationship with sociology. They are mutually contributory. Both subjects help each other in studying the activities of man living in society.

Politics gives to Sociology facts about the organisation and functions of State. This is necessary to understand social problems. It takes from Sociology a knowledge of the origin of political authority and law. This is particularly useful to politics because in the beginning the State was more a social than a political institution. "A sociologist ought to

be a political scientist and a political scientist must be a sociologist.” Political science helps sociology by furnishing the details about State and Government which are essential in understanding sociological problems.

Introduction

But in spite of close relationship between the two subjects, they also differ from each other.

- 1) The scope of Sociology is broad. It studies social, political and economic aspects of society. It studies man in general. Politics studies only the political aspect of sociology. It studies man as a citizen. So its scope is narrow.
- 2) Political Science is normative while sociology is descriptive. Sociology gives descriptions of events and actions without stating their good or bad consequences. The aim of political science is the welfare of the society.
- 3) Sociology studies both the organised and the unorganised societies. Politics studies organised societies only.
- 4) Sociology studies the present and the past only. Politics studies the future also.

1.4.4 Political Science and Public Administration

Political Science is closely associated with Public Administration. Until recently, Public Administration was considered to be a part and parcel of Political Science. While Political Science is related to the study of State and Government, Public Administration deals mainly with the activities of the government. Public Administration and Political Science have close relationship and they are two sides of the same coin. They are the two species of the same genus.

- 1) Public Administration has been a part of Political Science. It has been an organ of the State activity.
- 2) Politics takes help from Public Administration in many respects. For example, in the process of making laws, the civil servants draft the bills to place before the legislature. Similarly, other policies are also framed with the help of administrators.
- 3) The politics approved by the government and laws made by the legislatures are enforced by the administrators. It is therefore said that Public Administration begins where politics ends.
- 4) In the words of John Gaus, “A theory of Public Administration means, in our times, a theory of politics too.”
- 5) Politics influences Public Administration. The political head ultimately prevails over the decisions of administration. The political chief enjoys the power of direction and supervision of the work of administration.

Though Political Science and Public Administration are closely related like the petals of a flower, they differ in many issues.

- 1) The scope of Political Science is wider than the scope of Public Administration.
- 2) Politics is mainly concerned with the nature and functions of the State. Public Administration deals with the implementation of governmental policies.
- 3) Politics is concerned with values and Public Administration with facts.
- 4) Politics is more normative than Public Administration.

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5) Politics is non-technical while Public Administration is technical.

1.4.5 Political Science and Ethics

Ethics is concerned mainly with questions regarding the principles of good life for individuals. Good life is justified on grounds of morality and prescribes what 'ends' ought to be sought and through what 'means'. Politics is concerned with the study of the realisation of common good of the society as a whole. The greatest good of the greatest number is an important aspect of politics. Among all the social sciences, Political Science maintains closest relationship with ethics. In fact, there was a time when politics was merely a branch of ethics.

- 1) For understanding political behaviour, a knowledge of ethical principles is needed.
- 2) The aim of both politics and ethics is the same. They want to do good to man and promote the common welfare.
- 3) Ethics is concerned with the elevation of human conduct. Political Science also deals with, the State which aims at making people good citizens.
- 4) Ethics and Politics depend on each other. The government passes several laws. There is close relationship between law and morality. The most popular moral principles have been changed into a set of laws.

Ivor Brown says, "*Politics is Ethics writ large.*" Mahatma Gandhi says, "*What is morally wrong cannot be politically right.*"

However, political science can be considered as subordinate to the ethical code as ethics is prior to politics. Machiavelli was of the opinion that the principles of morality have no place in Politics. According to him, the ruler was mainly concerned with the attainment of success irrespective of moral principles. Ethics is more normative than Politics. Political Science deals with law which is concerned with man's external conduct whereas Ethics is concerned with both external behavior and inner feelings of the individual. Ethics describes principles of right and wrong while politics deals with State, Government and political order. The scope of Ethics is wider than that of Politics.

1.4.6 Relevance of Political Science to the study of Law

The study of law and justice does not treat the affairs of jurisprudence only but is linked to the State as the State is regarded to be the maintainer of an effective and equitable system of law and order. Matters relating to the organization, jurisdiction and independence of judicial institutions, therefore, become an essential concern of a political thought.

Politics treats organised society, not as a social or political phenomenon but as a purely judicial regime, an ensemble of public law, rights and obligations, founded on a system of pure logic and reason.

Law covers the entire behaviour of man's social, economic and political actions. Previously, law was a branch of political science. As both law and political science deal with both State and man, political science has its relevance in the study of law due to the following reasons :

A study of State: Law is made and implemented by the State. State is a very essential institution without which man's civilized life becomes impossible. State is essential for the maintenance of peace and the development of people. Aristotle says that State

exists for the sake of life and continues to exist for the sake of orderly, life. It is necessary to know the State in all its aspects what it has been, what it is and what it ought to be. By studying politics we can know how the State has reached its present form, what are its functions, its purpose, *etc.* Politics helps us to understand the past, to explain the present and to direct the future course of human life.

A study of Man: The ultimate aim of law is to make a man as law-binding citizen. The State exists for the sake of man. The end of State is the development and progress of man. For free and full development of individual personality, rights are essential. So it is the duty of State to guarantee some rights to the people. Without rights one loses one's identity and simply becomes a unit, a slave. He who has rights and duties is called a citizen. Thus, politics studies man as citizen.

A study of Government: To govern law, Government, an agent of the State is required. It is through the government the State exercises its authority. Politics studies the various activities of government and its organisation, law-making process in various States, different forms of government and its merit and defects. The government consists of three organs, namely, legislature, law-making body, executive, the law implementing authority and the judiciary, law-giving organ. The main function of the government is related to law only.

A study of political ideas: Law is not a static one but a dynamic subject. It changes basing on political philosophies. Law is viewed differently by individualists or liberals, socialists, communists and democrats. Politics deals with the theories forwarded by political thinkers regarding individualism, socialism and democracy. Thus, part of politics may be called 'political philosophy'.

A study of political concepts: The sources of law are customs, religion, equality, legislature, codification and interpretations. All these issues are dependent on the political concepts like sovereignty, liberty, equality, power, authority, legitimacy, justice, rights and duties.

A study of Constitutions: The basis of legal system is Constitution. Different countries form their own Constitutions. However, there are similarities regarding the organs of executive, legislature and judiciary though the function of these organs may be in different ways. Constitutions give guarantee to fundamental rights, which are protected by law. Constitution provides the guidance regarding the formation and function of legislature, administration and judiciary.

A study of International Relations: No country can live in isolation. Every country is a member of world family. All countries are interwoven with World market, World trade and World Government, the U.N.O. A new branch of law relating to personal and public International law, International Economic law and International Trade law (relating to W.T.O.) has been developed. It has brought the World nearer and its people together. All these have added new dimensions to political science and made it the science of the World Community. Accordingly, politics nowadays studies human rights and duties, matters relating to international conventions as a member of the World Community. It discusses the powers, functions and importance of World Organisation, the U.N.O., the dangers of arms race, international relations, the need of international cooperation and understanding and the rights and obligations of individual in relation to humanity. It

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educates people how internationalism is important in the present world of political tensions.

Hence, a student of law has to acquire knowledge of political theory, Political parties, public administration, International relations and policies, International Organisations, Public opinion and Propaganda, Comparative Government, State, Local Government, Constitutions and International Law.

Political Science provides knowledge to a law student about basic technology of the subject about which a student learns at the very beginning of his study. It also gives information about a number of concepts and principles of law that are seen even in action in the political sphere of human activity. Study of Political Science produces enlightened legal personalities who introduce legal consciousness among the people.

1.5 IMPORTANCE OF POLITICAL SCIENCE

a) Political Knowledge: “The proper study of Political Science is significant both to society and individual”. (Dillan). Modern age is highly complex and technological. It is imperative that the modern man should develop proper attitude towards the society. This is possible only when he identifies himself with the society around him. Solutions to various political problems can be found only when we have a proper understanding about political institutions and their importance in the State. The social problems can be solved when we have proper social awareness. Political science provides ample knowledge in this regard.

b) Age of Democracy: It is an age of democracy. Democracy is not only a political ideal but also a pleasant way of life. It is a method of government apart from a source of knowledge. It has tremendous educational value. For the same reason a minimum education has been prescribed as a condition for the success of democracy, Political Science is the premier source of knowledge about democracy. The study of the subject helps molding the citizens who ultimate contribute to the success of democracy.

c) The Future Citizens : It is rightly said, “the child is the father of Man”, and “today’s student is tomorrow’s ruler”. Political science affords the knowledge basically required for the rulers. A student evolving himself as a citizen and finally a ruler indispensably requires instruction in the study of the State and the Government and the Constitution. Political Science equips the students with these skills.

d) Adult Franchise: With the reduction of the age for enfranchisement to eighteen years in most of the countries, there has been tremendous growth of the size of the electorates. For want of proper knowledge both theoretical and practical about the methods of representation and election the very practice of democracy proves a futile exercise. To deter such an unwanted situation, the study of political science becomes imminent and important for every adult.

e) Rights and Duties: Many evils in the social and political life today are sequel to either misinformation or misinterpretation or non-information about one’s own rights and responsibilities. Political science specially discusses these points and systematically stipulates the conditions governing both. The right understanding about one’s opportunities and obligations helps the proper enjoyment of rights and discharge of duties. The secret of social harmony lies in proper exercise of citizenship.

f) A Tension free stale: Tensions -social, economic and political-are largely due to the

parochial and provincial feelings harboured among the people. These narrow-minded feelings are logically removed from the Minds of the people by way of understanding and grasping the message that political Science provides and the solution it suggests. The key concepts of Liberty, Equality, Fraternity Justice etc., help remove the little and dangerous people.

g) World Family: It has been the long longing of the world leaders and prophets that we should accomplish the ideal of world family. In this and prophets that we should accomplish the ideal of world family. In this endeavor Political Science stimulates right thinking, forward looking and universal vision by way of cutting across the obstacles such as Imperialism, Colonialism, Racialism, etc. Internationalism, Universal Human Rights and the great religious preaching's of fatherhood of God and brotherhood of Man enormously help the people to accomplish the avowed objective of world family.

h) National Integration: National integration has become a crucial factor in several states the world over. Many states are divided internally on grounds of language, religion, culture, race, ideology etc. We have seen very much the collapse of mighty states which were divided on these grounds and rendering the states balconised, The erstwhile grand U.S.S.R is a particular example of this process of balkanisation in the recent past, Political Science projects the problems and the perils that would soon follow in the other states too when proper awareness is very much lacking about such dangers of disintegration. By instilling patriotism and the spirit of loyalty to the State, such awful tendencies among the people can be eradicated and unity and integrity among the people ensured.

In the end we conclude that either for a house-wife or for a politician, either for a pupil or for a leader, the study of Political Science is of extreme significance and use especially in an age of democracy. Aristotle is right when he said that the man who does not need a state is either a beast or God. Truly to qualify oneself for the privilege of citizenship one should have the basic knowledge of Political Science.

1.6 SUMMARY

Man is a social animal. As Aristotle has said, "he who is unable to live in society or who has no need because he is sufficient for himself, must be either a **beast or God**". Man in his daily life interacts with a number of groups and associations. It leads to diverse social relations and establishment of a society. Man's behaviour in the society is conditioned by two factors- physical and social. His insatiable curiosity compels him to comprehend these factors and the result of this continuous search is advent of social sciences like History, Economics, Political science, Sociology and Psychology. All these social sciences are closely related to one another because of the interdependence of human actions which are object of studies of these various social sciences. Political science deals with the political aspect of human behaviour. It studies political institutions and their various functions. Basically, political science studies the political institutions, parties, Government, Power, Authority and Liberty of Human beings.

1.7 KEYWORDS

- **Politics:** The word "**Politics**" is derived from a Greek word "**Polis**" meaning "**City-States**" since the Greeks lived in the city state, to them a subject which

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dealt with various aspects of city states was “Polis” or “Political Science” in the mode sense of the term.

- **Political Institutions:** Political Science basically studies the State and Government. The evolution of State, its development, its character and functions are included in Political Science. So also, Political Science examines how the organs of the State like legislature, executive and judiciary form and function.
- **Political Theories:** It is very much impossible to understand the facts and changes without theoretical understanding.
- **Political Behaviour:** Behaviouralism is a modern revolutionary aspect in Political Science. It is essential to understand the reaction of the people to the government policies.
- **Political Science and Government:** Study of government is another important aspect of this subject. As one knows that government is an agency through which the State expresses its will and no subject which is directly or indirectly concerned with the study of the State can leave the study of Government.

1.8 REVIEW QUESTIONS

Essay Type Questions

1. What is the meaning of Political Science? Explain its nature and scope in detail.
2. Discuss Political science is an Art? or Science?

Short Type Questions

1. Define the Political science.
2. Scope of Political science.
2. “Political science is related with different activities highly influencing the system of power that directs the society, the method of implementing the power and the social values controlled and directed officially”- David Easton,
3. “Political science studies the politico-territorial society united to lead a life under legislation”- Appadorai.

1.9 SUGGESTED READINGS

1. A.C.Kapoor - Principles of Political Science.
2. V.P.Joshi, - Political science.
3. E.Barker - The Politics of Aristotle.
4. G.H.Sabhine - Political Theory.
5. George.E.G. Catlin - Political Theory.
6. Houser and Stevenson - Political Science.
7. Pennock and Smith - Political Science – An Introduction.

Lesson 2

APPROACHES TO THE STUDY OF POLITICAL SCIENCE: TRADITIONAL AND MODERN

Structure

- 2.0 Aims and Objectives
- 2.1 Introduction
- 2.2 Meaning
- 2.3 Definition
- 2.4 Traditional Approaches
 - 2.4.1 Legal Approach
 - 2.4.2 Institutional Approach
- 2.5 Modern Approaches
- 2.6 Post Behavioral Approach
- 2.7 Methods of Study of Political Science
- 2.8 Stages of Growth
- 2.9 Behaviourism
 - 2.9.1 Achievements and Limitations
 - 2.9.2 Liberal Approach to Politics
 - 2.9.3 Marxist Approach to Politics
 - 2.9.4 Materialistic Conception of History
- 2.10 Summary
- 2.11 Keywords
- 2.12 Review Questions
- 2.13 Suggested Readings

2.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Know the importance of approaches and methods of study Political Science.
- Know the traditional and modern approaches of Political Science.
- Explain the various types of approaches of to the study of Political Science.
- Study the various methods of Political Science such as Observational method, Comparative method, Historical method, Experimental method and Philosophical method.

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2.1 INTRODUCTION

The aim of any science is to know the truth. With this end in view every science develops and follows certain methods to investigate and formulate some basic laws or principles. Politics is a well developed social science. So, a systematic or scientific method is as important to politics “as the microscope is to biology or the telescope is to astronomy”. Different writers have suggested different methods to study and unfold the phenomena of the state and government. Among them mention may be made of Bluntschili, J.S. Mill, Deslanders etc. No single method, however, is final and foolproof. Each method has its own values and limitations. The following are the generally accepted methods of political investigations: (1) Observational method (2) Comparative method (3) Historical method (4) Experimental method and (5) Philosophical method.

2.2 MEANING

In political science, there are various methods and approaches to study political science. For this, use of deductive and inductive approaches is incomplete and fails to analysis diverse political phenomena. Therefore, a student of political science as to relay on a number of approaches for objective analysis of political phenomena. From the days of Plato political thinkers have used various methods and made different approaches in their enquiries.

2.3 DEFINITIONS

Some of the definitions are mentioned below

1. According to Sanvadori, “As for as methodology in political science is concerned, exports want to speak of a variety of methods; philosophical, dialectical, sociological, economic and normative methods
2. Auguste Comte defined as, “Suggested three methods study of political science – (1) observational (2) experimental (3) comparative. Through these methods, the political science may be understand easily.”

2.4 TRADITIONAL APPROACHES

An approach is a way of looking at and then explaining a particular phenomenon. An approach consists of criteria of selection criteria employed in selecting and data to bring to bear; it consists of standards governing the inclusion and exclusion of questions and data. The problem may be small or big. The explanation may be normative or empirical; qualitative or quantitative. The result is a generalized statement summarizing actions. Approach is a precursor of a theory and approach can be transformed into a theory if and when its function extends beyond the selection of problems and data about the subject under study. A method is a part of an approach. When an approach is systematised in a presentable form, it leads to the creation of a method V.Van Dyke says, “In brief, approaches consist of criteria for selecting problems and relevant data, whereas methods are procedures for granting and utilizing data.” Technique is still specific and used for a specific purpose.

Political Science has been studied from different standpoints. There are many

approaches formulated by scholars. There are traditional approaches and modern approaches. They are:

- 1) **Philosophical Approach:** Philosophical approach is also known as speculative or metaphysical approach. This method is deductive in its approach and starts with certain self-evident general propositions and then confirms or denies the facts. It starts with some abstract view of human nature and draws conclusions from that view concerning the nature, functions and aims of the State. Conclusions thus drawn are then sought to be harmonized with the actual facts of history and/or political life modifying its conclusions as necessary. Thus, the philosophical approach proceeds from general to particular. Plato, Rousseau, Kant, Bosanquet, Hegel are some of the important exponents of this approach. Plato's 'Republic' and Thomas More's 'Utopia' are examples. Here politics becomes a part of ethics.

The main danger of philosophical approach is that it may become purely imaginative and visionary. It may be lost in ideal and lose sight of actual conditions. Plato and Thomas More created an ideal of their own imagination and conceived of the ideal divorced from reality. The philosophical approach has value only if supplemented by sound observation and historical and comparative study. The ethical values of the method cannot be put into practice. Therefore, this method should be cautiously employed.

- 2) **Historical Approach:** The salient feature of historical approach is to throw focus on the past or over a selected period of time as well as on a sequence of selected events within a particular phase so as to find out an explanation of "what institutions are, and are tending to be, move/more in knowledge of what they have been and how they came to be, what they are than in the analysis of them as they stand."

Historical approach is expounded by Montesquieu, Seeley, Maine, Freeman, Laski and others. They explain the political institutions with reference to historical records. The historical approach is based on the assumption that the stock of political theory comes out of socio-economic crisis as well as the reactions they leave on the minds of the great thinkers. It implies that in understanding a political theory, it is equally necessary to understand clearly the time, place and circumstance, in which it was evolved.

The Historical approach is criticized on the following grounds

History generally does not repeat itself. So its value is limited. History does not deal with values. In History, most of the resemblances are superficial. One may draw misleading conclusions. Some examples of the past may not be useful now because of changing conditions. One may draw misleading conclusions because of superficial resemblances. The investigations may be made with emotional influences and personal prejudices investigator.

In spite of its weaknesses, historical approach has its own usefulness in understanding the meaning of great social and political theorists from Plato and Aristotle in the ancient to Leo Strauss and Laswell in the present times. Machiavelli followed this approach so as to justify his reflections on understanding political reality. In a way Burke also can be said to have followed this approach in explaining how societies have been both conserving and yet changing their age-old customs and traditions.

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2.4.1 Legal Approach

The legal approach is also called judicial approach. In legal approach, the study of politics is linked with the study of legal and judicial processes and institutions created by the State for maintaining a political organization. The themes of law and justice are treated not as the affairs of jurisprudence only but are linked to the State as the State is regarded to be the maintainer of an effective and equitable system of law and order. Matters relating to the organization, jurisdiction and independence of judicial institutions therefore, become an essential concern of a political theorist.

The writings of Jean Bodin, Thomas Hobbes, Hugo Grotius, Bentham, John Austin are some examples. In the words of Garner, the legal approach “treats organised society, not as a social or political phenomenon but as a purely judicial regime, an ensemble of public law rights and obligations, founded on a system of pure logic and reason.”

The legal approach firmly believes that law covers the entire behavior of a man’s political action. But in reality it is particularly true. Most of our actions cannot be explained on legal basis. An analytical jurist commits the mistake of reducing every aspect of a political system to a juridical entity.

2.4.2 Institutional Approach

The institutional approach is also called structural approach as it gives importance to organisations, interest groups and structures. The institutional approach lays emphasis on the formal structures of a political organization like legislature, executive and judiciary. Some analysts like Herman Finer may include the study of political parties, too, considering them also to be institutions. This approach covers both the formal and the informal institutions. The institutional approach includes the comparative approach too. G.A. Almond and David Apter focussed on the comparative study of the institutions of the advanced and of the developing countries. The comparison between the parliamentary or the judiciary institutions of different countries would benefit those who aim at strengthening their institutions. Writers like Walter Bagehot, Ogg, Munro, Bryce, Fiver, La ski, Strong and Maurice Duverger are considered to be the leading lights of their institutional approach.

It has its defects. It neglects the role of individuals who constitute and operate the formal as well as informal structures and sub-structures of a political system. It also ignores international politics. It is criticised as a routine description and pedestrian analysis of formal political structure and processes based on the more readily accessible official sources and records.

2.5 MODERN APPROACHES

1. Sociological Approach: Sociological approach regards the State mainly as a social organization. As a member of society, every individual learns many things. The totality of what he has learned from society is called political culture. Political culture is a way of political life, a method of thinking, glancing and feeling.

According to sociological approach, ample data was available in sociology to lay down certain empirical rules of political behavior. The elements of kinship, race, religion, language and such other will have more influence on political structure and activities that are present in any society.

Sociological approach is expounded by eminent thinkers like MacIver, David Easton, Almond, Lipset, Max Weber and others. According to sociological approach, the political behavior of the Individual can be understood in the social context. Political Socialization has a place in the society. It is the process through which a citizen acquires his own view of the political world and it takes place as the individual has social experiences that lead to relationship with the world of politics. E.G. Catlin presents the following advantages of sociological approach:

The sociological approach allows the study of relation and social structure as a whole and does not emphasize the segmental study. It links up the studies of political issues with a general theory of society. It provides the trivial and the common details regarding political events taking place from day to day when one deals with the State as his unit of analysis. It helps to study the institutions as a unit of analysis.

2.Psychological Approach: Psychological approach gives much importance to instincts, habits, emotions, etc. As it is individuals who act in different capacities in the political system, their psychology would reflect in their political roles too. The political behavior of the leaders, of the legislators and the executives, to name a few, can be understood well when the studies are based on the psychological approach. The interpersonal relationships are more motivated by psychological factors and the former are crucial for institutional effectiveness.

In the study of political behavior of man, the psychological factors of man were emphasized by Plato, Machiavelli, Hobbes, Locke, Rousseau, Bentham and others. Its exponents, in recent times, are Graham Wallace, Charles Marriam, Harold D. Lasswell, Robert A Dahl and others. Eminent psychologists such as Freud, Jung and McDougall had already laid down the psychological bases for political behavior.

Psychological approach revolutionized the study of political science. However, it has certain drawbacks. It has not covered much area and the progress made in this approach is disappointing. The approach proves ineffective in a fast moving and dynamic society. It brushes aside reason and gives excessive importance to anti-intellectual aspects of human nature.

3.Economic Approach: Much of politics is economic influenced. Economic factors are the motivating factors in politics. Economic approach in the study of politics can be traced back to the ancient thinkers like Plato and Aristotle. They gave importance to economic conditions and distribution of wealth in a State. The form of government depends much on them. There can be no peace and revolutions break out if economic inequality prevails. Modern writers like Harrington maintain that the form of government in a country is a reflection of economic conditions. John Adams is of the view that economic clashes result in political struggles.

Karl Marx's economic approach is very powerful one. It asserts that the economic productive forces and relationships would determine all other political, religious and other belief systems. The economic basis for the human existence is more evident for a layman too. Marx revolutionized political theory. The political strength of a nation and foreign relations depend upon the economic strength of a nation. Political stability and strength depends upon the strength of agricultural and the industrial sectors, banking system and so on.

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Though there is much truth in what is said in the economic approach, it has certain drawbacks. It ignores other factors in the study of Political Science giving excess importance to economic factors. Thus, it is narrow and restricted.

4. System Approach: The genesis of the system theory can be traced back to the writings of Ludwig Von Bertalanffy, a biologist in 1920. His emphasis was on the unification of all sciences, which is a sheet anchor or general system theory. The meaning of general system is that a group of objects or elements standing in some structural relationship to one another and interacting with certain characteristic processes.

The general system approach has been used in different forms by Easton, Almond, Deutch and Kaplan in the analysis of political system.

A system is a set of objects bounded by region in space and time. It involves interchange among its parts. Every system has its own structures and sub-structures. This approach helps to understand the national and international politics. This is a new approach to compare political systems.

5. Structure Functional Approach: The structural functional approach is a branch of system approach. It regards society as a unity, as a single unit. Each element or part of it performs a particular, a special function. There is interaction among its parts. It helps in the maintenance of the equilibrium.

This approach revolves round the two important concepts like structure and functions. Functions deal with the consequences involving objects. Structures are those arrangements within the System which perform functions. A single function may be performed by a complex combination of structures or vice versa. For example, political system performs many functions. Political party is a structure in it. It performs some specific functions.

6. Input-Output Approach: The input-output approach is a consequence to Structural functional analysis. It lays emphasis on the changes in Structural-functional analysis. It lays emphasis on the changes in political system. The political system (State) takes several decisions. In that process of decision-making, many institutions and individuals may help. Those forces that help in the decision-making process are called inputs. They are in the form of demands. In response to that the authority takes some decision. They are called output. David Easton calls it "flow model of a Particular system." Every political system converts inputs into output.

7. Behavioral Approach: Behavioral approach is a modern empirical approach which revolutionized political science. It has been developed from the 1940's and reached climax in the 1960's. Graham Wallas and Arthur Bentley are the first writers on this approach. In fact, political thinkers like Machiavelli, Locke, Mill and others studied the political behavior of man to some extent.

The central point of the behavioral approach is that the study of facts relating to human behavior in any capacity or context can give more valid and useful knowledge. In the case of political science too human behavior exhibits useful information and its measurable and useful propositions can be formulated to tackle the present problems. The studies based on behavioral approach analyzed some of the key concepts of political phenomenon, viz., power, influence and coercion or force, so as to throw light on the democratization of relations whether they are of national or international nature.

The motives, feelings, beliefs, actions, objectives and attitudes of the individual are studied in this approach.

Political scientists expressed different opinions on the meaning of behaviouralism. To some, it meant the psychology of individuals in political situations. To others it meant emphasis on the 'science' in 'political science' and to still others it meant merely the behavior of voters. But finally it is agreed that the behavioral approach deals with all political activity, and not with the activity of voters alone. According to Robert Dahl, it is an attempt to make the empirical component of political science more scientific by studying political behavior of individuals at all levels, within and without political institutions and groups, with their political likes and dislikes, reactions and responses.

Evron M, Kirkpatrick gives the following main characteristics of behavioral analysis in political science:

- i. It "rejects political institutions as the basic unit for research and identifies the behavior of individuals in political situations as the basic unit of analysis".
- ii. It identifies "social sciences" as "behavioral science" and emphasizes the unity of political science with the social sciences, so defined.
- iii. It advocates the utilization and development of more precise technique of observing, classifying, and measuring data and urges the use of statistical in quantitative formulation wherever possible. It defines the construction of systematic, empirical theory as the goal of political science.

David Easton has laid down the following intellectual foundation stones or assumptions of behaviouralism

- 1) **Regularities:** There are some uniformities in the political behavior of human beings that can be shaped into theories. On the basis of uniformities we can explain and predict the political phenomenon. For example, some voters vote for the same party in all the elections. If we link up this behavior with the social status, economic position and caste composition of the voters we find a uniformity in the behavior pattern.
- 2) **Verification:** Every aspect of study must be verified by concrete realities of the situation. The knowledge to be valid should consist of : (i) propositions that have been subject to empirical tests; (ii) that evidence must be based on observation; and (iii) conclude that they have carried out a large number of studies of attitudes underlying political behavior.
- 3) **Techniques:** Correct techniques of sampling, scaling, etc, must be adopted for acquiring and interpreting data.
- 4) **Quantified evidence:** Data of study should be quantified and measured. Then the conclusions can be verified on the basis of quantified evidence.
- 5) **Values:** Political science is a scientific study of politics in its functional aspect carried through empirical methods. It has nothing to do with moral or ethical questions. By using developed techniques and methods, research can always be kept value free.
- 6) **Systematization:** The study in every field of political science must be systematic, theory oriented and theory directed. The behaviouralist theory does not consist of

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speculation, but of Prediction, analytical explanation and scientific reasoning.

7) **Pure Science:** Behaviouralists insist on, what they call, “the pure science approach.” The theoretical understanding may lead application of this knowledge to problems of life.

8) **Integration:** Politics is one of the social sciences. The study of political phenomenon requires some understanding of how the economic, cultural and other phenomena in society are unfolding themselves. If an effort is made to detach the political man from the economic, social or cultural man, it would not be possible to understand his political behavior in its true character. So integration of all social sciences is necessary for the real understanding of political phenomenon.

The behavioral approach succeeded in gathering valuable Data on problems of leadership, voting pattern, role of political parties, pressure groups, etc. In addition to this, political science has been made a more dynamic discipline by this approach. Above all it has brought politics nearer to social sciences.

Coming to limitations, it has the following drawbacks

The meaning of political behavior is not clear.

It is not superior to other methods.

It overlooks moral values.

It makes political science a dependent on other social sciences.

It is very expensive.

It fails to distinct between physical and natural sciences.

It views human beings as an engineer would view material for building bridges. It fiddles while Rome burns. It is excused for two facts it does not know that it fiddles and it does know that Rome burns.

2.6 POST-BEHAVIORAL APPROACH

David Easton says that post-behavioral ism “is presenting us with a new image of our discipline and the obligations of our professions. It pleads for more relevant research. It pleads for an orientation to the work that will encourage political scientists, even in their professional capacity to prescribe and to act so to improve political life according to human criterion.”

Post-behaviouralism, as David Easton pointed out, was future orientation. “It was a genuine revolution, not a reaction, a becoming not a preservation, a reform, not a counter reformation.” It was both a movement and an intellectual tendency. Its main demands are relevance and action.

Post-modernism consists of the following

1. In the study of political science, substance must come before technique.
2. It should place its emphasis on social change and not on social preservation.
3. Political science had broken itself away from the brute realities of politics and is simply useless and it cannot serve the society in any useful manner.
4. If knowledge were to be used for right goals, values had to be restored to the

central position.

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5. Behaviouralists want the political scientists to realize that they gave “major tasks to problem” in society.
6. Knowledge must be put to work. They ask for action- science in place of contemplative science.
7. Study of political science should be related to urgent social problems. It should be purposive. It should be relevant. It should be able to understand the social and political problems and suggest solutions.

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2.7 METHODS OF STUDY OF POLITICAL SCIENCE

Politics is a well developed social science. Different writers have suggested different methods to study and uphold the phenomena of the State and Government. No single method, however, is final and foolproof. Each method has its own values and limitations. The following are the generally accepted methods of political investigation:

- i. **Observation Method:** Observation method consists in the actual observation of political phenomenon. The political investigator observes the working of political institutions and finds out his conclusions. Lord Bryce for example, visited various countries, observed the working of any institutions and laid down some general principles on democracy. Montesquieu visited England and propounded the Theory of Separation of Power, after observing the political conditions. The observation method is very useful, practical and has reality in it. The political conditions can be verified and conclusions are drawn on the basis of facts. But it is to be used with precaution. Observation must be profound and not superficial, and should be always free from personal prejudices. The observer must have penetrating insight. The observational method by itself is incomplete and inadequate unless it is supplemented by other methods.
- ii. **Comparative Method:** By comparative method, we collect much material, arrange and classify it, and come to certain conclusion by comparing the different historical facts and political events. It is the oldest method in politics. Aristotle, for example, had studied 158 constitutions and laid down some general principles. The aim is to enunciate general principle by comparing the various events in the world history. It may be a comparison of the present with the past or of the contemporary institutions in different countries.

In modern times, the comparative method is followed by Bryce and Montesquieu. Gilchrist gave the example of revolution. According to Gilchrist, revolutions have taken place at all times under different political conditions. Indian constitution also bears impact of the comparison of different constitutions. Prof. Garner maintains that either to “establish a general theory” or “to test specific hypothesis”, comparative method is the best one.

But, the comparative method is difficult and different method and it must be used with great care. In politics everything is relative. Comparisons are useful to a limited extent only. People differ in their temperaments, manners, customs, etc. Moreover, what is good and suitable to one country may not be suitable for another country. Thus, it has its own limits.

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iii. Experimental Method: Experimental method is also used for studying Political Science. Under certain limitations political experiments can be conducted and desired results may be secured. The new laws, policies and measures ushered in by the government are a kind of experiment. The government continues with the changes if they are accepted by the people and proved successful. There are certain other experiments like Panchayat Raj which proved successful to a great extent. The organization U.N.O. is a bold experiment at the international level.

Aristotle, Lewis and Catlin are the supporters of this method. R.N. Gilchrist says, "Every change in the form of government, every new law passed, is an experiment in Political Science." These are materials for Political Science, just as, say Carbon is material for Chemistry. But the conclusions of experiment method in political science are not as precise as in physical sciences. But they contain an element of probability. "Thus probability," says Butler, "is the guide of life." J.S. Mills, Lowell and Lord Bryce criticized the experimental method. According to them, political science is not an exact science. Hence no experiment can be conducted successfully. Perfect experiments are impossible because of unpredictable human behavior and unforeseen events. We cannot take a portion of the society into our hands and observe it in different conditions and aspects. For a scientist there is a fixed and limited laboratory. For the political scientist the whole world is a laboratory, which cannot be controlled. In physical sciences experiments can be conducted again and again. In politics it is not possible to do so because conditions change from time to time.

iv. Statistical or Quantitative Method: In modern times, statistical method occupies an important place in the study of political science for the compilation of voting figures, 'analysis of government finance and other purposes. Merriam and Gosnell did great work by adopting this method. Pre-poll surveys are conducted to forecast the winning possibilities of political parties contesting in elections. The statistical figures indicate the conditions prevailing in the different fields. Scaling techniques and sociometric techniques are being used to measure the non-quantitative and qualitative phenomenon. The importance of statistical method has been realized in present day political studies.

This method, like other methods, is also not free from drawbacks. The exact measurement of qualitative techniques is not possible and the results are not reliable. It may be regarded as an auxiliary method to other methods which supplies valuable facts and figures. So this method is to be used along with other methods to complete political study in a scientific manner. Other methods such as Historical method and Philosophical method have been discussed under approach and philosophical approach already.

2.8 STAGES OF GROWTH

Behaviouralism has passed through these stages. In the first phase, before outbreak of the Second World War, there was an increasing use of empirical and quantitative methods. Here lead was given by Stuart Rice and Harold Gosnell. It was only after the war that the real empirical and quantitative thrusts started. A number of writers Almond, David Easton, Laswell etc. have tried to build up, what they called "empirical theory". The sixties, however, witnessed the growth of mathematical techniques also. It also witnessed a split between theoretical and positive behaviourists.

2.9 BEHAVIOURISM

2.9.1 Achievements and Limitations

In 1960's there were two revolutions the theoretical and technical. In the technical field, remarkable achievements were made in the development and refinement of the tools and techniques of research. A number of approaches have been developed. Decision-making approach, input-output approach, structural functional analysis are some examples. Above all, it has brought politics nearer social science. Coming to the limitations, it views human beings as an engineer would view material for building bridges, It fiddles while Rome burns. It is excused for two facts. It does not know that it fiddles and it does not know that Rome burns. In spite of its defects, it has brought about great changes in understanding political behaviour.

2.9.2 Liberal Approach to Politics

Liberalism is a theory which seeks to establish a liberal relation between man and his various associations and the state in particular. This ideology is based on the postulation of Aristotle, the father of Political Science, the "Man is by nature social animal". Man cannot survive and develop without living in the Society. There are natural instincts in him which compel him to live among his fellow humans. No human being can live without Society. Man and society are related to each other like fish and water. Numerous needs of man is satisfied in the society. Even society thinks of creating certain definite atmosphere to enable the human beings to live happily. According to Aristotle "who is unable to live in society or who has no need because he is sufficient for himself must be either a beast or God".

Liberalism does not grant unlimited power to the state. The state has limited authority and its central aim is to develop the humanity. Man is the focus of the study of Politics according to liberal view. To protect the interests, to create and maintains morality, justice and liberty is the duty of the State. According to liberalism politics is the means to speediate the social progress. Prof. Duvegar defines politics as: "As effort to bring about the rule of order and justice in which power generates the general interest of the common good against the pressures of private interest". Features of Liberal Approach:

The features of the liberal view of politics can be summarised as under:

1. Man is a Social Being

Liberal view believes that man has his free will and personal reason. He lives in the society for the satisfaction of innumerable wants. Society is natural as well as necessary for man. The interests, feelings and aims of man are similar to those of society. His interests cannot be other than the aim of the society. Thus to establish a proper adjustment between the interests of the society as establish whole and the individual interests of man is the problem of the liberalism.

In the beginning the liberals thinkers considered that the individual liberty is unrestrained and unlimited. John Loke, Herbert Spencer, Adam Smith and others wanted that the society must have limited powers. But the modern liberal thinkers (neo liberals) wanted that there should be positive role of the society. They sought to establish an ideal adjustment between man and society.

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2. Individual is the Centre of Study

According to the liberalism, the politics to create better facilities for man. Individual is the key of all the activities of the society and state. Man is 'independent' and 'free' by nature. Man is above all the creatives and his conscience is the manifestation of truth. Man is his own master. The aim of political institutions is to perpetuate the freedom of man, his honour, his liberty and all his possessions.

Proper adjustment between the individual's interests society is essential foremost liberal thinkers wanted that society and state should be subjected to man. The state was considered as an inferior institution. All the activities of the state were doubted. Their effort to provide restrainless life of the individual created contradiction.

3.The basis of the Society is Competition

According to liberalism the society is based upon competition. Every man tries to satisfy more wants through competing with the other. There is competition in every walk of the society. Even person, according to liberalism is free to sell, or buy anything he wants, at any price, place and time he likes. Thus in this way, the society is the meeting place of all these individuals, where everyone comes to with his interest. Thus the society according to liberalism is a free society.

In the economic field the liberalism supports the free trade policy i.e., the policy of 'Laissez faire'. The competition according to liberalism, like in the economic field in the field, of politics also gives birth to the best system of government. The 'Republic' forms of government is the outcome of the competition among the individuals, in the political field. The 'struggle for power' helps in bringing out a good government after every few years. Pressure groups and interests groups also unearths the mistakes of the government, which helps in building a fair system of governance. In the arena of ideas also liberalism supports the theory of 'free ideas'. Man is sovereign over his possessions.

Liberalism believes that it is the inherent right of man to live freely without any kind of restraints. Prof. Laski feels about liberalism that "It is directly related to freedom for it came as a foe of privileges conferred on any class of community by virtue of birth and creed.

4.Politics is the effort to establish unity in the Society by abolishing Conflicts

Liberalism postulates that politics seeks to establish normal relation among the individuals living in the society. Its aim is to abolish the conflicts and disputes inhabiting the society. Individuals are bound to come into conflict with each other since in a free Society, every one is free to act according to its free will and 'conscience'. The individual's free will; will naturally lead to the trussle with other. The disputes may arise. Thus an agency or media is needed to abolish this conflict of the individuals. According to liberalism, through the help of politics the unity in the society can be secured.

5. Politics is the Media to bring order and Common Good in Society

Politics promotes harmony in the society. It is not only a I technique to remove conflicts but to create law and order. Politics is the medium for creating more and more 'common good' in the society.

Liberalism wants to establish the relationship of man to man on the basis of 'common good' and common interests. Politics takes? The place of media for bringing 'common

good' in the society. Here liberalism is in complete contradiction with the Marxist approach of politics.

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6. Politics is the Process of bringing Peaceful Social Change

The growth of the liberal philosophy was in revolt to the fanatic social conventions, superstitions of the medieval era. These narrow spiritual assumptions were practiced by those who supporter Monarchy. Monarchy was accepted as the holy system o government. Liberal theory, challenged the structure of society change in this type of social life, not through bloody battle but through peaceful process of politics. Liberal thinkers did not object! to the existing political and economic system but they wanted a! reform.

7. Liberalism Grants Limited Power to the State

Liberalism gives due respect to the 'individual's conscience'. The honour of the individual and his' free-will' are never to be hampered by any media. Liberalism strictly opposes the dictatorial type of government. The state has assumed the duties of a doctor, nurse, school master, trader, insurance agent and a hundred other functions. Liberalism entrust the state a responsibility to look after the interests of the individual and maintain a proper adjustment between man and various other institutions existing within it.

8. Liberalism supports Democracy

Liberalism is the outcome of a challenge to the dictatorship. It also supports a policy which is based oh maximum individual freedom on the basis of 'common good'. Until the 19th century liberalism supported extreme individual freedom and hence it was anti-democratic.

9.Liberal Politics is based on open discussions and willing co-operation

Liberalism believes on open discussions on all the issues involving people's interest. Criticisms may be attempted, suggestions may be held on contradictory thoughts. Thus liberal politics seeks to secure 'common assent' through mutual discussions and suggestions.

2.9.3 Marxist Approach to Politics

Karl Marx, the founder of communism, viewed the state as a product of the class struggle. According to him, the state is not a natural institution. Man created it at a particular time in history. It arose when society had been divided into two antagonistic classes the haves and have notes. Throughout history the state has performed only one function, namely, to protect the interests of the ruling propertied class. It also oppressed the poor people. According to the Marxist view the "State is nothing more than a machine for the oppression of one class by another".

According to Marxist approach, the socialist state comes into existence after the overthrow of the capitalist bourgeois state through a proletarian revolution. The political power passes into the hands of the proletariat. The exercise of power by the proletariat is termed by Marx as the dictatorship of the proletariat. This is transitional state. According to Marxist view the function of the socialist state is socialization of the means of production and distribution in the spheres of industry and agriculture.

Marxists treated labour as a commodity and agreed that its value is determined like arty other commodity. That is to say, its value in exchange is fixed by the labour

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needed to produce and maintain it, or in other words, it amounts to the commodities needed to support the labourers. But labour is unique among commodities because in being used up it creates more value. The two quantities of value are however not equal, because the amount produced is greater than the amount paid for labour. The labour produces greater value than what it gets for its being constituted. The difference between the value of the labour and the value of the commodity exchanged, Marks calls surplus value.

Thus the Karl Marx tries to show that it is the unjustified appropriation of surplus value by the capitalists that is responsible for bringing about a sharp division in the society. This exploitation must be removed and the only way to abolish it will be to destroy all opportunities for private enterprise and free competition. Collective capital should replace private capital and all persons should become co-operative producers.

2.9.4 Materialistic conception of History

Marx was a disciple of Hegel, the great German philosopher and tried much to popularise the dialectic idea of his master that History is not a piece of political statistics but of political dynamics in which equilibrium is reached through a process of conflict. He agreed with Hegel that history represents a continuous and logical evolution but differed from him in maintaining that the dialectical movement not due to any metaphysical principle but the product of material conditions of life.

According to Marx the economic forces influence human affairs much more directly than any outer force such as normal, religious or nationalist. All the phenomena of human society have their origin in the material conditions of life. The mode of production, determines the general character of the social, political and spiritual processes of life. The four stages through which society passes are the slave society, feudal society, capitalist society and communist society.

Religion, culture, morality and education instead of being factors which mould man's life, are really emanations of the economic system. Changes in the economic system are followed by corresponding changes in the social, political and religious institutions. The economic change caused by the Industrial Revolution have called into existence firstly a small class of capitalists owing the means of population and secondly a large propertyless proletariat class.

The materialistic doctrine of Karl Marx has been termed a gross exaggeration. It is not true to say that the economic factors determine the whole of man's life. Morality, law, religion, geography and thought all go to make the social life and effect the course of History. The large events in our political life are determined by the interaction of material conditions and human passions. Non-economic factors must be given their due share and should not be entirely neglected.

However, it should not be understood that Marx's conception of History is entirely wrong. His materialistic interpretation emphasizes the important fact that the economic conditions prevailing in a country to exercise a determining influence on its social, legal and political institutions. To what extent materialistic interpretation of History is in a general way a valid conception only it must not be pushed too far.

In the 20th century questions are being raised about the relevance of Marxist approach after the collapse of the Soviet Union and Eastern and Central European states like Czechoslovakia and Yugoslavia. On the other hand, it is argued that Marxism has not died, but only communism disappeared from those states. Marxism has presented one sided picture of the nature of the state and its functions.

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2.10 SUMMARY

Liberalism is based on the assumption that there should be maximum adjustment between the individual and the society. Individuals free will should be honoured. For survival, due modifications are required. Liberalism must be reformed in the light of the circumstances which has changed.

2.11 KEYWORDS

- **Observational method:** Originally this method was followed by the natural scientists. In the olden days what the holyscriptures prescribed or what Aristotle said was regarded as final and true. Observational method affirms that, unless proved, nothing should be taken for granted. It gives importance to direct observation, careful study and first hand knowledge.
- **Historical method:** History is the pivot round which both the inductive and deductive processes of political science work. We know the causes for growth, success, failure and destruction of many institutions only by reading history.
- **Philosophical approach:** Plato, Rousseau, Kant Bosanquet and Hegel are some of the important exponents of this theory. It gives importance to deductive method. It assumes certain things and draws some conclusions from them.
- **Instrumental approach:** The aim of any science is to arrive at truth. It develops some laws, principles or methods. An approach is a way of looking at a particular phenomenon. It collects data and makes an analysis.

2.12 REVIEW QUESTIONS

Essay Type Questions

1. What are the various methods of study of political science?
2. Discuss the different types of approaches of political sciences?

Short Questions

3. Traditional approach .
4. Observation method .

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2.13 SUGGESTED READINGS

1. Garner – Introduction of Political Science
2. Barker – Political Thought of England
3. Caltin – Science and Methods of Politics
4. Peter Laslett – Philosophy, Politics and Society
5. Bertrand De, Jourvenal – The Pure Theory of Politics
6. Dr. S.P. Varma – Modern Political Theory
7. M.J. Levy – Structure, Functional Analysis

POLITICAL SCIENCE CONCEPTS, THEORIES AND INSTITUTIONS

B.A - POLITICAL SCIENCE

(First Year:Paper-I)

UNIT -II

Lesson - 3

State : Nation and Civil Society

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Political Science Concepts, Theories & Institutions

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Lesson 3

STATE :NATION AND CIVIL SOCIETY

Structure

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- 3.1 Introduction
- 3.2 Meaning
- 3.3 Definition of State
- 3.4 Elements of State
 - 3.4.1 Population
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 - 3.7.1.1 Characteristics or Essential elements of an Association
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3.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Explain the elements of state
 - Describe the society its meaning and definitions
 - Differentiate Nation and Nationality
 - Discuss elements of Nationality
-

3.1 INTRODUCTION

State is the most significant and powerful among all social institutions. The word '**State**' is used differently in day-to-day life. For instance, in united state of America and in the Indian Union, state is not a synonym for kingdom. A province in a country is called as state. But in terms of political science '**state**' has certain special power. State is different from government, society and race.

The state is the central theme of political science. Opinions differ as to the connotation of the term 'state' and as to when the concept emerged. The ancient Greek city-states exhibited distinct political patterns. For the Greeks, political science was largely municipal science. The conceptual frame of a modern nation-state was unknown to the Greek political thinkers. Aristotle's 'Polis' was more a 'city community' than a 'state'. These city-states stood in the way of a perfect differentiation between the state and the community or other associations. The Greek commonwealth put accent on the enjoyment of rights rather than on supremacy and obedience; while the Roman citizens formed a 'political guild' based on the exploitation of the slaves. The term 'state' is comparatively modern. It was not articulated and fully developed during the Greco-Roman period, Machiavelli seems to be the first writer who introduced the concept of the state in political science.

Political scientists today seeks to analyse the concept state scientifically. It needs to be treated not as an a priori concept but as it exists and operates as a living political reality. Hegel, for example, idolised the state as the movement of God on earth. States, past or present, may vary in certain respects. But on a careful observation, they are found to exhibit some common features. The state can be studied and defined in terms of these features, which are common to all the states. Thus, population, a fixed territory, government and sovereignty, these are supposed to be the essential constituent elements of a state. A state is found in its elaborate system. It is found in those institutions which creates laws and which enforce them i.e., Legislature, Executive and judicial institutions. It is found in the bureaucratic institutions which are attached to every executive ministry of the government.

3.2 MEANING

The word state '**State**' is derived from Teutonic word '**status**'. It was first used by Machiavelli in his book 'The Prince'. Since the term state become a universal designation for a body politic.

3.3 DEFINITION OF STATE

State

The term 'State' has been defined by a number of political thinkers who tried their best to let us know what they meant by the term "State". Some of the definitions are given below

1. **Burgess:** The state is a "particular portion of mankind viewed as an organised unit".
2. **Bluntschli:** "The state is politically organised people of a definite territory."
3. **Woodrow Wilson:** "The state is people organised for law within a definite territory."
4. **Holland:** The "State is a numerous assemblage of human beings generally occupying a certain territory amongst whom the will of the majesty or class is made to prevail against any or their number who oppose it."
5. **Bodin:** State is "an association of families and their common possessions, governed by supreme power and by reason."
6. **Cicero:** The state is "a numerous society united by a common sense of right and mutual participation in advantages." Aristotle: The State is "a union of families and villages having for its end a perfect and self-sufficing life by which we mean a happy and honourable life."
7. **Phillimore:** A State for all purposes of international laws is "a people prominently occupying a fixed territory, bound together by common laws, habits and customs into one body political, exercising through the medium of an organised government, independent sovereignty and control over all persons and things within its boundaries, capable of making war and peace and of entering into all international relations with the communities of the globe." Laski: State is "a territorial society divided into government and subjects claiming within its allotted physical area, a supremacy over all other institutions."
8. **Hall:** "State primarily is a concept of international law. The marks of an independent state are that the community constituting it, is permanently established for apolitical end, that it possesses a defined territory and that it is independent of external control."
9. **Gilchrist:** "The State is a concept of political science and a moral reality which exists where a number of people living on a definite territory, are unified under a Government which in internal matters is the organ for expressing their sovereignty and in external matters is independent of other Governments."
10. **R.M. MacIver:** The State is "an association which acting through law as promulgated by a government endowed to this end with coercive power maintains within a community territorially demarcated the universal external conditions of social order."

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3.4 ELEMENTS OF THE STATE

The state is the central subject of our study. It is used as a synonym for nation, society, government etc. The term State is very commonly used to express the collective action

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of the community, through the agency of the government. There can be no community without the people to form one, and no common life without some definite piece of territory to live. The State is a natural, a necessary, and a universal institution. It is natural because it is rooted in the reality of human nature. Man needs the State to satisfy his diverse needs and to be what he desires to be. Without the State he cannot rise to the full stature of his personality.

It has existed whenever and wherever man has lived in an organised society. The structure of the State has been subject to a great evolution. In this sense, state can be taken to mean

- a) an organisation of individuals,
- b) an organisation confined to a defined territory,
- c) an organisation that claims monopoly of the use of violence against a group or population, and
- d) an organisation that carries out its functions through a set of institutions collectively known as the government.

The State must, possess the elements of

- 1. Population;
- 2. Territory;
- 3. Government;
- 4. Sovereignty.

3.4.1 Population

The State is a human institution and population and land are the starting point of any study of man in his organised groups. Population must be large enough to make the State and sustain it. The members of one single family do not make the state, there should be a series of families. Plato and Aristotle put definite limitations on the population of the State. Their ideal was the Greek City-State, like Athens and Sparta. Plato fixed the number at 5,040 citizens. Aristotle held that neither ten nor a hundred thousand could make a good State. Rousseau, the high priest of direct democracy, determined 10,000 to be an ideal number for the State. The modern tendency is in favour of States with huge population. In India, the problem is to check the ever growing population, because of the wide disequilibrium between the population and the available means of production. China has a system of incentives and disincentives to observe a one-child-family norm and bring the population growth to zero in near future. But the size of the population is not criterion of the States. Increase or loss in population makes no difference in its Statehood. Though no limit, either theoretical or practical, can be placed on the population of the state yet the population must be sufficient to maintain the State organisation.

3.4.2 Territory

Duguit says that there can be no State without a fixed territory. Just as every person belongs to a State, so does every square yard of earth. There is no State without its proper territory large or small, and no territory that is not part of some State, large or small. And as far as we are concerned, it is our connection with a particular territory

that normally creates our membership of a State. The conduct of international relations would be seriously impeded without the requirement of a defined territory. All authorities on International Law are now agreed that a fixed territory must be a condition of Statehood. The occupation of a fixed territory is also essential. Land, water and airspace within the defined territorial area comprise the territory of the State. It embraces the geographical limits of the State. In a small State, with a limited population and territory, the people can meet together, as often as required, to express their opinions about the composition of the government and the laws that should govern the community. The modern tendency is towards planning and self-sufficiency, and it can only be realised when the territory of the State is large enough to abound, in a variety of natural resources. The scale of production determines the mode of production. Large-scale production is always accompanied by rationalization of industry in order to advantageously compete in the international market, besides commanding an extensive and stable domestic market. After all the economic conditions of a State determine the political stature of its people. In this competing world a large number of small states endanger international peace. Big States, are more adapted than small ones to promote the development of intellectual culture. The resources which a big State possesses, the talent it can command and the greater genius, it can produce immensely help the cultural advancement of a nation and consequently its civilisation. But as long as power remains the primary factor in international politics, States must either be large or make no attempt to play an important political role. It must, however, be emphasised that there should be some proportion between the population and territory of the State. The States must be viable or capable of maintaining a separate independent existence. This can be possible only if it has adequate area.

3.4.3 Government

Government is an essential element of the State. People live together but cannot be recognized unless they are properly organised and accept certain rules of conduct. The agency created to enforce such rules of conduct and to ensure obedience is called government. Government is the focus of the common purpose of the people occupying a definite territory and it is through this medium that common policies are determined; common affairs are regulated and common interests promoted. Without government the people will be just a babel of tongues with no cohesion and means of collective action. They would divide themselves into groups, parties and even warring associations and thus create conditions of utter chaos and even civil war. It is imperative that there should be a common authority and a consequent order wherever people live. The State cannot and does not exist without a government, no matter what form a government may assume.

3.4.4 Sovereignty

Sovereignty of the State is its most essential and distinguishable feature. People inhabiting a definite portion of territory and having a government do not constitute a State. They must be internally supreme and free from external control. Sovereignty of the state has two aspects, internal sovereignty and external sovereignty. Internal sovereignty is the State's monopoly of authority inside its boundaries. This authority cannot be shared with any other State and none of its members within its territory can owe obedience to any other State. It has no authority outside its own territory. Each State is independent

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of other States. Its will is its own, unaffected by the will of any other external authority. Every State therefore must have its population, a definite territory, a duly established government, and sovereignty. Absence of any of these elements denies to it the status of Statehood. They possess the elements of population, territory and government and autonomy in their own spheres of jurisdiction. But autonomy is not sovereignty and lack of sovereignty does not entitle them to be ranked as States.

3.4.5 International Recognition

International recognition is also equally important to a state like the above mentioned features. States are now drawn close together in respect of distance due to development of Science and Technology (ST). The world is becoming very much small. One country cannot keep itself Aloof, without maintaining relationship with other countries. Mutual help and cooperation between the state is very much important. A state needs recognition by other states. States achieve overall development only through international cooperation in social, economic and cultural fields. Recognition of a state by other state is optional. The lack of international recognition may not damage its existence but a state will not be in a position to have all the benefits to international cooperation.

3.5 SOCIETY

In political science the terms of state, society and government are almost synonymously used. But the varying aims aspirations and power of these units form the basis to differentiate these from one another.

Aristotle and other Greek thinkers used society and state in synonymous terms and recognised no difference between them because polis, in those times was an integrated unit and included all aspects of human life. The citizens knew one another. They used to assemble at a particular place and elected the magistrates. The polis for them was state, church and school. But today failure to distinguish society from state entails more serious consequences than the failure to distinguish state from government. As MacIver says, "To identify the social, with the political is to be guilty of the grossest of all confusions, which completely bars any understanding of either state or society".

The term 'society' is used to denote complex relationships among men. MacIver says that society exists even in highly developed species which they form to satisfy their natural needs and instinct of procreation. Society is a comprehensive term that includes all types of social organisations that men have formed to satisfy their needs and to achieve a better life. It is a group of people having common interests and united together by what may be called "Consciousness of kind." Man is a social animal. He is dependent upon society for all his needs. He requires it from his birth till death. Society is a conglomerative whole which includes all types of relationship besides the political relations.

Society may be defined in various ways. According to MacIver, "Society is a system of usages and procedures of authority and mutual aid, of grouping and division, of controls of human behaviour and liberties", "Society consists of the complicated network of groups and institutions expressing human association" F.H. Giddings, G D.H. Cole and Talcott Parsons have also defined society as an arrangement encompassing the most inclusive and continuous relationships.

3.6 DISTINCTION BETWEEN SOCIETY AND STATE

State

It has to be made for a better understanding of the former. It is as follows

- i) **Society is prior to the State:** Society is the first form of the State. There were primitive societies and tribal societies but there was nothing like state as such. State emerged out of political awakening. In historical evolution social being rendered the political being.
- ii) **Organisation is essential for the state not for Society:** State is a well knit organisation but society may not be necessarily organised. In primitive age man was unorganised. Society did exist then. The state can not exist without some organisation. Government is the name of political organisation of the state.
- iii) **State is Sovereign:** State has the sovereign authority. It can imprison, impose fine, confiscate property and even put the individual to death. Society can do no such thing as it does not have the coercive power. State can lay down imperatives and use force to secure obedience but society can not demand obedience, it can only command cooperation by persuasion. According to Barker, "The area of society is voluntary co-operation, its energy that of good will, its method, that of elasticity; while the area of the state is rather that of mechanical action, its energy force, its method rigidity".
- iv) **Society is social system, state is a political system:** Men are related with one another by different sorts of ties in a society. Society is an institution inside a community where men are closely knit in diverse relationships. They voluntarily cooperate and share their weals and woes. The state represents only one aspect of social relationship i.e., political relationship. It is concerned only with those things which are regulated by the government. The government can not change social system. "There are social forms like the family or church or the club which owe neither the origin nor their inspiration to the state and social forces like custom or competition which the state may protect or modify but certainly does not create; and social motives like friendship or jealousy which establish relationship too intimate or personal to control by the great engine of the state."
- v) **Membership of the state is Compulsory** Man can exist without society but without a state no existence can be imagined.

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3.7 COMMUNITY AND ASSOCIATION

A community is any area of common life, village, town or district or country or even wider area. Community is a self contained group. It is a total organisation of society. The community, being a self contained group is least dependent on the outside world. The closest example of a community was an Indian village of nineteenth century. The village was a self sustaining unit. It produced all items required in day to day life. It had its own customs and traditions. Different castes in the village represented a particular profession. It was a sort of self governing and self contained unit.

Association

The pluralists define association as a group of people brought into existence for the

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achievement of limited objectives. Man creates and joins different associations for the achievement of some of the other objectives. The association thus, is a group formed to achieve limited objectives. The nature of an association is determined by the objectives it pursues. On this basis there may be economic, social, political, religious and cultural associations.

Pluralists contend that 'state is an association of associations'. It is formed to fulfil political objectives of all living in the state. However, it is overwhelming association. It is outer circle which covers all inner-circles or associations. In order to have a better understanding of associations, distinction between state and associations has to be made.

3.7.1 Association

Definition of Association

An association is a group of people organised for a particular purpose or a limited number of purposes. To constitute an association, there must be: (i) a group of people; (ii) these people must be organised one; and (iii) they must have a common purpose to pursue. Examples for associations are family, church, trade union, music club, a chamber of commerce. Associations can be organized on the basis of political, social, economic, religious grounds.

The following are some definitions of 'Association':

MacIver states, *"An organization deliberately formed for the collective pursuit of some interest or set of interests, which the members of it share, it terms as association."*

He further says, *"An association is a group of persons or members who are associated and organized into a unity of will for common good"*.

According to Ginsberg, *"An association is a group of social beings related to one another by the fact that they possess or have instituted in common an organization with a view to securing a specific end or specific ends,"*

G.D.H. Cole says, *"By an association mean any group of persons pursuing a common purpose by a course of corporative action extending beyond a single act and for this purpose agreeing together upon certain methods of procedure, and laying down in, however, rudimentary a form, rule for common action."*

As per Bogardus, *"Association is usually a working together of people to achieve some purpose."*

Gillin and Gillin state, *"Associations thus refer to a group of social beings related to one another by the fact that they process or have instituted a common recognition with a view to securing a specific ends or specific ends."*

Associations may be formed on several basis.

For example

On the basis of Duration- Temporary Association, e.g. flood relief association

Permanent Association, e.g. State.

On the basis of Power: Sovereign association e.g. State

Semi-sovereign association e.g. University.

Non-sovereign association, e.g. clubs.

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On the basis of Function: Biological function, e.g. family;

Vocational function, e.g. teachers' association

Recreation function, e.g. tennis club.

3.7.1.1 Characteristics or Essential elements of an Association

Human group: An association is created by human beings for the defined objects.

Common Interest or earn: Association is not a mere numeration of human beings but of individuals who have some aim or and in common.

Cooperative spirit: In an association people work together with cooperative spirit to achieve some common purposes.

Organization: Association is a group of persons who are organized in order to complete some specific work, for example, trade unions, political parties, etc.

Established: Associations are constituted of those of individuals who are organized in order to complete specific work.

Laws: The organization of an association rests upon a particular set of law and members of those associations have to follow the rules and regulations on which the associations are formed.

Association and Institution

Association differs from institution. An institution is a complex organization collective behavior established in the social heritage and meeting some persistent need or want. Institutions are definite and sanctioned forms or modes of relationship between social beings in respect to one another or to some external object a social institution is a functional configuration of cultural pattern which possesses certain permanence and which is intended to satisfy felt special need. An institution consists of a concept (ideas, notion, doctrine or interest) and a structure. Social institutions are sets of organised human relationships established or sanctioned by the common will.

The following are the differences between association and institution

3.7.2 Association and Community

Meaning of Community

Community means to serve together'. The community is an organization of human beings framed for the purpose of serving together. A community is a social group of people living in a given area and having a degree of 'we' feeling. The fact of social living and common specific area gives birth to community.

Community is an area of social living marked by some degree of social coherence. Community is any circle of people who live together and belong together and have not one-interest only, but a whole of interests. A community is one in which human relationships are intimate and durable. A community is a group of people living in a contiguous geographical area, having common centers of interest and activities and functioning together in the chief concerns of life. Community is a collectivity of actors sharing a limited territorial Area as the base for carrying out the greatest share of their daily activities.

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3.7.2.1 Characteristics of Community

The characteristics of community are

1. Community is related to a definite locality, since without the locality, the relationship between human beings cannot be established and the 'we feeling' cannot evolve.
2. Community is a group of human beings living a common life.
3. The members of a community use the same language, conform to the same mores, possess the same sentiments and have the same attitudes and have the community sentiments.
4. A community is a group of people who live within a narrow territorial area and share a common way of life and it commits similarity.
5. A community is a permanent one but not transitory and temporary.
6. Communities are not made or created by an act of will but are natural.
7. Every community has some particular name which is are natural.
8. A community is not a legal person. In the eyes of law, community has no rights and duties.
9. In communities the people associate not for the fulfillment of a particular end. The ends of a community are wider and natural and not artificial. Community serves general and common ends of the community.
10. A community may be big or small. The larger community provides peace and protection, the smaller provides friends and friendship.

3.7.2.2 Types of Communities

- 1) **Folk Community** The folk community is small in size, isolated from other communities, consists of non-literate and socially homogeneous people with a strong sense of group solidarity. The way of living of folk community are conventional, behavior is traditional, spontaneous and personal.
- 2) **Tribal Community:** The tribal community is a society based upon kinship, united in language dialect, recognizing social distance from tribes, following the tribal traditions, beliefs and customs and having territorial affinity and geographic isolation.
- 3) **Rural Community:** The rural community is a human settlement which is relatively small, less densely populated and more homogeneous with reference to social, economic, linguistic and cultural characteristics.
- 4) **Urban Community:** The urban community is a human settlement which is relatively large and socially heterogeneous and having its occupational and economic structure a predominantly non-agricultural use of machinery in production of goods is the common feature of the urban community.

Difference between Association and Community

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Association	Community
1. An association is a group within community and is partial	The community is a whole
2. Association is voluntarily constituted	Community comes into existence by itself
3. Membership of an association is voluntary	Membership of a community is compulsory
4. An association has some definite objectives.	Community fulfils all the needs of its members
5. Associations are generally transitory and serve as means	A community is a permanent settlement and is a mean as well as end.
6. An association has a legal status. It can sue and be sued	A community has no legislatures and it cannot own any property
7. An association is a mandate organization	A community is the natural development of those social forces which inspire men to come together.
8. Association exists within a community whereby its members pursue their individual and social interests. Membership in an association has a limited significance	A community is a self contained group whose members live a common life, and whose membership has a wider significance
9. Association is comparatively more unstable.	Community is comparatively more stable.
10. Association is limited in its aims and scope. Hence, it cannot include all the aspects of human life.	Community is comparatively more stable.
11. Association has its own property	Community offers wider scope for the development of human personality.
12. Association has a legal status	Community has no legal status
13. An individual takes part in an association because of particular interest	Man is born in a community
14. Association has its own special rules which maintain in harmony	In community harmony is maintained by customs and traditions.
15. In associations there is no intimate community sentiment	Community is base on intimate community sentiment.

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3.8 DIFFERENCE BETWEEN STATE & ASSOCIATIONS

- i) **Membership:** The membership of a state has a compulsive character. A man has to be a member of one or the other state. Statelessness is a serious problem in international law. Membership of associations is voluntary. A man can become the member of more than one association at the same time. According to Garner, “.....membership in all associations is a voluntary matter and a member is free to withdraw whenever, he lets to do so, where as membership in the state is compulsory and citizen can throw off the membership only by expatriation”.
- ii) **Territory and Jurisdiction:** State is essentially territorial in nature. Its jurisdiction is limited to its boundaries. It can not extend beyond that. An association, on the other hand, can be international, its jurisdiction may extend to many states. Associations like Y.M.C.A. Rotary club and Roman catholic church are international in their jurisdiction and membership. Associations lack territory or physical boundaries.
- iii) **Permanence:** In comparison to associations state is more permanent as it represents interests of permanent nature. The associations are voluntary associations formed to fulfil a specific objective. As soon as the objective is achieved the association also dies down.
- iv) **Power:** State has the coercive authority. It is the repository of all power. It lays down commands of imperative nature. Violation of its laws entails punishment of any kind. Associations do not possess coercive authority. Violation of their rules can lead to expulsion. Garner says, ‘They cannot arrest, fine, imprison or confiscate the goods of a statute breaking member, where as the state can do all this and more in case its demands are disobeyed or its authority defied.’
- v) **Objectives:** State has unlimited and varied functions. Its functions extend from cradle to the grave in a welfare state the functions of state have expanded tremendously. Associations have limited functions. They pursue limited objectives.

3.9 NATION AND NATIONALITY

Nation and Nationality emerged from the Latin word ‘Natio’. Both these words are used in similar meaning till recent past. But now these words have different meanings. The word nation includes an independent political status. Independent political status is very much important for every nation. Nationality emerges when ever the unity and oneness prevail in the human groups. Unity might have prevailed due to same history, same language and same customs and traditions. A group of people are treated like a nation only in the wake of a desire for freedom.

There is no uniform opinion about the definitions of a nation among the political scientist. The word ‘**Nation**’ as different meanings in German and English languages. In English language, the terms ‘Nation’ and ‘Nationality’ have acquired different meanings as per the Lord Bryce, a Nationality is a population held together by certain ties, such as language and literature, ideas, customs and traditions in such a way so as to feel it self a coherent unity distinct from other population similarly held together by like ties of their own. A group of people residing in a single area having some traditions

and customs and having fraternity through same language and blood relation can also be called as nationality. He also defined the nation as “Nation is a Nationality which has organized”.

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The presence of a political science differentiates Nation and Nationality. Unless the nationality can develop into a political system, the group cannot be called a Nation. In other words, the nationality is the first stage and the nation is the second stage. But both nation and state cannot be equated. There is a scope for many a nationality in one nation state.

Burgess and Leacock have defined the term ‘nation’ in a racial or ethnographical sense. Burgess defines a nation as a “population with ethnic unity, inhabiting a territory with geographic unity”. The French writer Pradier Fodre has defined nation on two bases. He says, “Affinity of race, commonality of language, of habits, or customs and religion are the elements which constitute the nation”.

Though race, language and religion unite a group of people living in a state but some other factors are also required for transforming this group into a nation. Garner seems to be right when he says that, “a nation is culturally homogeneous social group which is at once conscious and tenacious of its unity of psychic life and expression”. Race and language thus, are not the only factors for a nation but collective living in a state and transmitting the culture so evolved, to the coming generations is the essential attribute of a nation. Nation comes into being with the feeling of one-ness and interdependence in a group of people or population in general inhabiting a definite territory. According to Barker, “The nation is a body of persons inhabiting a definite territory and thus united together by the primary fact of contiguity”.

The basis of a nation is cultural and spiritual unity but in Political science it is used in a wider context. Nation is not only cultural or spiritual unity, it is an organization having its own government or trying to establish a government. In more specific words we can say that a nation is a “self governing nationality”.

3.10 DISTINCTION BETWEEN NATION & NATIONALITY

The terms nation and nationality have been derived from the Latin word ‘natus’ meaning birth. Nation and nationality are used as synonymous terms though the writers in Political science admit that they are different terms with entirely different meanings. In the opinion of some thinkers the difference between nation and nationality is that of political organization. According to Bryce, “A nationality is a population held together by certainties, for example: language and literature, ideas, customs and traditions in such a way as to feel itself “a coherent unity distinct from other populations similarly held by like ties of their own, a nation is a nationality which has organized itself into a political body either independent or desiring to be independent”.

According to Laveley a nation is a population under a sovereign authority. Nationality, on the other hand, is that part of a population which is sentimentally united on the bases of birth, race, language, customs, history and psychic life. Nationality, therefore is ‘a spiritual sentiment’. It is sense of belonging to a particular group. It is an emotional bond among the people usually of same race, same territory, same religion, similar history and traditions. Hayes makes it more clear when he defines it as, “A

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nationality is a group of people who speak either the same language or closely related dialects, who cherish common historical traditions and thus constitute or think they constitute, a distinct cultural society. A nationality by acquiring political unity and sovereign independence becomes a nation, or to avoid the use of the trouble some word 'nation' establishes a nation state".

Some authors distinguish nation from nationality on other grounds than the ground of political organization. Burgess bases his distinction on the basis of membership. A nationality, according to him is "a distinct socio-ethnic group within the state and ordinarily constituting minority of the total population". Obviously, the French in Canada, Scots in England and Caucasians in the Soviet Union reveal 'nationality'. In a multi-ethnic group, minorities are called nationalities and such states are termed as multinational societies. A state, having only one group is called mono-national state.

Distinction between Nation and State

State	Nation
1. A state is political	Nation is cultural
2. State is objective and non-spiritual	Nation signifies of the consciousness of unity prompted by psychological and spiritual feelings and nationality is subjective,
3. A State is inhabited by heterogeneous groups of people.	Nation must be homogenous in its composition.
4. A State must be sovereign in character.	A nation may consist of people who do not retain their sovereigns character.
5. There are may be more than one nationality inside a State.	In the same nation there may be several States.
6. The state has a definite territory population, a government and sovereignty.	Nation consists of a people with a common will to live together.
7. A state needs organization in the form of government and sovereignty.	A Nation does not necessarily need a government.

3.10.1 Factors responsible for the rise of Nationalism

Nationalism originated first in Europe and later it spread to other parts of the world. The following are the factors that led to the rise of nationalism.

1. **Rise of middle class:** Nationalism developed in the beginning as a result of the rise of a strong middle class in the European states and later throughout the world.
2. **Development of vernaculars:** The rise of vernacular languages such as English, French, German etc., in many European countries was another factor for the emergence of nationalism.
3. **Absolute monarchy:** In Britain and France the monarchs, after the feudal lords were overthrown, were responsible to create national consciousness.

4. **Protestant reformative:** The Protestant Reformation Paved the way for nationalism.
5. **Theory of popular sovereignty:** After the French Revolution in 1789, the theory of popular sovereignty became prominent in the world and the people were recognized as the ultimate sovereign. But in those days nationalism was found in the form of patriotism.
6. **Industrial revolution:** The transport and communication facilities, the result of industrial revolution helped to carry the message of nationalism to nook and corner of the world.
7. **Certain international events:** The partition of Poland in 18th century, the result of the Congress of Vienna (1815) after the fall of Napoleon resulted in revolts in several parts, of Europe to attain independence.
8. **Theory of national self-Determination:** the peace treaties made after the First World War helped very much to implement the theory of national self-determination which propagated that a nationality should have the right to form a separate. State and the creation of States should be made on the basis of nationality.

The idea of nationalism is not of ancient growth. As Hans Kohn says, "...far from being a universal phenomenon, it is a product of European thought in the last 150 years." It was toward the beginning of the 19th century that nationalism was accepted as a political principle.

3.10.2 The Theory of "one Nation-one State" (Nation State)

Nationalism nowadays is a world-wide phenomenon. Europe, the cradle of nationalism had witnessed in the 19th century the emergence of national consciousness. Great movements of national unification took place first in Germany and Italy. Nationalism became a passion everywhere and people were in favor of establishing national States. After Second World War, many countries in Asia, Africa and Latin America got themselves relieved from colonial rule.

J.S. Mill strongly maintained that a nation must have a State of its own. Every nationality has a right of self-determination which means the right of people to decide for themselves with whom they shall be politically associated.

However, it is said that a nationality can attain statehood provided there are favorable conditions. Prof. Hacking says that no nation gets the right of self-determination by birth. Ramsay Muir points out the nationality must fulfill the following conditions to attain statehood

- i. It should have the ability to defend itself from foreign aggression.
- ii. It should be able to provide a viable government to the people.
- iii. Such a State should do justice to the people through good laws made by the government.
- iv. It should have the capacity to develop and protect national wealth and aim at common good.
- v. It should be able to discharge its responsibilities towards the international community.

The principle of 'one nationality and one State' had great influence on many

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countries. Certain multinational States disintegrated like the U.S.S.R. and new States were formed. In the same way nationalities in different States integrated and new States were created on the basis of nationality.

Advantages

1. Nationalities claiming separate statehood can have their desire satisfied.
2. Nation State brings an end to disputes that arise within a multinational state.
3. Nation States can strongly protect themselves from the enemies.
4. The progress of the State also can be achieved rapidly because of the people's co-operation.
5. It promotes stable and undisturbed administration.

Demerits of Nation States

1. Nation States give rise to selfish politicians and despots. Nationalism may be converted into imperialism.
2. It curtails the freedom of the people because the nation is given more importance than the individual.
3. If States are created on the basis of nationalities, very small States will come into existence.
4. Every Nation State hates the other nations and thus causes danger to world peace.

Multi-National State

A State consisting of several nations is called a multi-national or poly-national State. Switzerland, U.S.A. etc., are multinational States. The following are the features of multinational State:

- i. People belonging to different racial groups live together under the same government.
- ii. A common religion does not exist in the multi-national State.
- iii. There exists several languages in a multi-national State.
- iv. People with different historical background and past events live together.
- v. There is unity in diversity. All live in friendly atmosphere and settle down peacefully.
- vi. People of different life-styles, food habits, dress habits and customs live in a multi-national State.

Merits

1. A multi-national State can have successful democracy.
2. People of different races live with a sense of tolerance on of necessity and co-exist with each other.
3. A multi-national State guarantees freedom to the minorities and all sections of people are treated equally.
4. New civilization and culture is created with a mixture of races in a multi-national State,
5. The backward races can develop their economic resources and preserve independence as inferior races are given impetus by living in political union with

races intellectually superior.

State

6. The small nationalities which have no capacity to run the government learn the art of administration.

Demerits

1. The people belonging to different races and languages suspect the other groups and misunderstand each other.
2. Mutual hatred, animosity and selfishness of some nationalities lead to clashes, violence and agitation and this disturbs the internal peace.
3. It is very difficult to unite different nationalities because of the fundamental differences between them.
4. The majority sections of people have to sacrifice some of their benefits to satisfy the minorities.

We can see the State of European union a multi-national State as a political wonder of twenty first century.

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3.11 ELEMENTS OF NATIONALITY

Identifying all the constituents of nationality is a very difficult proposition. Nationality is a spiritual sentiment and two nationalities can never be identical. However, some of the identified factors can be illustrated to have a comprehensive knowledge about nationality.

1. **Unity of Race:** Racial unity implies that the group of people inhabiting a defined territory must have a common origin. People of a race have common physical features also. Racial unity may be important but it is not essential. In the states of to-day, the existence of many races is a very common thing. Even in the oldest states like Britain there exist many races as Saxon, Danish, Roman and Celts. Swiss race is an amalgamation of French, German and Italian races. In the words of Hayes, “unity of race, if it exists at all, exists now a days only among uncivilized tribesmen”.
2. **Common Language:** Language and literature are important stimulants to nationalism or nationality although nations do develop without having a common language. Ramsay Muir has also emphasized the role of language in developing nationality. He says that language is more significant in developing a nation than race. “Through language people communicate with one another and pass ideas, values, objectives, memories and traditions from one generation to the next”. Language has a psychological impact. It binds people and generates the feeling of oneness. You can not enter the heart nor the mind of a nation unless you know its speech with it and by it you imbibe a deep and pervasive spiritual force.
3. **Common language not necessary:** Contribution of a common language in evolving a nationality is very significant but we can not be obscure of the fact that there exist multi-lingual states having a sense of strong nationality. The examples of Switzerland with four national languages, India with fifteen languages and the Soviet union with more than 100 dialects and languages prove that common language is not necessary for a nationality.

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4. **Community of Culture and Traditions:** Community of culture and traditions constitutes an essential and indispensable element of nationality. In culture we include customs, traditions, literature, art and music. These factors bring a diverse mass together and inspire them with the feelings of nationality.
5. **Geographical Unity:** Geographical unity contributes to the development of a nationality. The people do develop bonds of unity by living continuously in a definite territory. According to Ramsay Muir, "The most clearly marked nations have commonly enjoyed a geographical unity and have often owed their nation-hood in part to this fact". The compact geographical mass shapes uniform attitudes, likings, dislikings and psychological responses. It also develops feeling of association of the people with the land mass. Mazzini said, "Our country is our home, the house that God has given us, placing there in a numerous family that loves us and whom we love, a family with whom we sympathies more readily and whom we understand more quickly than we do other".
6. **Geographical unity is not necessary:** Geographical unity is not an absolute factor. There can exist many nationalities which may not have them. Jews are the unique example who were a nationality scattered all over the world prior to their gelling state hood in Israel in 1948. The Greeks were a nation yet they were scattered over a group of islands.
7. **Community of Religion:** Religion was and is the principal dynamic force in determining and evolving a nationality. Many nations survived and several of them rejuvenated because of the force of religion. Many examples can be quoted to explain that religion has been a very strong bond of unity among the members of a group. The strong religious faith of Greeks helped them to resist the cruelty of Turks. In the Soviet Union, the totalitarian rule of the communist party for seventy live years has failed to assimilate religious minorities of Central Asia into Russian system. Islam has sustained their separate identity.
8. **Community of religion not necessary:** Nationality may develop irrespective of religion, for in many countries nationality and religion are not closely identified. It can also develop into a chauvinistic force despite formal religious opposition as happened in Germany under the Nazi regime.

3.12 SUMMARY

The above mentioned factors do help in the development of nationality, but all of them are not indispensable constituents. Nationality is a spiritual sentiment and searching for external determinants is not at all necessary. Zimmern says, "Nationality like religion is subjective, state-hood is objective, nationality is psychological, statehood is political, nationality is a condition of mind ; statehood is a condition in law ; nationality is a spiritual possession, statehood is an enforceable obligation, nationality is a way of feeling, thinking and living, statehood is a condition inseparable from all civilized ways of living".

3.13 KEYWORDS

State

- **State:** State is the most significant and powerful among all social institutions. The word '**State**' is used differently in day-to-day life. For instance, in united state of America and in the Indian Union, state is not a synonym for kingdom. A province in a country is called as state. But in terms of political science '**state**' has certain special power. State is different from government, society and race.
- **Population:** The State is a human institution and population and land are the starting point of any study of man in his organised groups. Population must be large enough to make the State and sustain it. The members of one single family do not make the State; there should be a series of families.
- **Sovereignty:** Sovereignty of the State is its most essential and distinguishable feature. People inhabiting a definite portion of territory and having a government do not constitute a State. They must be internally supreme and free from external control. Sovereignty of the state has two aspects, internal sovereignty and external sovereignty. Internal sovereignty is the State's monopoly of authority inside its boundaries. This authority cannot be shared with any other State and none of its members within its territory can owe obedience to any other State. It has no authority outside its own territory.
- **Society:** Aristotle and other Greek thinkers used society and state in synonymous terms and recognised no difference between them because polis, in those times was an integrated unit and included all aspects of human life. The citizens knew one another. They used to assemble at a particular place and elected the magistrates. The polis for them was state, church and school.
- **Nation and Nationality:** Nation and Nationality emerged from the Latin word 'Natio'. Both these words are used in similar meaning till recent past. But now these words have different meanings. The word nation includes an independent political status. Independent political status is very much important for every nation. Nationality emerges when ever the unity and oneness prevail in the human groups.

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3.14 REVIEW QUESTIONS

Essay Type Questions

1. What are the elements of a State? Discuss
2. Discuss the differences between State and Government
3. Distinguish between the State and Society?
4. What do you mean by Nation? Distinguish between Nation and State.

Short Type Questions

5. Write a short note on "Right of self-determination.
6. Population
7. Government

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3.15 SUGGESTED READINGS

1. V.P. Joshi – Unified Course in Political Science
2. A.C. Kapoor – Principles of Political Science
3. MacIver - Modern Stare
4. Leacok - Elements of Political Science
5. A. Appadorai - The Substance of Politics
6. E.M. Barker - Principles of Social and Political Theory
7. E.M. Barker - Political Thought in England
8. A. Zimmern - What is a Nation

Lesson 4

SOVEREIGNTY: MONISM AND PLURALISM

Structure

- 4.0 Aims and Objectives
- 4.1 Introduction
- 4.2 Meaning
- 4.3 Definitions
- 4.4 Basic Features of Sovereignty
- 4.5 Kinds of Sovereignty
- 4.6 Monistic Theory of Sovereignty
- 4.7 Pluralistic Theory of Sovereignty
 - 4.7.1 Characteristics of Pluralistic theory of sovereignty
 - 4.7.2 Advantages of Pluralistic theory of sovereignty
 - 4.7.3 Criticism on Pluralistic theory of sovereignty
- 4.8 Summary
- 4.9 Keywords
- 4.10 Review Questions
- 4.11 Suggested Readings

4.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Understand the meaning and importance of sovereignty.
- Know the Types of sovereignty.
- Monistic Theory of Sovereignty.
- Describe Pluralistic Theory of Sovereignty.
- Explain Basic Features of Sovereignty.

4.1 INTRODUCTION

Sovereignty is the most important concept in Political Science. This is one of the most important features of a State. Sovereignty is the basic attitude of modern State system.

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It is also the most important element of the State. It is by possession of sovereignty that the State is distinguished from all other forms of human associations.

The concept of sovereignty is most controversial in Political science. Out of sheer frustration **H.J. Laski** had suggested to drop this concept all together from the realm of Political science to settle down the controversy once for all. Unmistakably, these controversies have emanated from the dominant social and political forces and cultural backgrounds of the time.

Sovereignty as a juristic concept is used in connection with the supreme, final and ultimate power of the State in internal and external spheres. Internal aspects of sovereignty means that men, group and associations inside the boundaries of the State are subject to the commands of the sovereign authority. The laws which are the commands of the sovereign have to be obeyed by all without distinction in the State. External aspects of sovereignty would mean that the State is free from the control of any external power. The State is free to formulate its foreign policy and conduct international relations.

4.2 MEANING

The word '**Sovereignty**' originated from Latin word '**Superanus**'. '**Superanus**' means **the supreme**. Because of this sovereignty a State can be independent, make its own laws and implement them. The highest unit of power in the State is sovereignty.

Bodin was the first political theorist to analyze sovereignty. According to Bodin, State evolved from a group of many families. For every independent race, there will be a system to make and implement laws, it can be an individual or a group of individuals, laws originate from official system. The highest unit of power in an official system is sovereignty. After, Bodin the concept of sovereignty was developed by Hugo Grotius, Thomas Hobbes, Locke, Rousseau and Bentham.

4.3 DEFINITIONS

There are so many given by the Political scientists which are discussed in detail below:

1. "Sovereignty is the supreme power over citizens and subjects unrestrained by law"
– **Jean Bodin.**
2. "Every positive law or every law simple or strictly so called, is set directly or circuitously by a sovereign person or body on a member or members of the independent political society where in that person or body is sovereign or supreme".
– **John Austin**
3. "A power that can completely control the activities of every person in a society is sovereignty".
– **Jenks.**
4. "Sovereignty is the sovereign political power vested with him whose acts are not subject to any other and whose will cannot be overridden".
– **Grotius.**
4. Sovereignty is "the supreme, irresistible, absolute, uncontrolled authority in which the 'Jurist summit imperi' reside".
– **Black Stone.**

6. “Sovereignty is the original absolute, unlimited power over the individual subjects and over all associations”.
- **Burgers.**

Sovereignty

4.4 BASIC FEATURES OF SOVEREIGNTY

The following are some of the important characteristics of sovereignty which are discussed in detail below

- 1 Absoluteness
- 2 Universality
- 3 Permanence
- 4 Inalienability
- 5 Indivisibility

1. **Absoluteness:** Sovereignty of the State is absolute and unlimited. No other power can control sovereignty within the geographical limits of the State. The supremacy overall the men and associations in the State is unquestionable. There is no space for any foreign power to intervene in any manner. Some scholars argue that internally the constitutional law may limit sovereignty. But some other scholars say that such limitation is applicable to the government but not to the sovereign. There are some scholars who opined that the customs and traditions of a society are quite far away from the jurisdiction of sovereignty. But, in the modern days no State can be completely independent and completely dependent on the other States. No State is in a position to reject the international law, and the global opinion.
2. **Universality:** The prevalence of sovereignty overall the people and associations in a State is called universality. No person in the State can think that he is away from the sovereignty or it can not be applicable to him. In a State, generally no personal power or the power of the association can supersede the sovereignty. There is a criticism on universality.

Some scholars opine that sovereignty is not applicable to the ambassadors of the foreign countries, the foreign armies and to such foreign rulers who pay a visit to a country.

3. **Permanence:** Sovereignty is permanent. State and Sovereignty can not be separated. Sovereignty continues as long as the State exists. The loss of power of a ruler will not result in the loss of sovereignty of the State. If one ruler loses his power another ruler accedes. If one State merges with another State to form a new State then sovereignty is transferred.
4. **Inalienability:** Sovereignty is like life to the State. It can not be given to other. It is non-transferable. If some portion of a State is transferred to another State; the sovereignty will not be transferred. A State loses sovereignty on such portion which is transferred to another State, but it does not mean a transfer of sovereignty.
5. **Indivisibility:** Sovereignty is wholesome. It cannot be divided. There will be only one sovereignty in each State. Dividing Sovereignty means destroying it. Lord Bryce, Bluntschili and others opined that sovereignty is divisible and there can be two centers of sovereign power in a State. In a federal government, even though

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the central and State governments function separately, sovereignty can not be divided. Gettel mentioned that, in a federal State the sovereign power will not be divided; it belongs to the entire State but only the functional powers will be divided between central and state governments as per the constitution.

4.5 KINDS OF SOVEREIGNTY

In modern times sovereignty can be found in different forms. The following are the most important of such kinds.

- 1 Titular sovereignty
- 2 Real Sovereignty
- 3 Legal Sovereignty
- 4 Political Sovereignty
- 4 Popular Sovereignty
- 6 Internal-external Sovereignty
- 7 De Jure- De Facto Sovereignty

1. **Titular Sovereignty or Nominal Sovereign**

The sovereignty will be vested with a single person for name sake but actually exercised by others. The king or queen of Britain and the President of India are Titular sovereigns. In practice, in both these cases countries the power will be exercised by the council of ministers under the leadership of the Prime Minister who will be responsible to the parliament.

2. **Real Sovereignty**

If a person or an institution exercises the total power in a State, that person or institution can be called as real sovereign. If only one person functions as the head of the State and head of the government, he can be virtually the real sovereign and real sovereignty lies with him.

3. **Legal Sovereignty**

Any sovereignty with constitutional recognition can be called legal sovereignty. The Head of the State enjoys the sovereign power to issue ultimate directives. Such directives and orders will be recognized by the judiciary. In Parliament democracy the president issues ultimate directives with legality on the advice of ministers.

4. **Political Sovereignty**

To whom the people in a political society express their ultimate obedience, such person or institution enjoys political sovereignty. It cannot be discerned. Even the judiciary can not recognize the political sovereignty. Political sovereignty is the highest in a democracy. The voters and political parties express this sovereignty through the media and different forums.

5. **Popular Sovereignty**

In all the modern democracies, ultimately the popular sovereignty will be vested

with the people. The people give judgment over the performance of the government through elections. It is very difficult to recognize popular sovereignty in practice.

Sovereignty

6. Internal and external Sovereignty

The unrestricted sovereignty on all the individuals, associations and institutions in a State is called internal sovereignty. A freedom which is beyond the control of the foreign countries in external policy can be called external sovereignty.

7. De Jure – De Facto Sovereignty

The term ‘De Jure’ means the authority based on law. The De Jure sovereign is one who is competent under the authority of law to issue the commands of the State. On the other hand, ‘De Facto’ sovereign may be a king or a director or a prophet who becomes the strongest force in the State.

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4.6 MONISTIC THEORY OF SOVEREIGNTY

John Austin, a Jurist of England, enunciated the theory of Sovereignty during the 19th century. His theory is called the monistic theory. A sovereign is one who gets the obedience of all in a society. The theory of Austin has the following features: the highest power in a State will be vested with one person. Sovereignty is absolute. All the associations, groups and individuals express obedience to the sovereign. All the people in the State follow the orders of the sovereign.

Sovereignty is indivisible. If it were to be shared among more than one, every one tries to command the other. All the orders issued by the sovereign directly or indirectly are laws. There are no laws without the sovereign.

All the above features are subjected to criticism. The sovereign of Austin model is not a historical fact. There is no coherence between the present democratic theory and the theory of Austin. Austin’s theory did not take action into account either the public opinion or the opinion of a voter. There are many social customs, traditions and habits in a society. The laws cannot easily transgress them. The State cannot have that much power to reject the customs and traditions. Sovereignty can seldom formulate the laws against the moral will. Despite these drawbacks, the theory of Austin is still valuable. Austin has such greatness of explaining sovereignty in terms of legislation and his theory has a commendable place in political theory.

Implications of the theory

Following are the implications of the Austin’s concept of sovereignty.

- a) **Sovereignty is an essential element of State:** There can be no State without sovereignty. It is as essential to the State as life to the human body. The forms of government are immaterial. Sovereignty is never conditioned or influenced by these forms.
- b) **Sovereign is determined:** The human superior is determinate. Sovereignty consists in one man or in a group of people. On both conditions it is determined. Austin rejects **general will** as the sovereign authority as it is not determinate.
- c) **Its commands are habitually obeyed:** The commands of the sovereign are eternal and perceptual. It implies that obedience to the laws of sovereign authority is habitual. It is not periodic or dependent on people’s whims.

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- d) **Sovereign is absolute:** Sovereign is unlimited and absolute. It is not subordinate to any man or association. Its commands are habitually obeyed, but it does not obey commands of any like superior.
- e) **Sovereign is invisible:** The sovereign power is invisible. To divide sovereignty is to destroy it. "A divide fragmented, diminished, limited, relative sovereignty" is a contradiction in terms.

Criticism of Austin's theory of Sovereignty

Austin's theory of sovereignty is a lawyer's view of sovereignty. He has failed to take into consideration the practical or applied aspect of it. That's why it has been subjected to scathing criticism. By Sir Henry Maine, A.R. Lord and James Stephen etc.

- a) **Sovereignty does not reside in a determinate human superior:** Austin had held that sovereignty resides in a determinate human superior. Such a human superior cannot be identified in a human society. Even the most despotic oriental rulers were not sovereign in Austinian terms. The concept of determinate sovereignty is anti-theoretical to popular sovereignty also because of popular sovereignty is not determinate.
- b) **In applicable in Modern States:** Austin has profounded the theory of legal sovereignty which is determinate, absolute, unlimited and invisible. Such a sovereignty is not applicable in modern States.
- c) **Sovereignty is divisible:** Most of the writers on sovereignty, particularly the pluralist believe that sovereignty is divided. It is divided in a federal system between the central government and its units. There also exist many associations in the State sharing co-equal powers with the State. Therefore there exists much sovereignties in the State.
- d) **Sovereignty is not unlimited:** Austin's contention of unlimited sovereignty has also challenged by a number of writers. According to Bluntschli, "the State has a whole is not almighty, for it is limited externally by the rights of the other states and internally by its own nature and by the rights of its individual members".
- e) **A hindrance to the growth of internationalism:** H.J. Laski feels that in the modern age of internationalism and universalism the concept of Austinian sovereignty is incompatible to the interests of mankind.

4.7 PLURALISTIC THEORY OF SOVEREIGNTY

Pluralists proposed the Pluralistic theory of sovereignty as against the Monistic theory of Austin. Laski, Barker, Mac Lever, Maitland and Kaul and others proposed the theory of pluralism.

Pluralism is a revolt against Austin's Monistic concept of sovereignty which is absolute, unlimited, indivisible and determinate. Pluralists do not regard sovereignty as absolute, unlimited, indivisible and determinate nor do they accept the State as the only source of authority. They attack this concept on different grounds and declare that it is against the interest of international community.

According to the theory of Austin, Sovereignty is the greatest and unimpeded. But

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the pluralists seriously opposed this contention. Pluralism thinks that a State cannot have complete authority over the people and there is every scope for the prevalence of certain systems and practices against the will of the rulers. According to pluralism, the individuals and associations in a society will have liberty and power. The associations and groups are equally useful to the people like the State. The pluralists opine that the State is one among many associations. It is improper to vest it with limitless power. The centralization power will make the political power absolute, which in turn can disturb the liberty of the individual. Hence, the pluralists think that the powers of the State must be limited.

Thus, pluralism is the reaction against the Austinian Monistic concept of sovereignty. It recognizes indispensability of the State but wishes to dispense with the concept of sovereignty. Hasio says that, "Pluralistic State is simply a State in which there exists no single source of authority, it is indivisible into parts and should be divided."

Interestingly, Pluralists have denounced the Monistic concept of Sovereignty. According to Lindsay, "If we look at the facts it is clear enough that the theory of sovereign State has been broken down". Thus, the pluralists have made effort do denounce the theory of sovereignty and expunge it from the political theory.

4.7.1 Characteristics of Pluralistic Theory of sovereignty

The followings are the important characteristics of Pluralistic theory of sovereignty which are discussed in detail below.

1. **The State is an association of associations:** Man creates different types of associations for the achievement of different goals. He has created State to achieve political goals. The State, therefore, is not absolute and unlimited in its authority. It is just like other associations. Other associations are as useful as the State. They are not less than the State. Due to State's over bearing attitude, autonomy of these associations has been jeopardized. Therefore, it is necessary to cut to size the State authority and do away with Monistic concept of sovereignty.
2. **Distinction between State and Society:** Pluralists hold that the society is a wider organization. All associations including the State, exist in the society. It means that society is a whole and the State is only a part. The Pluralists reject the Hegelian and Fascist ideologies which hold State and society as one. Mac Iver says that, "the State is a structure neither coeval nor coexistence with society but built within as a determinate order for the attainment of specific ends".
3. **Sovereignty is limited:** Pluralism is mainly against the absolute and unlimited sovereignty. It holds that sovereignty is limited by many internal and external factors. The internal factors are customs, traditions, religion and morality. These factors are deeply rooted in the society and the behaviour of sovereign authority is always conditioned by them.
4. **Pluralism is not against the State:** It does not aim at 'the withering away of State' as the anarchists and communists do. It is only against the absolute sovereignty and regards the associations necessary for the development of human personality.
4. **Pluralism supports democracy:** It is a revolution aimed at making democracy more democratic. Pluralism emphasizes occupational or functional representation and secret ballot system. It opposes any type of despotism. It holds that

decentralization and internationalism would certainly strengthen democracy.

4.7.2 Advantages of Pluralistic Theory of sovereignty

Pluralism is a timely protest against State absolutism and rigid dogmatic legalism. It is an endeavor to restore group autonomy to make them an effective instrument for the development of human personality.

1. Pluralism attacks State supremacy and absoluteness.
2. Pluralism recognizes the value of associations and groups.
3. It is the beginning of disappearance of the crowd.
4. It pleads for revivification of local life by decentralizing the authority.
4. Pluralism admits that the interest of the State is not always identical with the interest of its parts.

4.7.3 Criticism on Pluralistic theory of sovereignty

Austin's theory of sovereignty was proposed by John Austin. Austin was greatly influenced by Hobbes and Bentham, the great utilitarian thinkers. Austin himself was a utilitarian. According to Austin, sovereignty is a determinate human superior not in the habit of obedience to a like superior receives obedience from the bulk of given society, that determinate superior is sovereign in that society and the society is a society political and independent. Austin always supported to Monistic theory of sovereignty.

There are certain criticisms against pluralism. Sovereignty to more than one association weakens the State. Treating all associations and State alike leads to anarchy. A State can function only when it is the supreme authority. Pluralism leads to disunity in the State.

Pluralism is a liberal theory and pluralists are not dogmatic. They accept what appears to be just. This liberal and adaptive approach hindered Pluralism from becoming a sound philosophy. It has been forcefully criticized on various counts. Some of them are discussed below.

1. **Pluralism is full of Contradictions:** In Pluralistic theory of sovereignty, Pluralists desire to reduce the State power and make it equal to the associations but in practice they plead to make the State more powerful. Herald J. Laski, had admitted that legally no one can reject that there exists an authority in a State and that the government is most important among all organizations. According to Dr. Figgis, says that 'State is society of societies'.
2. **It will establish Anarchy:** Pluralists put associations and groups at par with the State. They divide sovereignty and destroy it. A divided sovereignty is no sovereignty and results in lawlessness and anarchy.
3. **Mistaken view of sovereignty:** The critics also have pointed out that the pluralists have failed to grasp the essence of sovereignty. What they criticize? Is an imaginary concept, neither profounded by Austin nor by his fore runners like Bodin, Hobbes and Rousseau. Austin and others had laid down specific limitations on sovereignty. It was never unchallengeable.
4. **Misconception of Law:** Pluralism is true that law is not merely a command of the

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sovereign. It is also true that without State recognition there can be no law irrespective of its social acceptability.

Sovereignty

4. **No place for individual liberty:** The Pluralist contention that absence of restraints from associations would broaden the scope of individual liberty is wrong. The association curtails individual liberty more than the State does. The State promotes and protects individual liberty. According to Zimmern, “those who talk of State absolutism are ignoring the simple truth that there is no tyranny like the tyranny of near neighbors.”

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4.8 SUMMARY

Pluralistic Theory of sovereignty always supports for democratic concept. This theory supports to the power of the State. It is against for the Austin's theory of sovereignty. State is an association of associations. Like other associations it also represents one interests of the society. It cannot be considered superior to other associations. All associations therefore, are sovereign and there are as many sovereignties in a State as many as other associations.

4.9 KEYWORDS

- **Sovereignty:** Sovereignty as a juristic concept is used in connection with the supreme, final and ultimate power of the State in internal and external spheres. Internal aspects of sovereignty means that men, group and associations inside the boundaries of the State are subject to the commands of the sovereign authority.
- **Meaning of Sovereignty:** The word ‘**Sovereignty**’ originated from Latin word ‘**Superanus**’. ‘**Superanus**’ means **the supreme**. Because of this sovereignty a State can be independent, make its own laws and implement them.
- **Definition of Sovereignty**
 - a) “A power that can completely control the activities of every person in a society is sovereignty”.
– **Jenks**
 - b) “Sovereignty is the sovereign political power vested with him whose acts are not subject to any other and whose will cannot be overridden”. - **Grotius**
 - c) Sovereignty is “the supreme, irresistible, absolute, uncontrolled authority in which the ‘Jurist summit imperi’ reside”.
–**Black Stone**

Absoluteness: Sovereignty of the State is absolute and un-limited. No other power can control sovereignty within the geographical limits of the State. The supremacy over all the men and associations in the State is unquestionable.
- **Permanence:** Sovereignty is permanent. State and Sovereignty can not be separated. Sovereignty continues as long as the State exists. The loss of power of a ruler will not result in the loss of sovereignty of the State.
- **Political Sovereignty:** To whom the people in a political society express their ultimate obedience, such person or institution enjoys political sovereignty. It cannot be discerned. Even the judiciary can not recognize the political sovereignty.
- **Austin's Sovereignty:** Sovereignty is indivisible. If it were to be shared among

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more than one, every one tries to command the other. All the orders issued by the sovereign directly or indirectly are laws. There are no laws without the sovereign.

- **Pluralistic Sovereignty:** Pluralism is a revolt against Austin's Monistic concept of sovereignty which is absolute, unlimited, indivisible and determinate. Pluralists do not regard sovereignty as absolute, unlimited, indivisible and determinate nor do they accept the State as the only source of authority.

4.10 REVIEW QUESTIONS

Essay Type Questions

1. What is meant by sovereignty? Discuss the various types of sovereignties.
2. Explain the pluralistic sovereignty.
3. Explain the Austin's theory of sovereignty.
4. What are the characteristics of sovereignty?
4. Briefly discuss the kinds of sovereignties.

Short Type Questions

6. Sovereignty
7. What are the basic features of sovereignty
8. Any two definitions of sovereignty
9. Austin's theory of sovereignty.
10. Absoluteness.
11. Permanence
12. Pluralistic theory of sovereignty.
13. Advantage of pluralistic theory of sovereignty.

4.11 SUGGESTED READINGS

1. Asirvatham.J, Political theory.
2. John Austin, Lectures on Jurisprudence.
3. Bryce. J. Studies in History and Jurisprudence
4. Cohen. H.E, The Recent Theory of Sovereignty.

POLITICAL SCIENCE CONCEPTS, THEORIES AND INSTITUTIONS

B.A - POLITICAL SCIENCE

(First Year:Paper-I)

UNIT -III

Lesson - 5

Theories of Origin of the State: Social Contact and
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Lesson - 6

Concepts:

6.1 Law: Sources of Law and Concepts of Rule of Law

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Political Science Concepts, Theories & Institutions

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Lesson 5

THE THEORIES OF ORIGIN OF THE STATE

Structure

- 5.0 Aims and Objectives
- 5.1 Introduction
- 5.2 Theory of the Origin of State
 - 5.2.1 Divine Theory of the Origin of State
 - 5.2.2 The Natural Theory of the Origin of State
 - 5.2.3 The Genetic Theory is one of the theories that explains the origin of the State.
 - 5.2.4 The Horde Theory or the Matriarchal Theory of the Origin
 - 5.2.5 The Evolutionary or Historical Theory of the Origin of State
 - 5.2.6 Social Contract Theory of the Origin of State
- 5.3 Social contract theory
 - 5.3.1 Thomas Hobbes (1588-1679)
 - 5.3.1.1 Hobbes' view of State of Nature
 - 5.3.1.2 The Laws of Nature
 - 5.3.1.3 The Social Contract
 - 5.3.1.4 Criticism
 - 5.3.2 John Locke (1632-1704)
 - 5.3.2.1 Locke Views on Human Nature
 - 5.3.2.2 Locke on State of Nature
 - 5.3.2.3 The Social Contract Theory
 - 5.3.2.4 Salient Features of the Contract Theory
 - 5.3.2.5 Evaluation of Locke's Theory
 - 5.3.3 Jean Jacques Rousseau (1712-1778)
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5.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Explain the origin of a state theories
- Discuss the social contract and historical theory of origin of a state
- Know the criticism on political theories.

5.1 INTRODUCTION

In 18th century ‘The Social contract Theory’ occupied the most important place among the theories of origin of the state. It rejected the prevalent theories and gave a revolutionary turn to the Political philosophy. The “Social Contract Theory” was the result of a strong reaction against the theory of Divine Origin. The social contract theorists declared that the state was not a divine creation. It is created by men. It is a contrivance an artifice created by men to realise their own objectives. State is the result of contract which the men in the state of nature devised with their own will.

The social contract theorists have divided the history of mankind into two parts- the state of nature which is pre-political and the history after the creation of state which is a political society.

In the history of political thought references of social contract theory are found in the ideas of Sophists and Epicureans. These thinkers maintain that the state is an artificial institution. People created the state to promote their own interests. Self interest, therefore is the principal dynamic force. It determines the man-state relationship. Even the obedience to the laws of the state is totally related with self interests. Man obeys the law because it provides him security.

That the state is the result of a contract has been the theme of many Hindu scriptures. In the Santi Parva of the Mahabharata there is a reference of a contract. It says that the people requested Brahma, the Creator to appoint a king for them for the regulation of

order and discipline in the society. Consequently, Manu was appointed as the king. The people entered into a contract with Manu the King that he protect them and their property and they in their turn would offer unto him the sixth part of their income.

In the Middle Ages, the theory of Social contract remained in vogue in Europe. An eleventh century thinker Manigold said that 'the king who breaks the contract deserves to be dethroned. The British thinker Rich and Hooker had supported this opinion. In his book "Laws of Ecclesiastical Polity" he wrote that the state of nature as state of anarchy.....men created a state by entering into a contract.

5.2 THEORY OF THE ORIGIN OF STATE

5.2.1 Divine Theory of the Origin of State

This theory was one of the earliest theories of the origin of the State. By this theory the State is the creation of God just as God has created human beings on earth, so he has also created the State. People of the Divine Authority. This theory was used to serve divergent ends. It was used to support the people with the argument that the king has a divine mission therefore, he must do justice and is bound to follow the law given in the scriptures. It was used by despots to support their absolute authority and tyranny. They argued that the king has the authority to do anything he likes and people cannot interfere with it because the power to the king was given by God.

This theory was very popular in ancient times. Manu says, "Brahman created the King to protect the people of all Varnas and Ashramas devoted to their duties." Hindu thinkers regarded State as a divine institution. The Divine Theory of State was widely held in Europe under the influence of Christian dogma specially in the middle Ages when the King was regarded as the representative of God ruling by divine right. In the Bible, it is stated : "Let every soul be subject unto higher powers. For there is no power but of God; the powers that be are ordained of God."

The Greeks attributed a divine origin to the State. It was, to the Greeks, an association of sages who gave the law. The Roman legend of the foundation of Rome while not omitting religion propounded that the people and King created the State. The blessings of the Gods followed. Under the Muslim Law also Sultan or king was regarded as a shadow of God. The Divine Origin Theory more and more took the form of the theory of the Divine Right of Kings. This was particularly true of 16th and 17th century England.

According to Gray, "The ruling spirits of society in forming a government have often claimed to act under divine guidance and this claim has been believed in, not only by the mass of the community but often by the rulers themselves and further it is this belief that has given their power, but in such cases, it has been the will of the rulers that has really organized the State. The organization of the State was the same whether the rulers who created it had or had not revelation from above." Gettell rightly says, "During a large part of human history, the State was viewed as a direct divine creation and its government was theocratic in nature." J.N. Figgis gives the principles of the Divine theory as under

1. The King was given political power by God.
2. Kingship is hereditary.

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3. The King is a great source of wisdom and is responsible to God only
4. It is a sin to disobey the King.
5. The people must submit and surrender unconditionally to the authority of the King.
6. A bad King will be judged by God but not by his subjects or by any human agency.

Criticism of the Theory

This theory is used to justify the despotic rule and against democracy.

It is far from reality.

It is not suitable to the modern democratic States where people elect the rulers.

It is not progressive as it does not give right to the people to change the ruler.

There is no historical evidence to prove that the State is created by the divine power.

It is religious theory and it has not been based on reason. However, this theory was used to make people obedient to the political authority to enable the State to be stable and check anarchy. It was useful to impose law and order and establish stable rule. This theory lies in its emphasis on moral force. It also gave a religious basis when religion played a very dominating part. It created a feeling of oneness among the people.

5.2.2 The Natural Theory of the Origin of State

The natural theory says that State is the result of a natural instinct in man. Aristotle said that man is a social animal and the instinct of sociability in man gives birth to State. The interest of the individual and the State are the same, therefore, man could not live outside the State. Though this theory is not sufficient to explain the origin of the State, it gives the root cause for the formation of State. In modern, this theory has been transferred into a utilitarian theory.

The Force Theory of the Origin of State

The force theory believes that the State has come into being through physical coercion or compulsion or war begot the State. This theory was propounded by Jenks, Bernhardt, Oppenheim and Trietsche.

Leacock says, "Historically it (force theory) means that government is the outcome of human aggression, that the beginning of the State is to be sought in the capture and enslavement of man by man in the conquest and subjugation of feeble domination acquired by superior physical force. The progressive growth from tribe to kingdom and from kingdom to empire is but a continuation of the same process."

According to Jenks, "Historically speaking, there is not the slightest difficulty in providing that all political communities of the modern type owe their existence to successful warfare." Waltair says that "the first King Was a fortunate warrior." Bluntschli is of the opinion that "force is an essential element of the organization of the State."

Oppenheim gives the following six stages of the emergence of State

- i. The first stage was one of continuous fights. The conquerors captured the properties of the defeated person.
- ii. In the second stage, the peasants were enslaved and exploitation of man by man began.

- iii. The third stage was mutual realization of benefits of co-operation between the conquerors and the conquered.
- iv. People united to fight against common enemies.
- v. Government was formed to settle disputes.
- vi. The military leaders became Kings. Law and order were established and State was organised. It is also believed that the State developed on the basis of force. For example, Alexander The Great expanded his kingdom only with the use of force. Changez Khan, Nadirshah Akbar, Hitler and Napoleon also followed the same.

In the latter part of the 19th century, a group of German theorists used this theory to justify the power and force of the State. They argued that the State was power and that force was the most important attribute of the State. The individualists made use of this theory to protect individual freedom by limiting the action of the State that is considered a necessary evil. The anarchists regarded the State as a power based institution and advocated its earliest abolition for the good of society.

Criticism

The force theory, no doubt, contains an element of truth force. But, is not the only factor that has contributed to the development of the State. Other factors such as kinship, religion, property and political consciousness have played their part in the evolution of the State. Mere force cannot maintain the State for a long time. "Might without right can at best be only temporary, might with, right is a permanent basis for the State. Force does not create rights; rights, like the State are founded in the common consciousness of common ends." As per Green, "It is not coercive power as such but coercive power exercised according to law written or unwritten, for maintenance of the existing rights from external and internal invasion that makes a State." Gilchrist says. Might without right lasts only so long as they might lasts; might with right is as lasting as the human mind on which it depends, MacIver holds that nothing can be achieved by sheer force because force always disrupts, unless it is made subservient of common will. Force is short-lived. Abraham Lincoln remarks, "Force is all conquering, but its victories are short-lived."

Exponents of the force theory look upon force as the object and justification of the State. The government must be so strong to protect its people from the aggressions and to maintain internal peace and order. Force alone does not stand for or justify the authority of the government.

5.2.3 The Genetic Theory is one of the theories that explains the origin of the State

The Genetic Theory is one of the theorists that explains the origin of the State. According to this theory, the State is a product of a natural expansion of family. It is said that one family gave rise to several families, a group of families united to form a village, the village expanded into settlements and they united to form the State. MacIver says that family is the government in miniature. It is a very important link in the development of State. It is thought that the State is the developed form of the family.

According to Henry Maine, the father is the head of the family an such family

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expanded into the clan, i.e., gens or house and the clan into the tribe and finally the aggregation of tribes constitutes the common wealth, i.e., the State. It is clear that blood relationship played an important role in the origin of the State

Originally, the idea of the Patriarchal theory is given by Aristotle who said that the State began with the most natural group namely, the family with the father as the head. Henry Maine is the strongest supporter of this theory.

In Roman Law, there is the institution of the 'patria potestas', i.e., the paternal power of the 'pater familias', i.e., the head of the family. The father was regarded as the King and priest. The members of the family were under the control of the father.

According to Altekar, as far as the Indo-European communities are concerned, the institution of the patriarchal joint family seems to have been the germ out of which State was gradually evolved. The study of Indo-Aryan communities also support this theory.

The French jurist Duguit has lent his support to the Patriarchal theory. He says, "He (the male parent) is the natural chief, the governor of the little State of which the members of the family are the governed. The ancient city was merely a union of families in which political power belonged to the father."

The Patriarchal theory of the State is based on three basic assumptions

- i. That the system of permanent marriage prevailed in primitive times and that paternity was an established fact;
- ii. That descent was traced only through males. None of the descendants of the female was included in the family;
- iii. That the ultimate authority was in the hands of the male head of the family who enjoyed absolute powers over all the other family members.

In support of his theory, Sir Henry Maine, in his book "Ancient Law and Early History of Institutions", addressed evidence from the family history of the Hebrews, of the Greeks and Romans and the Aryans in India. Among the Hebrews the eldest male member exercised almost despotic powers over his dependents. In Rome, the 'patria potestas' gave unlimited powers to the head of the household. In India too, the members of a joint family lived under the control of the eldest male. The patriarchal theory explained that family was the earliest unit and it transformed the father into the chief or the king and the family into a civil community.

Criticism

The patriarchal theory is criticised by Morgan, Jenks, MacIver and others. This theory explains the origin of the family rather than that of the State. It is simply a speculation regarding the beginning of early society, particularly of the family. Herbert Spencer has criticised Maine's Patriarchal Theory by observing that it cannot be accepted as a final solution of the origin of government as societies were originally organised on a matriarchal and not on a patriarchal model. But there is no proof that at any period the maternal system held any exclusive position of the human race. Nor is it correct to say that primitive society was everywhere of the patriarchal type or that one type was derived from the other. The form of social organization everywhere is to some extent moulded by social and economic environment. Jenks asserts that the process by which families expand into clans and clans into tribes, according to Maine's conception, is in

fact the reverse. According to Jenks, the tribe is the earliest and primary group, then comes the family.

5.2.4 The Horde Theory or the Matriarchal Theory of the Origin of State

MacLennan in his book “Primitive Society”, Morgan in his book ‘Studies in Ancient Society’, and Edward Jenks in his work, ‘A Short History of Politics’ propounded the Matriarchal Theory. According to Matriarchal theory, the State originated not in the family, but in the Horde. The Horde was an unorganized tribe in which sexual relations without any matrimonial intentions were common. In course of time the Horde left this practice and followed group marriages and gradually they practiced polyandry. This institution of polyandry led to the establishment of matriarchal family. In the matriarchal family, relationship was traced through the female line. Among some tribes, relationship is recognized through female and not through the males, and even succession to property is through female line. Owing to the prevalence of the custom of exogamy, the father belonged to a clan tribe. Jenks illustrated the system from the conditions of the Australian aborigines who live in ‘packs’ or totem-groups’ and may not marry within totem.

The following are the important points of the matriarchal theory of Jenks

- i. Tribe is the earliest form of society. It is the oldest and primary social group.
- ii. Kinship is traced through females.
- iii. Marriage relationships are transient. The earliest form of marriage was polyandry.
- iv. Females only succeed to power and property.
- v. Matriarchal authority is an established fact.
- vi. Tribes in course of time break into clans, clans in turn give place to households and households at last emerged into modern families.

The Matriarchal theory like the Patriarchal theory looks at historical proof of its having been universal. To say that only one type of family system prevailed in early societies is a travesty of facts. Moreover, woman is an agent transmission. Nature has not given her the power to be an active wielder or participant to power. Again, it is not possible to believe that the State developed through the enlargement and expansion of the Matriarchal family. Maine has criticized the Matriarchal theory, as unworkable because it is extremely improbable. As regards polyandry, Maine argues that it is an abnormal institution of a temporary character, because of the low number of female.

5.2.5 The Evolutionary or Historical Theory of the Origin of State

The most acceptable theory of the origin of the State is the Evolutionary or Historical theory. According to this theory, the State is a historical growth i.e., the product of a gradual process of social development. It has evolved from more simple and elementary social structures over a long period of time. It was not deliberately created by man at any particular time. The State is a growth and evolution and not an artificial product.

According to Aristotle, State came into existence for the bare needs of the life of man and continued to exist for the sake of his good life. State is the result of a slow and steady evolution through continuous development of human society.

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Leacock has pointed out that the "... State is a growth, an evolution, the result of a gradual process running throughout all the known history of man and receding into remote and unknown past." Verges has also pointed out that to trace the origin of State is one factor is wrong but "it is gradual realization of universal principle of human nature." The main supporters of the Historical theory are J.W. Burgess, MacIver, Garner and Gettell

According to Professor Burgess, "The proposition that the State is a product of history means that it is gradual and continuous development of the human society out of a grossly imperfect beginning through crude but improving forms of manifestation towards a perfect and universal organization of mankind."

According to Gettell, "Like other social institutions, the State arose from many sources and under various conditions and emerged almost imperceptibly." The following factors contributed to the origin and development of the State :

Kinship: By kinship is meant blood relationship. Kinship played a considerable part in early civic development. Blood relationship brought the members of the family together. As MacIver puts it, "Kinship creates society and society at length creates the State." The family served as the prototype of the State.

Religion: According to Gettell, "Kinship and religion were two aspects of the same theory." Religion helped unification of political communities. Religion reinforced the sense of unity and respect for authority. It colored every act of human life. Religion subordinated barbaric anarchy and taught reverence and obedience to the primitive people. Even today religion continues to play an important part in determining the nature of the State. The influence of priestly class in government and politics has been powerful throughout the history.

War or Force: War or force has played an important part in the origin and development of the State. War begot the king. Military was used for defense and conquest. A sense of loyalty to the ruler, was also established. A coercive force exercised by a powerful person developed into political sovereignty. Struggle and warfare are historically, most important elements in State formation.

Property or Economic Factors: Economic system is the key to the social behavior. The three successive economic stages were the huntsman, the herdsman and the husbandman (agricultural stage). Military came into existence to protect the property from plundering raids. Protection of property played an important role in state building.

Political consciousness: By political consciousness is meant the awareness of the need for a common authority to promote certain common ends. Political consciousness implies the awareness of certain ends to be attained through political organization. When once the people settled on a territory, they realized need for the protection of life, liberty and property. The military leader commanded the confidence of his people and established some sort of political organization, i.e., Government. Consequently, the State came into existence with all its four elements.

Thus, we can conclude that no single factor is responsible for the formation of the State. "The State is neither the handiwork of God, nor the result of superior physical force, nor the creation of resolution on convention, nor a mere expansion of the family." It is the result an evolutionary process in which kinship, religion, property force and consciousness

of people have been the most important factors. Thus, the State is a natural growth over a long period of history.

5.2.6 Social Contract Theory of the Origin of State

The Social Contract theory is a very old theory on the origin of State. It emerged as a reaction against the Divine Origin theory. Originally this contract theory was propounded by the Sophists in Greece. Even the Roman lawyers like Cicero argued that popular consent was the basis of the State. In the middle ages Marigold and the Old Testament supported this theory of Social Contract. In modern times the Social Contract theory received wide support as it sought to question the Divine Right theory of State. Richard Hooker was considered to be the first modern writer for giving a logical analysis to the theory of social contract. However, the Social Contract theory received prominence in the writings of Thomas Hobbes (1588-1679), John Locke (1632-1704) and Rousseau (1712-1778) who gave it a systematic and technical treatment. It was supported by Grotious, Milton etc.

The Social Contract theory states that State is not a growth, but a make it is not made by God, but deliberately and voluntarily created by man. It has come into existence not by force, but by consent or agreement.

The term 'social' implies something connected with society, while 'contract' means an agreement between two or more people. As a term of political theory, 'social contract' implies a contract that makes society possible. The Social Contract theory holds that men of the pre-political society got together and agreed upon a contract establishing the State. It implies that the State is man's deliberate creation to serve his needs.

The Social Contract theory envisages a state of nature which was the natural condition of mankind wherein the political control and popular obedience were agents. It was a state of nature where there were no organised government and rulers. There were no man made laws and no human authority to govern people. The state of nature was pre-political. Whatever may be the reason, the people decided to abandon the state of nature and enter into a civil society in pursuit of some political order. The law of nature was replaced by manmade laws. A civil society was established where everyone lost his natural liberty that he enjoyed in the state of nature; in the place of civil liberty some form of civil rights was conferred on the individual. The idea of social contract divides human history into two phases, i.e., one is the state of nature which was the life of people before the State came into existence and second is the creation of the State as a result of the contract entered by the people who earlier lived in the state of nature.

There are three elements in the social contract theory. They are state of nature, contract or covenant and civil society. The three important exponents of this theory, Hobbes, Locke and Rousseau agree on fundamentals, but differ on details.

State of Nature

According to Hobbes, man lived in darkness. He led a life of an animal. The guiding principle of the state of nature was 'might is right'. It was a state of wild savagery and man led a lonely and poor life. It was a state of war and rivalry. 'Kill whom you can, take what you can' was the order of the day.

Locke says that man led a peaceful and natural life in the state of nature. The right

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to life, the right to property and the right to liberty were enjoyed by man according to natural law. But there was no government to regulate the rights. So there was no security for these rights. According to Locke, state of nature is a state of insecurity.

According to Rousseau, man was a 'noble savage'. He led a peaceful life and enjoyed the bliss. It was a golden age. Man was moral, simple and happy. Soon these conditions changed with the establishment of private property. Man became selfish and wicked, corrupt, cruel and cunning. The life became precarious in the State of nature.

Social Contract

Hobbes, Locke and Rousseau differ on the nature of contract though they agree that men made a contract and established a State and led a richer, fuller and happier life.

According to Hobbes, there was only one contract. It was made by the people themselves. By this contract they established both the State and the Government. The people surrendered their rights to the ruler.

As per Locke, there were two contracts. The first contract called social contract, was made by people themselves. By this they establishes a civil society, i.e., State. The second contract was called governmental contract or political contract. It was made between the people and the ruler. By this they established a government. To Rousseau, there was one contract made by the people. By this established a civil society, i.e., State.

Criticism

1. From the historical point of view, the Social Contract theory is not acceptable. History does not give single evidence which could indicate that there was a stable society.
2. This theory is illogical and baseless. How could men who had no knowledge of political organization suddenly think of a State and form it?
3. The progress of the society has been from status to contract. Contract is not the beginning but the end of society.
4. The Social Contract theory is dangerous because it leads to anarchy.
5. There cannot be one sided contract as expounded by Hobbes. Contract by one party cannot necessarily bind the descendants of those who originally entered into the contract.
6. The relation between individual and State is not by contract but by birth,
7. The theory assumes that all men were equal. But there was inequality in the state of nature.
8. Historically it has been proved that the State is not the result of any artificial and superfluous attempts but that it is a growth.
9. Rights are always followed by duties but, the theory contains rights without duties and obligations.
10. Contract among individuals does not create public right as the contract primarily gives personal benefit.

5.3 SOCIAL CONTRACT THEORY

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Importance of the Social Contract Theory

No philosopher ever evoked so much sound and fury in the political philosophy of those times as did Hobbes. He was a system builder, and revolutionised the political theory like Machiavelli. His importance can be discussed as follows:

- i) **Scientific Method:** Hobbes is the first political thinker who rejected superstitions and hypothetical conceptions and applied reason and logic to the analysis of political concepts.
- ii) **Propounder of Absolute Sovereignty:** Hobbes is again the first to lift all restrictions from sovereignty. He made it absolute, unlimited, permanent, indivisible and unchangeable.
- iii) **First Psychological Thinker:** Hobbes felt that all political study should start from the study human nature. Freud, Bagehot, McDougel and Graham Wallas might be regarded as the successors of Hobbesian tradition.
- iv) **Precursor of Modernism:** Hobbes is the precursor of modernism. He applied scientific method in the study of Political science and indirectly supported democracy.

5.3.1 Thomas Hobbes (1588-1679)

Thomas Hobbes (1588-1679) was an English political thinker. After completing his education at Oxford, Hobbes became a tutor in aristocratic households. For some time, he was private tutor to Charles II. He lived in the stirring times of the Great Rebellion and the Commonwealth. He identified himself with the monarchist cause and concluded that the salvation of the country lay in an absolute system of government. His important works are : (i) De Corpore Politico (1640); (ii) De Give (1642) and (iii) Leviathan (1651). In 'Leviathan', Hobbes explained his theory of social contract. He proposed the social contract theory not to explain the origin of State, but to justify absolute monarchy.

5.3.1.1 Hobbes' view of State of Nature

State of nature was a stage prior to the formation of the State. According to Hobbes, the state of nature was of universal strife. It was one of warfare. It was a state of "continual fear and danger of violent death, and the life of man solitary, poor, nasty, brutish and short." Every man was enemy to every man. Might was right and jungle law had prevailed. "Kill whom you can, take what you can" was the order of the day. There was no distinction between right or wrong, justice or injustice, since the rule of life was: "only that to be every man's that he can get and for so long as he can keep it." It was a war of every man against every man. Man was not social and there was no peace. Hobbes says that man was a self centred individual. Man had his own pleasure and desires. He belonged to no order. There was no place for industry. Man was made to invade for gain, for safety and for reputation. Therefore, the state of nature was unbearable. But man is possessed of reason and foresight. In these conditions there was no commerce, no industry, no education and no art. The state of nature was a state of savagery and there was no society.

Hobbes' contract

The condition of life in the state of nature reached an intolerable stage. People entered

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into a contract in order to protect their life and maintain peace. As a result of this contract, people gave up their rights except the right to self-preservation to one man or a body of men and authorized him or the body to rule over them. He was called the sovereign. Everyone said to the other: "I authorize and give up my right of governing myself to this man, or to him and authorize all his actions in like manner." This contract was made by each with all and all with each. The ruler was not a party to the contract and need not act according to the conditions of the contract.

Sovereign

The authority of the sovereign is absolute. He determines what is just and unjust. The will of the sovereign is proper law or command that must be obeyed by the subjects. Liberty is the gift of the sovereign. People can enjoy liberty within the permitted sphere and the area which is not forbidden by the sovereign. Hobbes sovereign was all powerful. He might be unjust, tyrannical or inefficient, but people had no right to rebel against him. He was responsible not to people but to God only. Sovereignty is supreme absolute, permanent, inalienable and indivisible. Hobbes considers monarchy the best form of government on purely practical grounds.

Basic principles of Hobbes' Social Contract Theory

- i. There was no social and political life in the state of nature.
- ii. Life in the state of nature was solitary, nasty, miserable, brutish and short.
- iii. State was the result of a contract.
- iv. It was a social contract but not a governmental contract
- v. Sovereign was not a party to the contract.
- vi. The contract became a perpetual bond.
- vii. The people must abide by the contract.
- viii. The people were obedient to the ruler.
- ix. The subjects could enjoy those rights which were permitted by the sovereign.
- x. The people surrendered all their rights and: administrative powers to the sovereign,
- xi. The right to revolt against the sovereign was deemed to the people.
- xii. Law was a command of the sovereign.
- xiii. The sovereign had the power to impose justice and deal with disputes.
- xiv. Sovereignty was absolute, indivisible and inalienable.
- xv. Liberty was the gift of the sovereign.
- xvi. The basis for the origin of State was the sentiment of fear.
- xvii. There was no distinction between the State and Government.

Importance

1. Hobbes was the first political thinker in the entire Europe who tried to prove that the State was not a divine institute but a human institution.
2. He was the first English political philosopher to recognise the value of social order and discipline.

3. He was the first political thinker to present the concept of legal sovereign.
4. He laid foundation for the system of Analytical Jurisprudence.
5. He tried to prove the fact that lawlessness and anarchy could be put down only by despotic monarch.
6. His 'Leviathan' is the greatest masterpiece of political philosophy written in English language.

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5.3.1.2 The Laws of Nature

Hobbes believes in the existence of certain laws in the state of nature which govern the conduct of human beings. These laws are:

- (i) Everybody should strive to secure peace.
- (ii) They should observe the provisions of the contract.
- (iii) Men should reciprocate beneficence, and
- (iv) Men should willingly give up their natural rights.

5.3.1.3 The Social Contract

As man possessed the power of expression, they decided to enter into a contract among themselves and form a Commonwealth and end the horrible state of nature. The contract so entered into created a civil society and its objective was providing security of life and property. The contract was of 'each with all and all with each'. Man pledged in this contract, "I authorise and give up my right of governing myself to this man or to this assembly of men, on this condition that thou give up all thy right to him and authorise all his actions in like manner."

The contract so completed created the state. Men surrendered all their natural rights to some particular man or assembly of men. It became the sovereign and all other men became its subjects. Hobbes has termed the sovereign as 'Leviathan'. He is not a party in the contract. He is the product of it. People surrender all their rights to him and covenant confers all powers to him. He is absolute and has unlimited authority over his subjects. People have no right to revolt against him. Following are the characteristics of this contract:

- (i) The contract created a sovereign authority. It is social and political contract.
- (ii) Leviathan or sovereign is the result of the contract. He is not bound by the contract and has agreed to no obligation.
- (iii) Laws are commands of the sovereign and people have no right to disobey them.
- (iv) The contract is permanent. It can not be broken.
- (v) Sovereignty is the supreme law making power, it has the sole power to grant rights to the individuals. According to Hobbes "Sovereign has the sole and the whole powers of prescribing the rules where by every man may know, what goods he may enjoy and what actions he may do without being molested by any of his fellow subjects."

5.3.1.4 Criticism

Hobbes became a butt of scathing criticism for his revolutionary ideas in his life time.

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The critics were the royalists as well as parliamentarians. They were secular as well as theologians. Clerandon said about Hobbes' philosophy in Leviathan as, "I never saw any book which contains so much sedition, treason and impiety." The criticism is as follows:

- 1) **Wrong conception of Human Nature:** Hobbes' analysis of human nature is one sided. He declares man as selfish, acquisitive and aggressive, egoistic and anti-social. It is not correct analysis. Man possesses other characteristics also. He is gregarious. He is kind, sympathetic, loving, self-sacrificing and peace loving.
- 2) **State of Nature is Imaginary:** The explanation of the state of nature by Hobbes is not acceptable. It is not historically substantiated. It was never a state of 'survival of the fittest'. Sociological and anthropological researches have established that the man was never a unit of the society.
- 3) **Contract is Illogical:** It is difficult to believe that a selfish, brute and solitary creature of the state of nature all of a sudden decided to enter into a contract. Contract is a relationship which presumes sufficient political consciousness.
- 4) **Contract is Irrational:** The contract as explained by Hobbes appears to be very irrational as Leviathan was not a party in the contract. People surrender all their rights unconditionally to Leviathan and receive nothing in return. The contract is irrevocable. Such a contract can never appeal to human reason.
- 5) **Leviathan Wields Absolute Authority:** Leviathan is absolute. He enjoys unlimited and unquestionable authority. He can interfere in all aspects of human life. He is unaccountable. Hobbes fails to explain the factors which motivated men to enter into a contract with such an authority. According, to Locke "Men are so foolish that they take care to avoid what mischief may be done to them by polecats and foxes, but are content, may think it safety to be devoured by lions."

5.3.2 JOHN LOCKE (1632-1704)

John Locke was also born in England. He studied at Oxford and became a teacher. In the civil war his family supported the parliamentarians. Locke had a weak constitution. He was always endowed with love and affection by his friends and his family. His life was serene, peaceful and beautiful though physically he suffered from chronic phenomena. Lady Masham writes about him that, "His death was, like his life, truly pious, yet natural, easy and uneffected. I think can time ever produce a more eminent example of reason and religion than he was living and dying."

5.3.2.1 Locke Views on Human Nature

Second Treatise on Civil Government contains some passages regarding Locke's conception of human nature. He believes like Hobbes that all human beings are pleasure-seeking and desire is the principal motivating force of all human activities. According to Locke man is gregarious, cooperative, compassionate and loving. He is peace-loving and never likes a conflict unless absolutely necessary. Man is rational and social. He lives with other men in accordance with the natural laws.

5.3.2.2 Locke on State of Nature

As man is rational and social, the state of nature is also peaceful and orderly. It is not a state of war as men observe the law of nature. According to Locke. Men living together according to reason without a common superior on earth, with authority to judge between

them is properly the state of nature. According to Dunning the state of nature which Locke describes does not represent pre social condition. It represents prepolitical society. Men enjoyed liberties and were endowed with natural rights. Man had the rights of liberty, life and property. He equally respected other's rights. But the state of nature had certain short comings. These were

- i) There was no established and settled known law.
- ii) There was no definite and impartial judge, and
- iii) There was no known executive to enforce the law.

5.3.2.3 The Social Contract Theory

The people entered into a contract to over come short comings of state of nature. According to Vauhan Locke's contract is a double contract. The first stage of the contract was concluded when men decided to enter into a contract. It was social contract which put an end to the state of nature. The second contract was entered into when men in their corporate capacity decided to cede to the community as a whole. In this contract man resolved to give up his personal right to interpret and administer the law of nature in return to the guarantee that his rights will be preserved. According to Gettell. "The contract was thus specific and limited, not general as Hobbes had said."

The Government thus formed is a means of promoting the interests of the individuals. If the Government fails in its basic objective of protecting the interests of the individuals they have a right to revolt against it. Locke justified the glorious revolution of 1688 on this very basis and supported the idea of limited monarchy.

5.3.2.4 Salient Features of the Contract Theory

Following are the salient features of the social contract as conceived by Locke.

- i) The Contract was double. By one the individuals constituted a civil society and by the other they formed the government.
- ii) Men do not surrender all of their natural rights. They surrender only the right of enforcing the law of nature.
- iii) The state formed after the contract is a state based on common consent.
- iv) Locke's contract is more logical.
- v) It gives the rulers the fiduciary (trust) powers to be exercised solely for the common good,
- vi) It was a majority rule.
- vii) Locke distinguishes between the state and the government.
- viii) In his social contract Locke has propounded the theory of Political Sovereignty which means that sovereignty is vested in the community as a whole,
- ix) The Contract is irrevocable as its reversal would mean return to the state of nature.
- x) Locke allows the individuals to revolt against an autocratic government. Locke says, "The community perpetually retains a supreme power of saving them-selves from the attempts and designs of any body-whenever they shall be so foolish or so wicked as to lay and carry on desJgns against the liberties and properties of the subject."

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5.3.2.5 Evaluation of Locke's Theory

Locke is regarded as the father of liberal philosophy. He has contributed the theory of consent, separation of powers and the theory of revolt to political theory. In spite of all these contributions there remain some short-comings in his conception of the social contract. They are

- i) **The Contract is unreal:** Locke's depiction of the social contract is more unreal than of Hobbes. It is neither historical nor philosophical. It is not convincing that men entered into a contract by abandoning the ideal state of nature.
- ii) **State is not based on utility:** Locke held that the state was created with an earnest desire to protect the individual property. It is not maintainable. The basis of the state is always morality and its main objective is promotion of individual morality.
- iii) **Mere consent is not Sufficient for a State:** State requires coercive authority and force to protect and secure individuals. It also requires it for territorial expansion. The primitive states were based more on force.
- iv) **Fear of continuous revolutions:** Locke has empowered the individuals to revolt against a despotic government but has given no powers to the government to safeguard itself against the tyranny of the individuals.
- v) **Sovereignty is not divisible:** According to Gilchrist, "Hobbes gives a theory of sovereignty without recognising the existence and power of political sovereignty. Locke recognises the force of political sovereignty but does not give adequate recognition to legal sovereignty. Locke also fails to see that revolution, however desirable is never legal."
- vi) **Locke's importance:** It is true that there is little original in Locke's philosophy and his ideas are incoherent and incompatible but it is more true that the latter political thought was greatly influenced by him. The reverberations of his ideas were manifest in the French and American revolutions and he was the inspiration to the framers of the American Constitution. His importance lies in the following contributions.

5.3.3 JEAN JACQUES ROUSSEAU (1712-1778)

Rousseau was born on June 28, 1712 at Geneva, an important city in Switzerland. He became an orphan at an early age and could not achieve formal education. He became a domestic servant, a private tutor, a musician and a painter. He was impulsive and unstable and led a life of vagabond until he finally settled in Paris. Here he shot into fame through his books, 'Discourses on the Moral Effects of Art and Science' and 'Discourses on the Origin of Inequality'. His book 'The Social Contract' earned him a world wide reputation. In 1778 he committed suicide.

5.3.3.1 Rousseau Views on Human Nature

Rousseau's portrayal of human nature is entirely different. He neither regards selfishness, greed and avarice as an important part of human nature nor does he regard cooperation and sympathy as the cardinal virtues. Rousseau thought that there are two original instincts that make up man's nature. There is self love or the instinct of self preservation and the other instinct is gregariousness or sympathy. Both of these instincts are beneficial to the society therefore man by nature is good and sympathetic. Man in the state of nature was

noble savage. He possessed conscience to guide him. He acquire knowledge with sense organs.

5.3.3.2 The State of Nature

Rousseau has no definite idea about the state of nature. He has used almost all the meaning about the state of nature. However, he makes it clear that the state of nature was certainly better than social and civil society. Man in the state of nature was in the state of paradise. Man was noble savage but was free from fear. It was an ideal state. He had no knowledge of good or bad moral or immoral. He enjoyed unrestricted liberty and equality and led a life of innocence. He was powerful but never was he immoral. He cared to achieve only that which he regarded essential for him. He never thought of accumulating property.

However, this state of nature could not continue for long. He lost his liberty and equality as some peculiar circumstances, beyond his control, were created. When population increased new problems arose. Selfishness came up and man lost his peace. Selfishness gave birth to reason. The reason created pride. War and conflict became his main instruments. Poor became poorer and the rich became richer. His life became wretched. As Rousseau tells, “Man in the state of nature was in the state of Paradise before the serpent came, It came in the form of private property and family.”

5.3.3.3 Rousseau’s Social Contract

When the state of nature came to an end and man became almost an animal, the individuals had to think of entering into a contract, to put an end to the anarchic situation. In the contract each man surrenders his rights to free-dom and use of force to the community and becomes by virtue of this surrender an integral part of the community. Men have not concluded this contract with the future rulers. According to Rousseau, “in surrendering all his powers, the individual was not a loser of anything. Each individual by giving himself to all, gives himself to no one and since there is no member over whom you do not acquire the same rights that you give him over yourself, you gain equivalent of all you lose, and greater force to preserve what you have.”

Thus the man who surrenders all his rights to the society is never a loser as he is now an integral part of the community. He gets all those rights whenever he requires them. According to Rousseau state is an assemblage of people and no one has right over the other. People want liberty and equality and the state provides them both. The state is not an absolute power. It is a state where the people enjoy their rights and liberties in the best form. This state functions according to General Will. The General Will is not an abstraction, it is organic. It is organic because the eternal consciousness of people keeps it alive. This consciousness makes the state committed to the achievement of common good.

Main Features of Rousseau’s Social Contract

- i) **Contract is For The Good of All:** Man surrenders all his right to the community not to an individual. Therefore all are benefited by this contract. According to Rousseau, “Each of us puts his person and all his power to common use under the supreme direction of the General Will and as a body we receive each member as an indivisible part of the whole”. Rousseau again says because each individual

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giving himself wholly, the circumstances are equal for all...because the circumstances being equal for all no one has interest in rendering them burden some for others.

- ii) **General Will:** Unity reached by the contract is complete because man becomes inseparable part of the community by the act of surrender. According to Rousseau 'Each one is giving himself up to all, gives himself upto none'.
- iii) **Contract creates the State:** The unity of community created by the contract is termed as state.
- iv) **Contract creates a Just Society:** A sudden change comes in man as soon the General will emerges in the society. Man becomes subject to justice instead of brute force. His actions become moral. He ceases to be a slave of actual will and is governed in all his actions by the real will. Rousseau says, "What man loses by the social contract is his natural liberty and an unlimited right to what ever he can get and hold on to. What he gains is civil liberty and the ownership of all that he possesses".
- v) **Contract is Social not Political:** The contract creates a sovereign community not a sovereign government. The government is only an instrument of this community. If the government fails to carry out the dictates and objectives of the community it can be unseated. The General will is unlimited, indivisible, source of law and permanent. Thus Rousseau propounds the theory of democratic society in which sovereign power is vested in the society not in the government.

5.3.3.4 Criticism

- 1) **State of Nature is imaginary:** Rousseau has portrayed the state of nature as a state of paradise. Such a state is only a figment of imagination and can not be substantiated by logical, biological or anthropological analyses. It is the product of poet's fantasy not a scientific deduction.
- 2) **Illogical:** Rousseau lacked formal education. His analysis suffers from contradictions. It has made his social contract theory illogical. To him the community or society is the result of a contract but he also says that the contract was between man and the society.
- 3) **Contract is Uniparty:** Rousseau's theory of contract is uniparty in which man surrenders all his rights to the community without reserving anything for himself. He becomes a slave of General Will. In theory he receives all his rights back but in practice he comes under more despotic power than Hobbes Leviathan.
- 4) **Incompatibility between Theory and Practice:** Man, according to Rousseau is a citizen and a subject at the same time. He is a citizen when he is a part of this sovereignty, he is a subject when he obeys the law. It would mean he goes to prison as a subject and sends himself to prison as a part of the Sovereignty.
- 5) **Unity created by Contract is Meaningless:** Rousseau reduces the individual to a stage of insignificance. He is under the total control of the society where his rights to freedom become meaningless.
- 6) **Contract Creates Absolute Authority:** Rousseau's endeavour is to transform General Will into common consciousness of common good by presenting it in

democratic form but his efforts result in making it an absolute sovereign. It is more dangerous than Hobbe's Leviathan.

The Theory of the Origin of State

5.3.3.5 Importance of the Theory

According to C.L. Wayper, "Few men have more affected the mind of the modern world than Rousseau. He was most powerful of the influences which the human mind has experienced since Descartes. He left the stamp of his strong and original genius on politics, education, religion, literature he is found at the entrance to all the paths leading to the present": He is the father of idealism particularly the source of the idealist philosophy of the Germans Like Kant, Hegel and Fichte. Marxism, Green's liberalism and democracy were inspired by Rousseau. He propounded the theory of popular sovereignty. In the words of Dunning, "Rousseau's spirit and dogmas, however, disguised and transformed are seen every where both in the speculative system and in the government organisations of the stirring era that followed his death".

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5.3.4 Marxist Theory of the Origin of State

Marx and Engels believed that the State was not a natural institute. The Marxists explain that society and State are essentially two different institutions. The society is a natural institution while the State an agency for exploitation of the poor by the rich. Engels in his treatise 'The Origin of Family, Private Property State' (1884) writes that "the State then has not existed from all eternity. There have been societies that did without it that had no idea of the State and State power. At a certain stage of economic development which was necessarily bound up with the split of society into classes, the State became a necessity." At first the people lived in harmony in the society as there were no classes and clashes of interests. Later the society was divided into various classes and struggle started. The State came existence as class instrument to serve the interest of the dominant class. According to Marxists, the State is a product and manifestation of the irreconcilability of class antagonisms. Once the classes came into being, it was natural that their diverge interests would lead to disputes and clashes among them. There arose the necessity of some organization which could arbitrate and solve disputes. This task could be fulfilled by the agency of the State.

Marxists believe that there was a stage when people lived in Small families and groups. They obtained their food supply from Nature in the form of fruits and hunting wild animals. Whatever was available from nature was used by all people. People had to work hard for getting the necessities of life. At that time there were no means by which a person could exploit others. All people were equal and there was no ruler, no disputes to be solved. They call this stage as the state of "primitive communism." It was a stage when the principle "for each according to his needs" was followed. In course of time people acquired property interests. With the emergence of property and property rights, the nature of society underwent a great change. The State arose when the society underwent a great change. The State arose when the society State is nothing but a tool of the dominant class in the society and is merely an instrument of exploitation of the poor by the rich. The rich in order to maintain their economic and political supremacy want the State to continue. The State is not an organization for the protection of the working class but an instrument of the possessing class to exploit the non-possessing class. The State is not a natural institute but it is a class institution and it is an institution

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of violence. The States are coercive agencies and authority came handy for them. Marxists believe that the State is a temporary institution and that a time will come when there will be no State in the world.

According to Marxists, the State was a class institution and basically it is a bad institution and would never act for the good of the society. State is an institute of violence. The military, the police, courts, laws, bureaucracy etc., are all employed to use violence and force for the good of dominant class. It then becomes a burden on the entire society both classes are equally cheated and it acts as an independent parasite on society. Marx was thus against the State and sought its complete abolition. But he did not seek its abolition immediately after a successful proletarian revolution. The State will stay for a temporary period to facilitate smooth transition from capitalism to communism. This would be a temporary period of dictatorship of the proletariat. The State will wither away and a classless and stateless society will be formed.

Criticism

1. To call the State as an institution of violence or class coercion is never justifiable.
2. The State is the first condition of civilized life.
3. The State has not withered away anywhere.
4. The establishment of stateless and classless society is not practicable.
5. The proletariat in capitalist system has got protection and is not ready to revolt.

5.4 GENERAL WILL

The concept of the 'General Will' is the crux of Rousseau's political philosophy. However it is not at all well defined and remains very confusing. The General will is the product of the contract. It emerges when people have surrendered all their rights to the community and the community contains hence forth, the General will. Rousseau explains the General will by elaborating two type of wills. He calls one as Actual will and the other as Real will.

1. **Actual will:** By actual will Rousseau means an animal desire inherent in man when he is selfish and desires to promote his own interests ignoring the common good. It is selfish, narrow and self contradictory. Man surrenders the actual will in the contract and what he gets back from the community is the real will.
2. **Real will:** It is higher and moral will of man which aims at the common good. It is rational, pure and perfect. It resides permanently in man.
3. **General Will:** The sum total of the Real Wills of all men in the community is known as General will. It is ethical and aims at the welfare of the whole society. The welfare is not physical betterment, on the contrary, it is the moral development of the community. Bosanquet defines it as, "the will of the whole society as much or the will of all individuals in so far as they aim at the common good". According to Green "It is common consciousness of the common good". It is represented by the government in a state.

Rousseau also distinguishes between the General will and will of all. He says, "The General will is always just and always aims at the public good, but it does not follow that

the deliberations of the people are always right. Man always aims at his good, but he does not always know what it is.....There is often a considerable difference between the General will and the will of all the former aims at the common interest and the latter aims at the private interest, and is only a sum of particular wills. But if we take away from these Wills the various particular interests which conflict with each other, what remains as the sum of the differences is the general will". General will is not formed by the quantity, it is determined by quality that is social good. In the words of Rousseau, "What makes the will general is less the number of voters than the common interest uniting them".

General will is distinct from the will of the majority. If the majority's will is for pursuance of some specific narrow interest, it is certainly not the General will. A man's will can be the General will if its objective is common good. The General will has the following attributes.

- i) The will of each individual is merged into the General will.
- ii) It is the common good of the community.
- iii) It is the willing surrender of individuals to the community and their opinion about the common good.
- iv) It is always right,
- v) It differs from the will of all, and
- vi) It is the ultimate source of all human laws.

5.4.1 Characteristics of General Will

1. **Indivisible:** The General will is rational and product of wisdom. It is free from all internal contradictions. It is a unity in diversity. According to Rousseau, "It makes and preserves the unity of the nation a character and it issues in those common qualities, which we ought to expect to find in the citizens of the state". It can not be delegated Rousseau believed in the form of Direct Democracy. Since the General will manifests itself in the expression of common people regarding common good, the representatives of the people can not be delegated this power.
2. **Inseparable:** The General will and the Sovereignty are very intimately related. Sovereignty, in fact is the nature of General will. Both can not be separated from each other.
3. **Permanent:** The General will is the consequence of reason and product of common good. It is neither irrational nor premeditated. It consists in human nature. It is more permanent than individual desire and force.
4. **Absolute and unlimited:** The General will is absolute. It has the unlimited power of legislation. It is beyond the control of any natural, divine or human law. The members of a society, without any distinction, are expected to render willing obedience to the laws of the state (General will).
5. **A Will Based on Reason:** The General will excludes the narrow, sectarian and selfish interests. It relates to the higher self of the individual where he is self sacrificing and devoted to common good. It is based on reason. It is ethical. It is the sum total of real will of all. According to Rousseau. "The General will is also just and rational

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because the vox populi vox dei.”

5.4.2 Importance of the Concept of the General Will

- i) Rousseau’s contribution in the form of the General will is very important. It has brought revolutionary changes in the realm of political thought. It lays down the dictum that will, not force is the basis of state.
- ii) It also establishes that the state is not a loose union of individuals, on the contrary, it is an organic and compact association. It has its own will and personality.
- iii) The theory of General will explains that the state is a natural institution. It is a natural expansion of our personalities.
- iv) The theory of General will is theory of democracy.
- v) It sets before the people a political ideal.

5.4.3 Criticism of the Social Contract Theory

The social contract theory stirred the era by its tremendous influence on the political development. It explained the origin, nature and functions of the state. It also explained different types of Sovereignty.

However, social contract theory was most severely criticised and condemned throughout the nineteenth century. Sir Henry Maine characterised it as the most worthless theory ever produced and put forth about the origin of the state.

5.5 EVOLUTIONARY OR HISTORICAL THEORY

The origin of social institutions is shrouded in obscurity. Theories concerning their origin are, at best, approximations to what might have taken place in the past. This is certainly true of theories concerning the origin and evolution of the state. In spite of a number of important theories of state origin, no single discussion seems to be adequate. In fact, modern sociologists have made it clear that social phenomena cannot be explained by reference to any single factor. As one of the multifarious agencies of social control, the state, in history, has passed through different stages of development. It is the product of steady evolutionary process, in which more than one factor participated. The generally accepted theory of state origin known as the evolutionary theory, is thus based on a ‘pluralistic’ explanation of political phenomena.

The state is a very complex institution. No single factor can be attributed as solely responsible for its origin. Like the complexity of structure, its origin was also complex. According to Garner, “the state is neither the handiwork of God, nor the result of the superior physical force, nor the creation of resolution or convention, nor a mere expansion of the family”. We will have to agree that all the factors mentioned by Garner did contribute to the origin of the state. Burgess says, “The state is a continuous development of human society out of grossly imperfect beginning through crude but improving forms of manifestation towards a perfect and universal organisation of mankind”. To determine a specific date of state’s origin in history is impossible. It is all shrouded in mystery. We can only say that the state evolved through many stages. It was helped by a number of factors in its evolution.

Today, however, writers like Laski do not subscribe to the theory of linear evolution

of the state. According to them, all societies possess some system of government for regulating the relations of individuals and safeguarding the interests of the group. Slowly and imperceptibly, the state developed from a simple to a complex type. In recent days, however, archaeology, philology and anthropology have contributed much to our knowledge regarding the origin of the state.

The most important forces contributing to the origin of the state are:

(i) Natural and Social Instinct; (ii) Kinship; (iii) Religion; (iv) Economic activities; and (vi) Political consciousness.

5.5.1 Natural and Social Instinct

Man is a 'social animal' by nature. Nature impels and necessity compels him to live in the society. According to Aristotle, "State originated in the bare needs of life and continues in existence for the sake of good life." In order to regulate the social life, some rules and regulations were framed for the individuals. At some later stage these rules and regulations took the form of laws. Slowly and gradually society became politically organised and it led to the evolution of the state. In this way the social nature of man helped in the evolution of the state.

5.5.2 Kinship

As MacIver says: "Kinship creates society and society at length creates the state. The role of kinship as an important factor in the evolution of the state. The primary social unit is the family. The primitive family took various forms, ranging from a condition approaching promiscuity to restricted groups within which intermarriage was forbidden." The members of a family are tied together by blood-relationship, and kin is a product of "the recognition of consanguinity." As the sexual impulse leads the young adolescent outside the known family circle, it culminates in the formation of a new family. The extension of the thread of blood relationship extends and subdivides the kin further and further. The feeling of unity and solidarity which is essential to political life is strengthened by such ties of kinship.

5.5.3 Religion

As a force in state-formation, religion played a vital role in history. Primitive men were at the mercy of the unexplainable natural phenomena like flood, lightning, thunder etc. In course of time, they came to worship these forces, imagining the hands of unseen agents behind them. "This primitive form of religion, called animism, was accompanied by fetishism, a superstitious belief in the effectiveness of material objects, and later took the form of nature worship, often developing into a beautiful mythology." Also, the culture of worship of the deceased ancestors was general feature of the primitive communities. Such religious forms ranging from animism to ancestor-worship served to promote tribal solidarity. Primitive religion, in fact, provided the sanction for law and government and ensured the unity and obligation of the group. Throughout history, the priestly class has exerted powerful influence in government and politics on the strength of the supernatural sanctions of religion.

In the primitive ages there was hardly any distinction between religion and politics. Common religious beliefs held men together and taught them reverence and obedience. The wide prevalence of the theory of divine right of kings, which has recently been

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abandoned amply proves the vital role of religion in the formation and continuance of the state.

5.5.4 Economic Activities

The economic activities of primitive peoples contributed greatly to the origin of the state. The activities by which men secured food and shelter and subsequently came to possess property and wealth facilitated the emergence of the state. Co-operation is the essence of every form of economic life. It demands conformity to certain recognised rules. The emergence of the idea of private property and the social distinctions based on wealth necessitated the adoption of new rules to cope with the changing situation. According to MacIver, the interaction of the forces of sex and property is highly significant in the building of the social structure. "The problem of the family, its permanence against the waning and variability of the initial sex-impulse, is solved by its association with the unswerving desire for the control of property." Again, exchange of commodities gave rise to occupation diversification. Wealth came to be unequally distributed and class-distinctions arose. For the regulation and protection of property rights and the settlement of property disputes new laws were created. Thus the economic activities of early peoples led to the rise of government.

5.5.5 Force

The role of force in state building has been stressed by a number of eminent writers. For instance, Marx viewed the state, as a creation of the 'dominant economic class' that uses it as a means of exploiting the masses. The origin and evolution of the state were similarly made possible by the interaction of antagonistic forces. In spite of exaggerated references to the role of force by some sociologists, historically speaking, struggle and warfare proved an important element in state formation. Early political organisations were rather simple, as those had to interfere little with the activities of the individuals. But, with the expansion of the group and the consequent weakening of the tie of kinship, the application of force was necessary for the maintenance of peace and order.

5.5.6 Political Consciousness

The evolution of the state has greatly been helped by political consciousness. Consciousness of common ends has always been present in human beings. It might at first have started in vague awareness of the efficacy of political organisation, to maintain peace and order. Thus customary laws began to take roots almost imperceptibly. When Aristotle characterised man as a political animal, he merely pointed out this spontaneous acquiescence of men in the imperative codes of social coordination. Later, however, in the process of development instinctive desire was more and more replaced by conscious purpose.

5.6 SUMMARY

The evolutionary theory, it is said, highlights the evolution and not the origin of the state. The purpose of this theory is to systematise the diverse forces and factors that contributed to the origin and evolution of the states in general. The operation of all the factors might

not have been uniform or necessary in particular cases of state building. Still some or all of these forces worked together slowly and imperceptibly facilitating the evolution of the state throughout human history.

As the state is a moving phenomenon that knows no finality, the political scientist can at best hazard a guesswork. The evolutionary theory does something more than that. It clearly shows that the state is neither the gift of God nor the deliberate work of man. The beginnings of the state “are lost in the shadowy past, in which social institutions were; unconsciously arising, and its development has followed the general laws of evolutionary growth.”

5.7 KEYWORDS

- **General Will:** The General will is the product of the contract. It emerges when people have surrendered all their rights to the community and the community contains hence forth, the General will. Rousseau explains the General will by elaborating two type of wills. He calls one as Actual will and the other as Real will.
- **Social Contract Theory:** “Social Contract Theory” was the result of a strong reaction against the theory of Divine Origin. The social contract theorists declared that the state was not a divine creation. It is created by men. It is a contrivance an artifice created by men to realise their own objectives.
- **Thomas Hobbes:** Thomas Hobbes was born in England in 1588, the year of Spanish armada. “In the year of Spanish Armada my mother gave birth to a twin-myself and the Fear.” Writes Hobbes, ‘Fear’ had been a consistently influencing factor in Hobbes. In the state of nature sense of insecurity and state of fear were the governing instincts.
- **John Locke:** John Locke was also born in England. He studied at Oxford and became a teacher. In the civil war his family supported the parliamentarians. Locke had a weak constitution. He was always endowed with love and affection by his friends and his family. His life was serene, peaceful and beautiful though physically he suffered from chronic phenomena.

5.8 REVIEW QUESTIONS

Essay Type Questions

1. State the criticise the social contact theory of Hobbes.
2. Discuss the evolution theory of a state?

Short Type Questions

3. Hobbes – Social contact theory
4. Historical or evolution theory
5. General will .

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5.9 SUGGESTED READINGS

1. Filchrist – Principles of Political Science
2. Gilchrist – Principles of Political Science
3. Gooch, G.P. – Political thought in England
4. John Locke – Second Treatise on Civil Government

Lesson 6

LAW, LIBERTY AND EQUALITY

Structure

- 6.0 Aims and Objectives
- 6.1 Introduction
 - 6.1.1 Meaning of Law
 - 6.1.2 Definition of Law
 - 6.1.3 Characteristics of Law
 - 6.1.4 Evolution or Development of Law
 - 6.1.5 Different Schools of Law
 - 6.1.6 Sources of Law
 - 6.1.7 Classification of Laws
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6.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand:

- Explain the characteristics and sources of Law
- Know the importance of Liberty and Equality
- Understand the safeguards of Liberty
- Discuss the conditions for the Realisation of Liberty
- Explain the Classification of Rights
- Understand the importance of Rights and Duties
- Delineate the Fundamental Rights and Duties.

6.1 INTRODUCTION

The term 'Law' is used in a variety of meanings. In physical world it is used to explain the sequence of cause and effect like the law of gravitation and chemical reactions. These laws denote the change from one stage to another stage. The uniform correlations of natural phenomena or events, whether they are causal or non-causal in nature are all laws of nature e.g. fire burns, heat expands, matter gravitates etc. Such laws are beyond the scope of Political science. In the world of human beings the laws are the guiding principles of human behaviour.

In this context they can be both moral and political. Moral laws are related with human tendencies and man's personal behaviour or conduct. They may be described as commands of our higher or spiritual nature. Laws of the state relate with external behaviour

of man. They are made and enforced by the state only. In Political science the law means those regulations which are made and enforced by the state to regulate external behaviour of men.

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6.1.1 Meaning of Law

Men live in society. They differ in their ideas, aims and ideals. Hence, there must be some 'uniform rules' to control their activities. These uniform rules which regulate human behavior are called laws.

The concept of law occupies a significant place of political theory. Law is closely associated with State that State without law is anarchic and law without State is meaningless. To MacIver, "the State is both the child and parent of law." Law not only prescribes the rules of behavior for citizens in the State but also provides a social order without which any civilization and economic development is possible.

The word law is derived from an old Teutonic root 'lag' which means something which lies fixed or evenly. The word law' is also associated with the Latin word 'jus' which again is associated with another word 'jungere' giving the meaning 'a bond' or 'tie'. The general meaning of law is 'a body of rules to guide human action.' It is the product of human interaction and endeavor.

The different meanings of the word 'law' may be classified as

1. Law means justice, morality, reason, order, righteousness, etc., from the point of view of society;
2. Law means statutes, Acts, rules, regulations, orders, ordinances, etc. from the point of view of legislature;
3. Law means rules of court, decrees, judgments, orders of courts, injunction, etc. from the point of view of judiciary;
4. Law means rights and remedies from the point of view of the decree-holders;
5. Law means duties, liabilities, obligations, etc. from the point of view of the judgment-debtor; and
6. Law means titles, written laws, judicial precedents, custom as evidence of law.

Generally, the term law is used to mean three things: First, it is used to mean 'legal order'. It represents the regime of adjusting relations, and ordering conduct by the systematic application of the force of organised political society.

Secondly, law means the whole body of legal precepts which exists in a politically organised society.

Thirdly, law is used to mean all official control in a politically organised society

6.1.2 Definition of Law

1) In its widest sense

Law is, in its widest abstract sense, any uniformity of events, or any rule of action.

Montesquieu says, "Laws, in the most extended signification, are the necessary relations which flow from the nature of things, and in this sense all beings have their laws; divinity has her laws; the material world has her laws; intelligence superior to human beings have their laws; beasts have their laws; human beings of their laws."

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According to Blackstone, “Law, in its most general and comprehensive sense, signifies a rule of action whether animate or inanimate, rational or irrational.”

As per Salmond, the term ‘law’ in its widest sense, “includes any rule of action, that is to say, any standard or pattern to which actions whether the acts of national agents or operation of nature are or ought to be confirmed.”

2) In Concrete Sense

i) Idealistic Definition: According to Salmond, “the law may be defined as the body of the principles recognized and applied by the State in the administration of justice.”

Gray says, “The law of the State or of any organised body of men is composed of the rules which the courts, that is, the judicial organ of the body lays down for the determination of legal rights and duties.”

ii) Positivistic definition: According to Austin, “A law is a command which obliges a person or persons to a course of conduct.” He further says, “law is the aggregate of rules set by men as politically superior, or sovereign to men as politically subject.” As per Austin, a law, in the strict sense, is a general command of the sovereign individual or the sovereign body, issued to those in subjectivity and enforced by the physical power of the State.

According to John Erskine, “Law is the command of a Sovereign, containing a common rule of life for his subjects and obliging them to obedience.”

iii) Historical definition: Savigny says, “Law is the rule whereby the invisible borderline is fixed within which the being and activity of each individual obtains a secure and free space.” He further says, ‘Law (Recht) is begotten in the people (volk) by popular spirit (volksgeist).’

iv) Sociological definition: Ihering defines law as the form of the guarantee of the conditions of life of society, assured by State’s power of constrain.

Pound defines law as “the body of principles recognized or enforced by public and regular tribunals in the administration of justice.”

v) Realist definition: Holmes J. says that “the prophesies of what the Courts will do, in fact, and nothing more pretentious, are what I mean by law.”

Salmond says, “Law is the body of principles recognized and applied by the State in the administration of justice.”

6.1.3 Characteristics of Law

- 1. A civil society is necessary for Law:** A civil society is necessary for law because it is the civil society which is well organised and requires a body of rules for its conduct.
- 2. Sovereignty is necessary for Law:** Law is the command of the sovereign. Without sovereign there can be no law.
- 3. Law regulates External behaviour of human beings:** Law is related with external activities not with thought or tendencies. The thought and tendencies are governed by moral laws.

4. **Obedience to the laws is obligatory:** Obedience to law is not optional. The violation of laws involves punishment which may extend even to death sentence.
5. **Public welfare is the main objective of Law:** General well-being is the aim of law. It is never intended to benefit only a segment of the society. It is this nature of law which makes it venerable.

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6.1.4 Evolution or Development of Law

Based on “the twelve conceptions of what law is” of Roscoe Pound, we can see the evolution or development of law follows :

1. At first, law is considered as the idea of divinely ordained rule or set of rules for human action, as for example, the Mosaic law or Hammurapi’s Code, handed him ready made by the Sun God, or Manu, dictated to the sages by Manu’s son Bhrigu in Manu’s presence and by his direction.
2. There is an idea of law as a tradition of the old customs which have proved acceptable to the gods and hence point the way in which man may walk with safety. Law is the traditional or recorded body of precepts in which the custom is preserved and expressed, Whenever we find a body of primitive law possessed as a class tradition by a political oligarchy it is likely to be thought of in this way, just as a body of like tradition in the custody of a priesthood is certain to be thought of as divinely revealed.
3. Law is considered as the recorded wisdom of the wise men of old who had learned the safe course or the divinely approved course for human conduct. The Demosthenes reduced the law of Athens in writing in a primitive code based on traditional custom.
4. Roman jurists conceived law as a philosophically discovered system of principles which express the nature of things, to which therefore, man ought to conform his conduct.
5. Law is looked upon as a body of ascertainties and declarations of an eternal and immutable moral code by some other philosophers.
6. There is an idea of law as a body of agreements of men in politically organised societies as to their relations with each other. In Athenian city states, such a theory of philosophical idea would support the political idea and the inherent moral obligation of a promise would be invoked to show why men should keep the agreements made in their popular assemblies.
7. Law has been thought of as a reflection of the divine reason governing the universe, a reflection of that part which determines the ‘ought’ addressed by that reason to human beings as moral entities, in distinction from the ‘must’ which is addressed to the rest of creation. Such was the conception of Thomas Aquinas during the Medieval period.
8. Law has been conceived as a body of commands of the sovereign authority in a politically organised society as to how men should conduct themselves therein, resting ultimately on whatever basis was held to be behind the authority of the sovereign. So thought the Roman jurists of the emperor had the sovereignty of the Roman people developed upon him, the institutes of Justinian could lay down that

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the will of the emperor had the force of law.

9. The historical school held that a system of precepts discovered by human experience whereby the individual human will may realize the most complete freedom possible consistently with the like freedom of will of others. They deviated from the theory of as command of the sovereign.
10. In the nineteenth century, men have thought of law as a system of principles, discovered philosophically and developed in detail by juristic writing and judicial decision, where by the external life of man is measured by reason, or in another phase, where by the will of the individual in action is harmonized with those of his fellow men. The opinion is held after abandoning the then prevailing natural law.
11. The economic interpretation of law considers that law has been thought of as a body or system of rules imposed on men in society by the dominant class for the time being furtherance, conscious or unconscious of its own interest.
12. Finally, there is an idea of law as made up of the dictates of economic or social laws with respect to the conduct of men in society, discovered by observation, expressed in precepts worked out through human experience of what would work and what not in the administration of justice. This type of theory likewise belongs to the end of the nineteenth century, when men had begun to look for physical or biological bases, discoverable by observation in place of metaphysical bases, discoverable philosophical reflection.

Thus, Pound presented the long history of law or the legal institution of the time and place in universal terms through his twelve concepts of what law is in his book 'An Introduction of the Philosophy of Law'.

6.1.5 Different Schools of Law

Different schools of law have attempted to explain the nature of law with their own point of views. Main among them are as follows:

1. The Analytical School: In explaining the nature of law, the analytical school analyses the contemporary and existing laws. Jean Bodin, Hobbes, Jermy Bentham, Holland and Willoughby are prominent thinkers of analytical school. These thinkers enumerate three basis attributes of law: (a) law is the command of the sovereign, (b) force is the basis of law, and (c) Law is related with external activities of man.

The writers belonging to analytical school of jurisprudence recognise only those rules as laws which are enacted by a sovereign authority. It is purely a legalistic approach which regards the legislatures as the only source of law. The role of customs and traditions in the realm of law is summarily rejected by these writers.

These views of law expressed by the analytical jurists have been criticised from several angles. Some of them are as follows:

i) The analytical approach to law is very rigid and legalistic. In the words of MacIver, "Law is the very antithesis of command, as that term is usually understood, for command separates the giver and the receiver, separates their status always and sometimes their interest as well. But law unites for it applies no less to the legislator than to those whom

he has authority to legislate”.

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H. J. Laski also admits that, “To think the law as simply a command is even for a jurist, to strain definition to the verge of decency. For there is a character of uniformity in law in which the element of command, practically speaking, is pushed out of sight”

ii) The analytical jurists do not recognise the importance of customs and traditions in law, in spite of the fact that law making is always influenced by customs and traditions.

iii) The analytical school of thought is more conservative and is averse to progressive approach. The law has to have the element of flexibility and adaptability in order to be relevant.

2. Historical School: Writers like Savigny, Sir Henry Maine, F.W. Maitland and Sir Frederick Pollock belong to Historical School. In their opinion law is the product of historical forces. It emerges from customs and traditions through historical evolution. Its existence is independent and the state is not the maker of law. The function of the state is not to make laws but to recognise them. In the words of Savigny, “Law is the organ of folk right. It moves and grows like every other expression of the life of the people it is formed by custom and popular feeling through the operation of silent forces, and not by the arbitrary will of the legislator”.

The historical school lays more emphasis on the historical aspect of law than its philosophical aspect. The writers of historical school give much importance to the customs and traditions. To them they are the only source of law. No authority whatsoever it may be, can ignore customs and traditions. Therefore, law is not law because it is the command of the sovereign it is the law because it is based on the will of the people.

The historical school has made a significant contribution in the sphere of jurisprudence. It explains to the legal theorists that the law has to be reformed to suit the changing socio-economic environment. However, the historical theory suffers from certain defects for which it is criticised.

The historical theory has given undue importance to the historical forces. It is conservative theory and fails to recognise the importance of philosophical aspect of law

3. Philosophical School: Rousseau, Hegel, Kant and Kohler are the thinkers associated with the philosophical school of jurisprudence. It views law in abstraction and justifies the law on the basis of reason and logic. It emphasises the ethical aspect of law. Hegel defined the law as ‘the expression of passionless reason’. Inner development is the primary objective of the law. In the words of Kohler, “The juristic philosopher is as much concerned with the ideal as with the actual content of the law. Law is both the product of culture and means for furthering it”. The juristic philosophers regard the law as an ideal. They ignore the realistic approach towards law.

4. Comparative School: Herbert Spencer and Morgan represent the comparative school of jurisprudence. This school believes in deriving the best elements of various legal systems. It is comparatively a new theory. The thinkers associated with this theory suggest that there should be a scientific comparison between the legal systems of the past and present. Whatever proves to be the best must be retained and the worst should be abandoned.

The comparative school of jurisprudence is a part of historical school. It also

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emphasises the analysis of past and present legal systems.

5. Sociological School: Sociological school of jurisprudence is the most recent theory of law the prominent thinkers associated with this school are Gumplovviz. Krabbe, Roscoe, Pound and Justice Holmes. These thinkers state that law is the result of social necessity. It should be studied in social perspective. Due Weightage should be given to the social factors and response of the social segments for the objective study of law. Law is the result of social conditions. It is made to regulate social life and to meet the demands of the society. The dynamic and organic elements in the law owe largely to the social forces. According to Gettell, "In contrast to analytical jurist, who found the sanction of law in the command of the state, to the philosophical jurists who found its sanction in inherent justice and to the historical jurists who found its sanction in established habit and custom, the sociological jurists find the sanction of the law in the social needs and interests it serves." Duguit holds that the sanction of the law is psychological. Man's activity in the society is always conditioned by social sanctions.

6.1.6 Sources of Law:Formally, the state is the only source of law. Legislature is the only organ in the modern states which is constitutionally empowered to legislate, but there are some other sources of law which are as important as the legislature.

By the sources of law we mean those elements which have contributed in the making of law. Holland has described six main sources of law. They are

1. Customs	2. Religion
3. Judicial Decisions	4. Commentaries
5. Equity	6. Legislation.

i. Customs: Customs are the oldest and the most important sources of law. In ancient times, it were the customs which regulated human relations in the society. They were observed because they helped men in maintaining peaceful existence. The state had no hand in their making. They evolved gradually and were regarded sufficient in the primitive life. But complex form of human life which was the natural corollary of development of civilization, necessitated some other laws.

By legal point of view, the customs cannot become law unless they are recognised by the state though the state hardly dares to defy them. According to MacIver, "The state merely writes new sentences here and there and scratches out an old one. Much of the book was never written by the state at all, and by all of it the state itself is bound, save as it modifies the code from generation to generation. The state can no more reconstitute at any time the law as a whole than a man can remake his body." the 'Common Law' of England is based on customs and is necessary part of the legal system there.

ii. Religion: In the ancient times customary laws and religious laws were intermixed. The customs had the sanctions of the law. The ancient Roman laws were merely the religious laws. Even to day the Hindu and Mustim laws are based on religion. According to MacIver the development of Greek law explains that the ancient laws were the assets of a particular race bequeathed to it by a divine power

iii. Judicial Decisions: The diversity of customary laws in a multi-racial community was confounding. It gave rise to many disputes. The disputes mainly arose because

there was incompatibility among the customary laws. Moreover, the customary laws were found inadequate in meeting with the requirements of the complex human problems. Under such a situation, a judge, having the knowledge of customary laws and capable of upholding justice was asked to adjudicate on such disputes. His decision was to be respected by the contending parties and the decision was to be recorded for future precedences.

Judicial decisions were and remain to be an important source of law. Though in modern democratic systems, the legislatures are the constitutional organs empowered to legislate and the judiciary, only interprets or adjudicates the laws yet the judiciary is some times, confronted with certain ambiguities in the laws. To over come it, the judiciary decides and becomes an informal channel of legislation. The American Justice Holmes had said, “The judges make laws and they have the authority too. In the US A. the scope of judicial decisions, forming the part of law is tremendous. They have made the constitution an organic, dynamic and flexible document and have, to a greater extent, solved the problems arising from the rigid nature of the constitution.

iv. Equity: Sometimes, the courts are confronted with the disputes about which the law is silent. Under such a situation, the courts decide the dispute taking recourse to equity.

Here, it is necessary to differentiate between Equity and Judicial Decisions. In judicial decisions the courts interpret only the written law, but in Equity, the judges decide on the basis of their discretion and equity. The former (Judicial decision) only interprets the existing laws but the latter (Equity) creates a new law. In British legal system equity has greater importance.

v. Commentaries: Commentaries on jurisprudence by eminent jurists are some times, in a few cases, recognised by the courts as a part of law and referred to by them while delivering the decision on any issue. According to Gilchrist, “They are not authority which find, but used as arguments to convince.” It should be clear that the scientific commentaries are not law. They are only law points. The jurists give some suggestion for future on the basis of their study of past and present legal systems. They point out the short comings in the existing law. Their suggestions become law when the courts accept them. Therefore, it is necessary that the commentaries should appear very appropriate and fit to all the legal experts to be recognised as the source of law. The commentaries of Coke, Black stone, Bentham, Hall, and Kant are appreciated by the courts in Britain.

vi. Legislation: Legislation is the most important and direct source of law. In modern times, the legislative function is performed by the legislatures. The scope of legislature in the making of laws has tremendously increased. Customary and religious laws are being replaced by the laws enacted by the legislatures. In the words of Woodrow Wilson, “Custom is the earliest fountain of law but religion is a contemporary, an equally prolific, and in the same stages of national development an almost identical source. Adjudication comes as authority itself, and from a very antique times goes hand in hand with equity. Only legislation, the conscious and deliberate organisation of law, and scientific discussion, the development of its principles await an advanced stage of its growth in the body politic to assert their

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influence in law making.” In spite of the decrease in the influence of other sources of law, they do not become unimportant. They exercise restraining influence on legislation.

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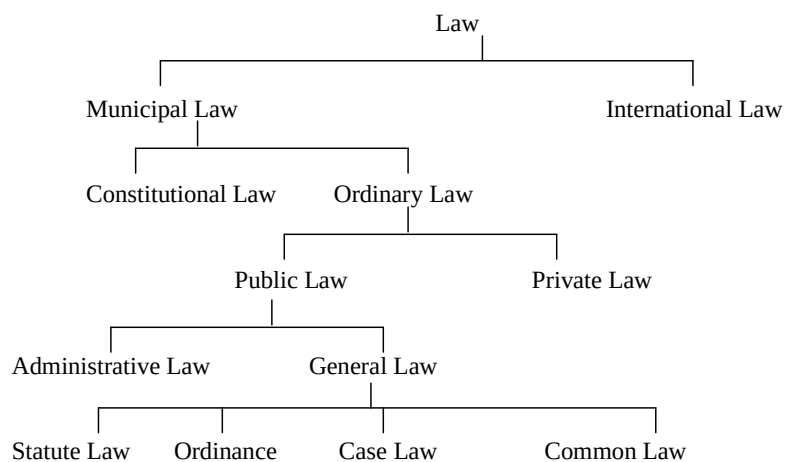
6.1.7 Classification of Laws

The jurists and eminent thinkers have classified the law differently. According to Holland law is of two types

(i) Municipal Law and (ii) International Law. The Municipal Law can further be classified in (A) Public Law and (B) Private law.

Gilchrist has enumerated six types of Laws—(i) Constitutional law, (ii) Statute Law, (iii) Ordinances (iv) Common Law, (v) International Law and (vi) Administrative Law.

MacIver has classified the Law as follows



The following are the different kinds of Law

1. **International Law:** Public International Law is the law that regulates the relationship among sovereign states in their mutual intercourse. Oppenheim defines it as, “Law of Nations or International Law is the name for the body of customary and treaty rules which are considered legally binding by States in their intercourse with each other.” International Law is a weak law as it is not enforced by any coercive authority. It is a law by courtesy. Holland regards it as ‘vanishing point of jurisprudence.’
2. **Municipal Law:** It is the law that applies within the territorial limits of a particular state. It is enforced by the sovereign and applies on all the people living in the territorial limits of the state. Municipal law regulates the mutual relations among the individuals and on the other hand the relations between the individuals and the state.
3. **Constitutional Law:** Constitutional Law is the fundamental political law of the state. It deals with questions involving organisation of state, distribution of powers and functions among various organs of state and relations between the rulers and the ruled and such other basic political questions. The constitution of a state is called the constitutional law. The constitutional law can be both written and unwritten. It can be both enacted and evolved.
4. **Ordinary Law:** All the municipal laws excluding the constitutional laws are called the ordinary laws. The ordinary laws are enacted by the legislature. Ordinary law is subordinate to the constitutional law of the state. In a state where distinction

between constitutional law and ordinary law is maintained, ordinary law has to be in consonance with the constitutional law. The procedures of amendment of the both also differ.

5. **Public Law:** Ordinary law has two kinds- Public law and Private law. Public law regulates the relations of individuals with the state. Different forms of crime are covered by the public law.
6. **Private Law:** These are the law which regulate the relations of individuals with one another. Civil laws, laws pertaining to property, sale and purchase of the property and laws regarding the business transactions etc. are called private laws.
7. **Administrative Law:** Public Law is of two types—Administrative law and General law. Administrative law regulates the behaviour of the officials in relation to state authority. They regulate the organisation and functions of the governmental officials, their powers and their relationship with the public in general.
8. **General Law:** Other laws excluding the administrative law are called the general laws. They deal with the relationship of private individual with another private individual. The state is not a party to it. It covers laws relating to marriage, divorce, contract, inheritance etc. The General law is divided into:
 - A) **Statute Law:** Statute Law is the law enacted by the legislature of a state for day to day administration.
 - B) **Ordinances:** The laws enacted by the executive under extraordinary circumstances are known as ordinances. They are temporary and adhoc. They can become permanent laws if parliament or legislature passes them.
 - C) **Case Law:** These are the laws created by the courts while adjudicating. The judges interpret the ambiguous clauses of the law with their discretion. These decisions become precedence for future.
 - D) **Common Law:** Common Laws are the customary laws. They are the results of old customs and traditions which were popular with the people. The court accepted them as parts of legal system. They are equal to statute laws in importance.

6.1.8 Law and Morality

Law and Morality are closely connected terms. Historically they are synonymous. Law was social morality enforced by the sovereign authority. References from ancient law books and scriptures reveal their inter-relationship. For example, in ancient India Dharma meant both law and morality. The ancient Greek political thinkers also used these terms to mean the something. Plato's contention that 'the best state is that which is nearest in virtue to the individual' reveals that law is not only based on morality but is itself the highest morality. Like Plato Aristotle also maintained that the sole objective of a state was promotion of morality through the system of laws. Wilson puts it as "Law is the reflection of the moral development of the state".

However, law and morality became distinct with the development of civilization. It was felt that the subjective issues like good or bad, higher or lower moral or immoral were beyond the jurisdiction of the state. They were the issue or concepts interpreted by the individuals and communities separately. The state on the other hand, became a separate political entity concerned with objective issues and expected to regulate only the external behaviour of man.

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6.1.8.1 Difference between Law and Morality

Morality encompasses the whole gamut of social relationships, individual's internal and external conduct. Law on the other hand is narrow in scope. It is not concerned with the totality of social relationships. It also does not extend to internal aspect of human behaviour. Obviously, a majority of human actions may be immoral but not necessarily illegal. Lie, envy and anger are immoral but are not illegal. No body can be punished for these. Unless a man causes a physical harm by his immoral actions, they are not illegal. A man, not violating any law by his actions, is right though he may not be moral.

The laws of morality are enforced by man's own conscience and public opinion. Neither force nor any punishment is used to enforce the moral laws. Only social condemnation and social boycott are the punishments against infringement of these laws. For example, if a man does not look after his old and dying parents he is condemned and looked down upon by the society, but the state can not punish him for the same. Law, on the contrary is enforced by the state and violation of the law involves punishment. The state may use even the force to enforce the laws.

A man's conduct is illegal only when his crime has been established in a court of law. A murderer may be declared innocent in a court of law due to the lack of evidence to substantiate his crime but he remains a sinner morally.

Law is more clear and specific than morality. Law is universal and applies on every one without discrimination. But the laws of morality are ambiguous and they differ from man to man. Every community has different concept of morality. An act may be immoral for one community but very moral for another community. Law is always uniform and has no such problem. In the words of MacIver, "There must be one legal code for all, but moral codes vary as much as the individual characters of which they are the expression".

6.1.8.2 Relation between Law and Morality

Morality represents the principles of good behavior. It deals with the principles of right and wrong. It relates to good and virtuous living. It is equal to righteousness and honesty. It is something which governs our internal actions. It is more concerned with our mind and soul than with our body. It changes from person to person and place to place and time to time. It is based not on the force of authority but on conscience and good will.

Law and morality are closely related to each other. In old days, law and morality were hardly distinguished from each other. The term 'Dharma' in India denoted both law and morality. The Greek thinkers Plato and Aristotle did not make any distinction between a political life and moral life. Good life, according to Aristotle, was the end of the State. But with the growth of the State as a distinct political organization, law came to be defined as a command of the State and thereby a distinction came to be recognized between law and morality. Machiavelli made a short distinction between law and ethics. For him, the State was not bound by the rules of private morality. What is moral and what is not moral for the State depended upon the exigencies of the State. Law today possesses a character different from that of morality.

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Law	Morality
1. Law regulates our external actions only.	Morality controls the entire life of man, his thoughts, motives and actions.
2. Political laws follow standards of expediency	Moral laws prescribe absolute standards of right and wrong, good and bad.
3. Law is based on force. Its violation is punishable by the State	Morality has no force behind. Its violation is not punishable by the state.
4. Law is precise, definite, clear and exact. It is universal and objective.	Morality is subjective. It changes from person to person. It is vague, uncertain and indefinite. Morality is based on individually.
5. In every State, there must be some authority like courts, legislature or head of State to interpret laws.	There will be no authority to interpret morality in a State.
6. Law is the subject-matter in political science	Morality forms the subject-matter of ethics
7. Law is made and enforced by the state	Morality is informed by the individual conscience
8. Laws of a state apply to the citizens living within that State only.	Morality has no territorial limits.
9. What is legally wrong is not necessarily morally wrong.	What is morally wrong is not necessarily legally wrong
10. Law is not connected with values. It is concerned with 'what is'.	Morality is related with good and just. It is concerned with 'What ought to be'.
11. Law is based on natural law.	Morality stems from human reason.

6.1.9 Rule of Law

'Rule of law' prevails in most of the countries of the world. It originated in England and later on became an accepted creed in almost all the democratic countries.

By rule of law we mean that the government and administration of a particular state is run in accordance with the law. It is not run by an arbitrary authority. No man or institution is empowered to award punishment to any individual arbitrarily. In other words all are under the law and none is over and above the law.

Dicey has specified three important attributes of rule of law. Firstly, it means that "A man may be punished for breach of law, but he can be punished for nothing else". In other words unless the accused is brought before a court and his guilt is proved and he is found guilty of breach of law, he can not be punished. No physical or financial loss can be inflicted on him. Secondly, rule of law means "Equality before the law or the equal subjection of all classes to the ordinary law of the land administered by the ordinary courts". It means that all the citizens whether private citizens or government officials

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are bound by the same law. Dicey says, "Every official from the Prime Minister down to a constable or a collector of taxes is under the same responsibility for every act done without legal justification as any other citizen". Rule of law is antithetical to administrative law which is prevalent in the continental countries.

Thirdly, the rights and liberties of the people are explained by the judicial decisions which are part and parcel of the rule of law and the constitution. According to Dicey, "The general principles of the constitution are the result of judicial decisions determining the rights of private persons in particular cases brought before the courts".

Among these rights, the right to freedom of thought and expression, individual liberty and right to organise public meetings are important. No citizen can be deprived of these freedoms unless a competent court, after giving every opportunity to the individual to defend him has found to its satisfaction that the accused is guilty of breach of a specific law.

6.1.9.1 Decline of the Rule of Law

The rule of law is an important part of constitutionalism and forms the basis of the British political system. The Indian political system has also adopted the rule of law. However, the scope of the rule of law is gradually shrinking. If the rule of law means the rule of the laws enacted by the parliament or legislature, then we will have to admit that in the day to day administration many things happen which are apparently antithetical to rule of law. The legislatures have become overburdened with enormity of the functions. A number of other causes like size, complexion, inexperience and preponderance of the executive have further limited the legislative powers of the parliaments. Therefore, the legislatures, generally, pass the broad outlines of the law and leave the details to be filled by the executive at its pleasure. It has resulted in the decline of parliamentary powers and scope of rule of law. The executive, on the other hand, has assumed more law making powers without any accountability to the people. It is regarded as an indispensable alarming trend and has been termed as new despotism.

Besides this there are certain other new developments in the political system which have further eroded the rule of law. In almost all the forms of the government, there is an apparent tendency to appoint Tribunals. The members of such tribunals are the bureaucrats or administrators. The very composition of the tribunals makes them unfavourable to the common man and there is every chance that the tribunals would have a partisan attitude.

According to Ivor Jennings the decline in the rule of law has been the consequence of changed socio-economic circumstances.

To-day the state no longer is a police state. It is not a negative instrument. The state is a positive instrument to bring socio-economic transformation. It has to regulate all the aspects of social life with an objective to develop human personality. Therefore, the welfare state should not be regarded as averse to the rule of law.

6.2 LIBERTY

Liberty or freedom is a very precious condition in a state without which individual can not develop his personality. It constitutes as one of the most important rights of man. It

is the natural instinct and is the basic thing that goes to make up the ethos of man and civilisation. Without it no one can attain happiness which is the true end of all human beings.

All the wars in the history of mankind, directly or indirectly involved the question of liberty. In the French Revolution of 1789 some eternal rights of mankind were pronounced. Among those rights, liberty was first and foremost. Even today, liberty is the determining factor of independence and slavery.

However, liberty is an abstract concept and as such it is difficult to give precise meaning of liberty. As Gilchrist writes, “Every one has a vague concept of liberty of some kind and a desire for it, but among ten people using the word, perhaps no two will be able to say exactly what they mean, or if they do say it, will agree with each other in their definitions”.

Meaning

The term ‘Liberty’ is derived from the Latin word ‘Liber’, which means free. It implies complete freedom to do what one desires to do. It is negative liberty.

6.2.1 Definitions: Some of the political thinkers has given very important definitions which are discussed in detail below:

1. **Sir John Seeley:** “Liberty is the Opposite of over Government”.
2. **H. J. Laski:** “I mean by liberty the absence of restraints upon the existence of those social conditions which in modern civilization are necessary guarantees of individual happiness”.
3. **Mackenzie:** “Freedom is not the absence of all restraints but rather the substitution of rational ones for the irrational”.
4. **Herbert Spencer:** “Every man is free to do that which he wills, provided that he infringes not the equal freedom of any other man”.
5. **T. H. Green:** “Freedom is the positive power or capacity of doing and enjoying something worth doing or enjoying and that too something we do or enjoy with others”.
6. **Ramsay Muir:** “Liberty means to secure enjoyments by individual or by associations of the power to think their own thought and to express and act upon them, using their own way under the shelter of the law, provided they do not impair the corresponding rights of others”.

6.2.2 Types of Liberty

Montesquieu says, “There is no word that admits of more various significations and has made more different impressions on the human mind than that of liberty”. However, certain types of liberty are generally accepted. They are:

1. **Natural Liberty:** Natural liberty is the synonym of licensing. It implies freedom from all restraints and social customs. The concept of natural liberty has been evolved by the thinkers associated with the Social Contract theory. They opine that man lived in the state of nature prior to the creation of the state. Man enjoyed a number of rights including the right to liberty, in this state of nature. The natural liberty, according to these thinkers, ended with the creation of the state. Man,

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according to the Social contract theorists are free by nature. ‘Man is born free, yet, every where he is in chains’. Hobbes, Locke and Rousseau thought that the Natural Liberty is that which men enjoyed in the state of Nature. With the evolution of social and political systems, the Natural Liberty came to an end. It is substituted by the Civil Liberty.

The concept of natural liberty had a great impact on the French Revolution of 1789. In later years also it exhorted the subject peoples to initiate a movement, sometimes violent, for their emancipation. Even to-day, it thrills millions of hearts and exhorts them to throw away the yoke of imperialist rule.

2. **Civil Liberty:** Liberty that enjoys in a society is called Civil Liberty. It means the liberty is the group of rights sanctioned by law to all the citizens. According to Gettel, civil liberty is a group of rights recognised and implemented by the state. State always protects through its agencies when ever any attempt is made to disturb the civil liberty by any individual or association. The state also lays down certain limits on civil liberty for social liberty and the interest of relation. Civil liberty always undergoes some changes, because man and society always change.

Civil liberty is the liberty granted by the society. In its wider meaning it is a complete set of individual right and in narrow senses it is the individual liberty beyond state’s intervention. We include security of life, ownership of property, equality before law, liberty of earning livelihood and liberty of thought and expression. All these liberties are generally incorporated in a written constitution so that the state does not violate them.

3. **Personal Liberty:** Personal liberty is the absence of all restraints from all those actions which do not infringe upon others’ liberties. It is a negative concept and is enunciated by John Stuart Mill and Herbert Spencer. Mill has divided an individual’s actions into two parts—self regarding action and other regarding actions. Mill accepts no limitations or restrictions on self-regarding actions. According to James Mill, “The sole end for which mankind are warranted individually or collectively in interfering with the liberty of action of any of their member is self protection. Over himself over his own body, mind and soul the individual is sovereign.”

Personal liberty is absence of restraint and negative in nature. No action of man can ever be exclusively self-regarding. Every action in its ultimate consequence turns out to be other regarding. If the state is empowered to interfere with the other regarding action it would mean that the state can lay restraints on self regarding actions.

4. **Political Liberty :** According to Laski “the power to be active in the affairs of the state is political liberty. Gilchrist regards political liberty as a synonym of democracy. Political liberty originates from those rights which the state grants to its citizens. There are many political rights in political liberty. They include the right to work, the right to contest in the elections, right to ruled the public offices, right to criticise government and right to petition etc., all these rights are essential for survival and success of democracy in the society. Access to these rights is political liberty. Political liberty is not an end but is a means to achieve moral life. Political liberty, according to Laski, depends on two preconditions that man is educated and the press is free. Through a free press the people have sufficient information to form the opinion. In the absence of a free press political liberty is reduced to farce.

- 5. Economic Liberty:** Economic liberty means that every one has a right to earn his livelihood. It also implies that the people should be provided gainful employment by the state. According to Laski it is “Security and opportunity to find reasonable significance in the earnings of one’s daily bread.”

Civil and Political liberties have no significance in the absence of Economic liberty, Therefore economic liberty is most fundamental of all liberties. In present times Economic liberty implies absence of unemployment, exploitation, unfair wage, substandard living, insecurity etc.

- 6. National Liberty:** National liberty means the right of a people to rule over themselves. It may also be called the absence of imperialism and colonialism. National liberty implies that every nation must have a right of self determination. A community organised on the bases of common race, culture, language and history has a right to be free from the domination of other communities and determine its own future.

The concept of national liberty became popular after the World War-I and was responsible for the emergence of independent states in Asia and Africa. Wherever there are subject nations, we may find in them a burning desire for national self-determination. This right has been recognised by the U.N.O. and incorporated in its Charter.

6.2.3 Conditions for the Realisation of Liberty

According to Laski, there are three conditions for the realisation of liberty. They are as follows

a) The first and foremost condition for the realisation of liberty is that there should be no special privileges in society. Freedom can not exist in the presence of privileges. A society having a privileged class is the very negation of liberty of other classes. Therefore, no person should inherit the privileges merely because he happens to be born in a feudal or rich family. All should have equal access to power and no one should be denied any right in the society because he happens to be born in a poor or less privileged family. The framers of the Indian Constitution were aware of this social constraint on liberty. Therefore, they incorporated certain provisions in the chapter dealing with the fundamental rights, as may facilitate the realisation of liberty. According to Laski, “Those who desire the good of all begin by the abolition of special privileges, special privilege is incompatible with freedom because the latter quality belongs to all alike in their character as human beings”

The presence of rights in the society is another necessary condition of liberty. There must be a social system where in everybody irrespective of his colour, creed, race and political belief has equal and common rights and these rights are not at the mercy of the ruling class.

There should be a responsible government which executes its functions judiciously. It should not be biased government. Laski means to say that a democratic government is the prerequisite of liberty.

6.2.4 Relationship between Liberty and Law

The writers and thinkers on liberty have no unanimity regarding the interdependence of liberty and law. Some writers say that liberty and law are contradictory. They are inversely proportionate. The More the number of laws, lesser the scope of liberty. On the other

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hand, there are some thinkers who believe that liberty and law are interdependent without a system of law in the society liberty is neither practical nor possible.

The anarchists, individualists and to some extent the socialists believe that law is the negation of liberty. The law making power of the state infringes upon the individual liberty. The anarchists contend that law is the greatest hindrance in the realisation of liberty and the state is the principal agency to destroy individual liberty. They suggest that either the state should be destroyed or its law making power is limited to the minimum. William Godwin writes that “Law is the institution of most pernicious type”.

The individualists oppose the state. They regard the state as necessary evil because it snatches away the basic liberties of man. In the words of Dicey, “The more there is of the one, the less, there is of the other”.

However, the emergence of the welfare state in modern times and with it the extension of the scopes of state activity covering all the aspects of human life has raised some doubts about the older concept. Law, now no longer, is regarded as a hindrance in the realisation of freedom. On the contrary, it is a vehicle to reach that loftier objective. Law promotes liberty in the following ways

- i) Protection from the interference by others: Society is mostly constituted of weaker people. The liberty of this weaker strata is always threatened by the rich and influential class in the society. The state has to safeguard the rights of these poor people.
- ii) Protection from state interference: The state is the very antithesis of human liberty. Whenever, the state endeavours to expand its power, man’s liberty becomes the first victim. The concern for safeguarding the individual liberties has been so great that the thinkers have devised a number of methods. One of the most popular methods is constitutionalism which means that the rights including the right of liberty be incorporated in a written constitution. They should be made inviolable and the Supreme Court should be empowered to protect these rights from executive or legislative incroachments.

6.2.5 Safeguards of Liberty

Even after acquiring liberty people must remain ever vigilant protect it from they conslaught of antisocial elements. As such liberty needs certain social and constitutional safeguards as mentioned below:

1. Enunciation of Fundamental Rights in the Constitution

Laski writes that the system of restrictions on the government is necessary to give concrete shape to liberty. The written constitution contains the explanation of government’s powers. It also creates a mechanism to check the power of the government. The fundamental rights incorporated in the constitution are therefore, the most important safeguards of liberty. It will not be out of place to inform that the fundamental rights mentioned in the third chapter of the Indian constitution are not of absolute nature. They have been subjected to a number of limitations and the courts are not empowered to exercise the right of due process. In spite of this the fundamental rights remain very important safeguard of people’s liberties in India.

2. Separation of Judiciary from Executive

Another safeguard of liberty is separation of judiciary from executive and creation

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of an independent judiciary. Montesquieu had suggested that complete separation among the branches of the government is a prerequisite of limited government. In a system where all the powers are concentrated in one organ, individual liberty becomes the first victim. The theory of checks and balances is also suggested to control the concentration of power and to create congenial circumstances for the protection of individual liberties.

3. Impartial and Independent Judiciary

To up-hold the constitution, to keep the government accountable to the constitution and to protect the fundamental rights in the constitution an impartial and independent judiciary is necessary. In the states where the judiciary is not independent the individual liberties are a farce. For example in the communist countries, judiciary is a part of the communist party and can not be trusted as a watch-dog of liberty.

4. Rule of Law

Rule of law is a powerful protective force to the liberty of people. It makes all people equal before law. By the rule of law we mean that all the citizens are equal before law and there will be no discrimination on the bases of caste, colour, creed, sex and race between man and man. The rule of law generates among us a feeling that the government is a part of the society. We begin to understand that the government is the representative which functions with certain processes and is not the master due to the powers implied in its authority. Laski agrees that the existence of privileged class in the society is the very negation of liberty. When every individual in the society is given the equal opportunity to develop his personality only then the liberty can be called real. Liberty is opposed to privileges.

5. Equality

In general, equality means to provide equal opportunity to all the people in social, economic and political activities without any discrimination of race, religion, caste, gender, community, language and region.

6.2.6 The concept of Equality

Equality is as old as liberty and is equally confusing. It is understood in many ways it has many facets, it can not be described easily and its contents define clear and precise definition. In popular parlance equality implies complete equality between man and man. It is wrong, According to Appadorai, "The statement that all men are equal is then, as erroneous as that the surface of the earth is level." Inequality appears to be more natural than equality. Men are unequal in their bodily proportion, strength, intellect and capacity. To assume such an equality is absurd.

To some, equality means equality of opportunity and absence of discrimination between man and man on the basis of birth, race, colour, creed and sex. Some include social equality and economic equality in defining equality. According to Sartori, "equality has so many facets and so many implications that after we have, examined it from all angles we are left with a feeling of not having really mastered it."

Equality is fundamentally a levelling process. It means that all men are politically equal and entitled to participate in the political processes on the basis of equality. There shall be no privileges to any class and all will be equal before law. According to Laski,

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“Whatever rights inhere in another by virtue of his being a citizen must in here and to some extent, in me also.” In other words liberty implies that all men must have equal rights. If one man has been deprived of some rights conferred to others as citizens then it would amount to referring equality to the man. In its negative meaning equality means the absence of privileges to some class. In positive meaning it implies that every individual should be given equal and adequate opportunities. Just opportunities does not mean equal opportunities. Since every individual is different from another, he requires different types of opportunities. Therefore, equality would mean extending such opportunities to the individual as may help him to develop his personality.

Therefore, equality involves, first of all, absence of legal discriminations against any one individual, group, class or race. In the second place it means the equal opportunities to all and finally it confers among all the right of education, house, food and other rights.

6.2.6.1 Kinds of Equality

Lord Bryce has enumerated the following aspects of equality

1. Natural Equality
2. Social Equality
3. Civil Equality
4. Political Equality
5. Economic Equality

1. Natural Equality: It implies that all men are born free and equal and are endowed with equal gifts and talents. It also means that the state should play a positive role to do away with inequality. It should not be a mute spectator to the operation of jungle laws in the society.

2. Social Equality: It means that all citizens are equally eligible to enjoy various opportunities in society. It also implies absence of privileges. All the Communities and functional groups in the society are equal and no one is inferior to another. Whenever, there exists superior inferior relationship between different social groups, it denotes social inequality.

The social equality can be enforced by law. It depends, to a large extent, on the degree of political development and modernisation. The backward societies ridden by casteism, communalism and racialism are unequal societies.

3. Civil Equality: Civil equality implies the availability of all the civil rights to all the citizens without any discrimination on the bases of caste, colour, creed, place of birth, religion and sex. There is equality before law and every citizen gets the equal opportunity to develop his personality.

Rousseau -“It is main goal of a civilised society to provide equality before law to all the people. If the safeguards provide by law and punishments are equal to all the people it means the prevalence of civil equality. Civil equality can be achieved when laws and judiciary are unbiased. The idea of civil equality is inherent in the modern society and states.”

4. Political Equality: Political equality means democratic rights. Political equality implies that all citizens should have political rights and should have equal access to

all offices of authority. It means universal adult suffrage, rights to form a political party, lead a political agitation, right to be elected and access to any office of authority on the basis of qualifications.

5. **Economic Equality:** Economic equality is more important in opinion of Lord Bryce. Economic equality means removing the differences in the distribution of wealth and an attempt to provide things equability to men and women.

Economic equality is to be considered to be the hall-mark of true democratic states in modern times. All other equalities depend on this equality. Economic equality implies that economic causes do not become a hindrance in the way of development of human personality. It implies that all the citizens should get economic minimum so that they develop their personalities unhampered. The means of production, consumption and distribution be so arranged that they are not concentrated in the hands of a particular class. The state should create a society where there exists no exploiter and exploited. Adequate scope of employment, reasonable wages, adequate leisure and other economic rights create economic equality.

6.2.7 Relation between Liberty and Equality

The values of liberty and equality attained much significance in the establishment of modern state. There is close relationship between liberty and equality. Lord Acton felt that if more significance were to be given by individuals and state to equality, there is every scope for liberty to lose its grounds. In his words, *“the passion for equality makes vain the hope of freedom”*. Those individuals aiming at more and more liberty do not like the intervention of government in public affairs. This gave birth to the theory of Laissez Faire with serious results.

Liberty is a condition of equality and vice versa. Liberty without equality is a license and anarchy and equality without liberty will be slavery. However, there is no unanimity among writers regarding the relation between equality and liberty. Some say:

1. **Liberty and Equality are Contradictory:** Lord Acton maintain that liberty and equality are incompatible. More there is liberty less there will be equality. According to Lord Acton, “The passion for equality made vain the hope for freedom.”
2. **There can be no equality without liberty:** The opinion that liberty and equality are contradictory is wrong. De Tocqueville and Lord Acton had a wrong conception of liberty. They accepted the negative liberty. The unrestrained liberty, obviously creates economic and social inequality. Liberty, as we have already explained, is not the absence of restraint. It is regulated in the interest of the society at large. Each individual in the society has to be given some opportunity to develop his personality.

Obviously, some restrictions on individual liberties become necessary. Restrictions on the stronger ensures the liberty of weaker and restrictions on the rich ensures the liberty of the poor. “The liberty of the weak depends upon the restraint of the strong; that of the poor upon the restraint of the rich.” Every man should have this liberty and no more, to do unto others as he would that they should do to him therefore liberty implies that no body in the society should be at the mercy of another and every body must get equal opportunity to develop his personality. There can not be equality unless people fully enjoy their liberty.

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3. **Liberty is meaningless without Equality:** Liberty without equality is a farce. Civil liberty can only be enjoyed when all are treated equal before the law. Political liberty implies equal status for all and admits no discrimination on caste, colour, creed, religion, place of birth and sex bases. Economic inequality is the negation of political and civil liberties. In an unequal society there can not exist any liberty. In the words of Pollard, "There is only one solution of the problem of liberty and that is equality."
4. **Both Liberty and Equality have the same goal:** Liberty and Equality are closely related. Both have the same goal which is the development of human personality. Without liberty there can be no equality and vice versa. The welfare of the whole society, is dependent upon the common level of liberty and equality.

6.3 THEORIES OF RIGHTS AND KINDS OF RIGHTS

The existence of the rights and duties is inevitable for the all round development of the individual in democratic countries. There is an innate relation between rights and duties. The rights are not intended for the selfish ends of the individual. The rights are no other than a form of responsibilities which all the individuals should bear for the welfare and progress of the society. Every individual in the society must recognise and respect the rights of the fellow individuals. He must understand that others also must enjoy such rights whom he intends to have. When the rights enjoyed by the others are very much similar to his rights, no individual should cause hindrance to others rights. If the citizens fail to mutually respect the rights of one another social life becomes a problem. Rights are essential for the all-round development of the individual and the progress of the society.

Meaning: Rights are essential conditions of our social life there are necessary for the overall development of human personality. There are external conditions. Rights define the position of the individual in a state. They offer a positive purpose to the state. The rights are not a real right unless recognised by the state. Recognition by state, therefore, is necessary for the existence of rights.

Rights are essential conditions for good life in society. They help in the all round development of people and their personality. Rights are those conditions of social life which man cannot be at his best or give of his best or what is needful to the adequate development and expression of his personality. Political thinkers defined the term 'Right' vividly as given below:

6.3.1 Definitions

- Wilde-"A right is a reasonable claim to freedom in the exercise of certain activities."
- Barker-"Rights are the external conditions necessary for the greatest possible development of the capacities of the personality."
- Laski-"Rights are those conditions of social life without which no man can seek, in general, to himself at his best."
- Basanquet-"A right is a claim recognized by society and enforced by the State."
- Gray-Right is "that power which a man has to make a person or persons do or refrain from doing a certain act or certain acts, as far as the power arises from society imposing

a legal duty upon a person or persons.”

Herbert Spencer says, “Rights are ‘legally protected interests.’”

Salmond—“A right is an interest recognized and protected by the rules of right, that is, by legal rules.”

6.3.2 Nature of Rights [Features of Rights]

1. **Right is a condition or a disinterested wish:** Rights are necessary for the well-being of an individual. A right is not a selfish claim. Hobhouse says, “rights are what we may expect from others, and others from us and all genuine rights are conditions of social welfare.” A right is a disinterested wish. A disinterested wish of the individual acts in the best interest of everyone. It is also recognized by one and all as quite legitimate and essential.
2. **Rights can be enjoyed only in the society:** Rights imply that the individual good could be realized along with the common good. No person can enjoy rights outside the social life. A right is what an individual can have from others. Hence, there is no question of having anything when a man is alone. Outside organized society, rights become ‘hopeless abstraction’. Our rights are not independent of society as they are inherent in society.
3. **Rights are claims recognized by the State:** Hobbes and Bentham define rights as claims recognized by the State. All the rights conferred upon a citizen at a given time depend upon what the laws prescribe. We know for certain what are our rights because we are members of the State and the State recognizes them. Laski says, “Rights are prior to the State”. The State does not create rights, it only recognizes them.
4. **Every right has a corresponding duty:** Rights imply duties. Rights and duties are like two sides of the same coin. Laski says, “he that will not perform functions cannot enjoy rights, any more than he who will not work ought not to enjoy bread.” Performance of duty becomes obligatory for every member of society, and failure to do so, will be visited by a penalty. Rights cannot be enjoyed without performing duties.
5. **Rights have limitations:** No right is absolute because when a right enjoyed by the individual causes inconvenience or danger to the peaceful and normal life in the State, restrictions may be imposed.
6. **Universality:** Rights are universal in their nature. When they develop the individual’s personality, they must be provided to all the citizens irrespective of caste, colour, religion, race, language, region or sex.
7. **Utility is the basis of rights:** Rights involve the question of utility. Any right should be useful to all or should benefit one and all. Laski says, “the utility of right is therefore its value to all the members of society.” Just because an individual is granted he cannot use them as he likes. For example, the right to freedom of speech cannot be a means to spread rumours or scandals. The moral development of the individual must be the aim of rights.
8. **Rights are correlated with functions:** Every person must contribute to the society through the performance of certain functions. No person can act unsocially. Laski says, “Function is thus implicit in right, in gratitude to the conditions provided by the

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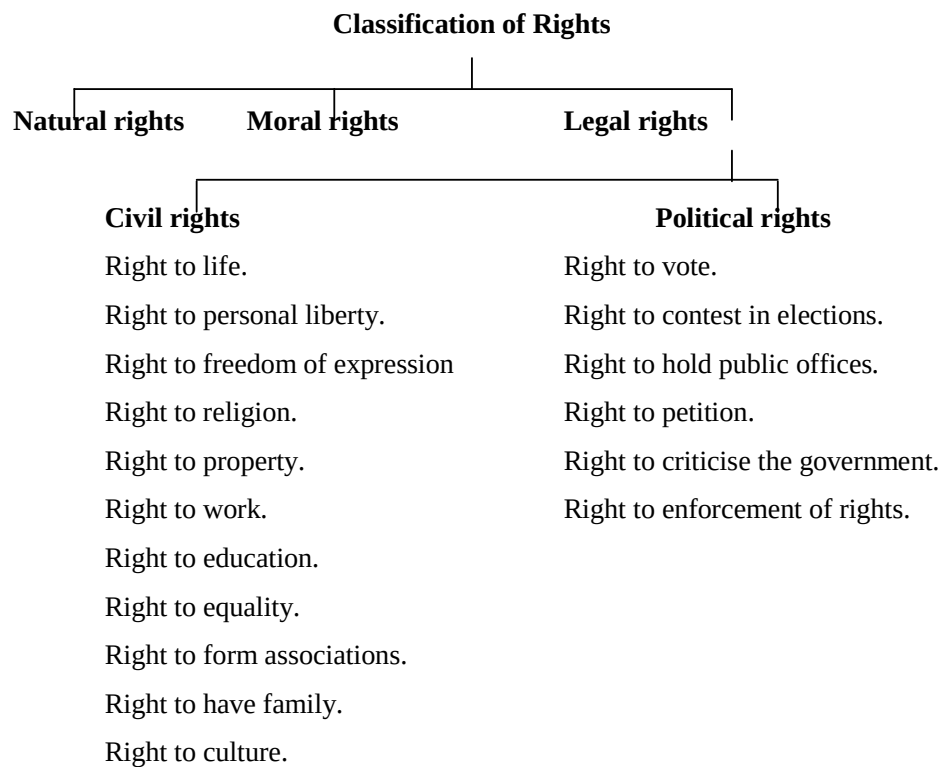
State the individuals should make a contribution that enriches the common stock.”

9. Rights change from time to time: Rights once enjoyed by only some people are enjoyed now by all. As society changes and the nature of State also changes, rights once not recognized, have been extended. Women did not have equal rights with men at one time. But, now the situation is altered. Rights are not permanent. They change according to the changing conditions society.

10. Democracy upholds rights: Rights can be enjoyed in democracy only. Liberty is the theme of rights and it is an important ideal of democracy. Dictators expect the citizens to perform duties only and give greater importance to the nation than to the individual.

Laski states, “any system of rights, therefore, has three essential aspects from which it must be regarded. There is the interest of the individual, always, at least ultimately, finally isolated from his fellow men. There is the interest of various groups in and through which his personality finds channels of expressions. There is the interest of the community which is the total result of the whole preserve of social force.”

6. 3.3 Classification of Rights



I. Natural Rights

Natural rights are those which man gets with his birth from nature. Men have been enjoying these rights since the inception of the society. The society and the State recognise and respect them. The theory of Natural rights was first enunciated by the Greek Philosopher Hugo Grotius. Hobbes, Locke and Rousseau called contractualists, who expounded the theory of social contract gave a detailed explanation and analysis of Natural rights theory.

The essence of the Natural rights theory is that only men conceded some rights to the civil society. Man enjoys natural rights without reference to society and State. Right

to life is the most important of all rights. The declaration of American Independence was based on the theory of Natural rights.

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II. Moral Rights

These rights are morally ascribed to men in society. The ethical principles in the society are the basis for the moral rights. Moral rights do not have the support of or protection from laws in the State. But these rights are supported by society and any violation results in punishment by it. The State cannot neglect the moral rights for a long time. The laws made by the State have to invariably recognise the moral rights respected by the people. If the State fails to recognise moral rights consolidated in society, the people may rebel against it. Such rebellions may take the form of a revolution.

III. Legal Rights

Legal rights are those recognised by the State and protected by the law. The courts of law protect the rights provided by State without being disturbed either by government or individuals or other associations. Legal rights are equally applicable to all without any discrimination on the basis of caste, religion or race. There will be some changes in the legal rights as per the changes in the needs of society.

Legal rights are two types

1. Civil rights and
2. Political rights.

1. Civil Rights

The main aim of the civil rights is to provide the basic conditions to lead a happy social life. These rights create social conditions needed for the protection of the life and property of the individuals. The civil life is possible only with these rights. The following are important civil rights.

- i. **Right to life:** This is the most important among civil rights. One has to protect his life to enjoy civil rights. This right means that one has necessarily to live and must not commit suicide. Due to this right, the people can protect their lives from aggression by others, even by brute force in extra-ordinary conditions.
- ii. **Right to personal liberty:** Every citizen in the State wants to be independent. Right to personal liberty provides such opportunity. This right also provides the liberty and freedom to enhance his talents and efficiency and also to discharge his duties towards the society. The government may place certain limits on this right. For instance, restraints on civil rights were imposed in India in 1975 during the period of National Emergency.
- iii. **Right to freedom of expression:** This right is the most valuable of all the civil rights. This provides scope for the individuals to express their opinions mutually, freely and without fear. The freedom of speech and freedom of press are included in this right. The press makes the people dynamic by influencing their opinion. All the democracies recognised this as the most valuable right. This helps for the success of democracy.
- iv. **Right to religion:** Right to religion is one among the civil rights. Most of the modern States are secular States. It means they follow a policy of neutrality towards

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religion. States have no discrimination on the basis of religion. All the religions are treated alike. The States do not have any official religion. The people can follow any religion as per their wish. They can embrace, follow and preach any religion or give it up. It means people can have complete freedom of religion. But, this freedom must not turn into fanaticism and express disobedience to the government. The citizens must have religious tolerance and they must respect and try to understand the other religions. The Indian constitution provided the right to freedom of religion and declared itself a secular State.

- v. **Right to Property:** This is another important civil right. Property is very much essential for a happy life. As a result of this right, every individual enjoys the freedom to acquire, enjoy, donate and sell away the property by all legal means. This right provides happiness and security to the individuals. But recently, there are certain criticisms against this right. The socialists think that the right to property makes equality impossible and hence it should be removed. The communists argue that the society will be bifurcated due to the right to property and hence it must be abolished. Most of the countries imposed restraints on this right.
- vi. **Right to work:** This has a respectful place in the modern States. This right provides opportunities and facilities for an individual to live. An individual cannot be perfect if he were to be denied of the right to work. This right provides opportunity to lead civilized life and to get wages proportionate to work. This right decides the working hours per a day. The government has every responsibility to see that every citizen is provided some work and gets the proportionate wages as per his work. By this right every individual will have scope to better his life by acquiring the minimum needs of food, clothing and shelter. All the modern States are trying a lot to provide work to all their citizens.
- vii. **Right to Education:** In the present State, there is every need for each individual to be educated. Education promotes etiquette, good behaviour and humanism. Education provides opportunity to every citizen to be educated as per his capabilities and efficiency. All the democratic States are giving significance to right to education. If the citizens are educated, democracy can be fruitful.
- viii. **Right to Equality:** All individuals are equal by birth. The natural differences cannot be called inequality. Equality means no discrimination in the State, between individuals, groups, sections or tribes, as per law. Right to equality indicates equality. All the democratic States function on the basis of equality. State provides all the people security and equal opportunities. The State must not discriminate citizens due to the differences in caste, religion, community and gender. The right to equality is mentioned as one of the fundamental rights in the constitution of India. On this basis, all the citizens of India are treated equally by the State.
- ix. **Right to form Institutions and Associations:** The individuals have the right to form the institutions and associations as per their need. Society includes different associations, social, economic, cultural and religious. Man cannot achieve much by simply being a member of the State. He can achieve integrated development and blossoming up of personality by being the member of different associations. That is why, the citizens have to form institutions and associations. All these institutions

and associations function under the control of the State.

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- x. **Right to family:** This civil right provides opportunity to have one's own family. Family is the first stage in the evolution of human society. Family is the basic social institution. Man can have family through the sacred bond of marriage. This right provides scope to marry, bear children and form a family. State controls this right when it is used for anti-social purposes.
- xi. **Right to contract:** The right of individual to enter into a contract with another individual or groups of individuals can be called right to contract. Right to contract is basic for social life. This right strengthens the trade and commerce. The State recognises this right and regulates the same.
- xii. **Right to culture:** Due to the right to culture the individuals can protect their language, script, culture and customs and traditions. By this right everybody can protect his own culture. This right also helps to promote unity in diversity on the basis of their cultures. The cultures of the minorities also survive along with the cultures of the majority. A cultural synthesis between the major and minor groups makes national integration easy.

2. Political Rights

The political rights are as important for political life, as the civil rights to the civil life. The political rights are very much significant in the democratic countries. The sharing of the people in State rule and activities of the government is possible only through the political rights. Political rights create political consciousness among the people. As a result, the representative government becomes a good one giving happiness to the people. The six types of political rights are detailed below.

1. **Right to Vote:** Almost all the modern States are democratic States. The right to vote originated in democracy. Every adult citizen and take part in the formation and running of the government, directly and indirectly, without discrimination of caste, religion, community and gender. There is much importance to this right in democracy. Democracy, whether direct or indirect, forms the government on the basis of adult franchise. Adults mean women and men who cross certain age limit. This age limit is decided differently in different countries. For instance in India those who cross 18 years of age are considered to be adults. They have the right to vote. Formerly this right to vote was limited only to some or to a few sections in States. But now in the modern States it is universal adult franchise in practice.
2. **Right to contest in elections:** Right to contest in elections is another parallel right that exists for the survival of democracy. It is another necessary right to the citizens. The main aim of this is to provide opportunities to all the citizens without discrimination on the basis of race, religion, caste, section, community and gender to contest in elections and become representatives of people in legislatures. The State prescribes certain minimum qualifications to enjoy this right. The citizens can contest in elections subject to this condition.
3. **Right to hold public offices:** This is another political right in a democracy. The main aim of this right is to provide all the citizens without discrimination, opportunities to hold public offices involved in State administration at different levels. All persons

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either rich or poor are qualified to hold these positions. But efficiency and education are the only basic qualifications. Due to historical and social reasons, the governments of some States provided special opportunities to certain sections. For instance the Government of India provided reservations to the members of scheduled castes, scheduled tribes and backward classes as a temporary measure.

4. **Right to petition:** There is a scope for the people in the modern States to represent their problems and inconveniences to the government through petitions. This is called as the right to petition. By this right people can get their problems solved by representing to the government either individually or collectively. The democratic government cannot afford to neglect the necessities and desires of the people. Democratic governments can progress only by knowing and satisfying the needs of the people. In direct democracy, a prescribed number of people can propose legislation to the government directly. It is called as initiative. In the representative or indirect democracy, the problems are presented to the government through their respective representatives to the legislature.
5. **Right to criticise the government:** In every democracy there must be scope for reasonable and constructive criticism. Then only, the Government can vigilantly discharge its duties. It strengthens the system of democracy. According to J.S. Mill, the government can behave responsibly when there is a scope to criticise the government. This criticism can also be found in the civil rights like freedom of speech and freedom of expression. The governments can rectify its errors on the basis of such criticism and function more efficiently in discharging duties.
6. **Right to enforce rights:** All the civil and political rights remain meaningless, if there is no right to enforce rights. The citizens can move the courts of law to implement the fundamental rights enshrined in the Indian Constitution. The Higher courts of law take action through directives, orders, writs like Habeas Corpus, Mandamus, Prohibition, Quo Warranto and Certiorari to implement the fundamental rights.

6.3.4 Fundamental Rights

Even though the rights, which came into existence for the social welfare, can change as per the place and time, there are certain rights which cannot change under ordinary circumstances. If such rights are not there, the life of the individual becomes difficult and meaningless. That is why, the constitution of every country mentions certain rights as fundamental rights. Even though most of the countries in modern times are democracies with the rule of the majority, at times, the interests of the minorities are neglected. The fundamental rights protect the minorities in such cases from the majority government. Security is provided through courts of law. The courts of law protect the fundamental rights from the narrow party-politics. The framers of the Indian Constitution included the fundamental rights in the constitution and achieved the political purpose. The fundamental rights are included in the constitution with an aim to achieve unity in diversity and to provide security to the minorities racial, religious and linguistic.

There are **six** fundamental rights in the constitution of India. They are

1. Right to equality

2. Right to freedom
3. Right against exploitation
4. Right to freedom of religion
5. Culture and Educational rights
6. Right to have constitutional protection.

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Formerly, the right to property was one among the fundamental rights. But later it became one among the ordinary rights.

6.3.5 Theories of Rights

6.3.5.1 National Theory of Rights [Theory of Natural Rights]

The theory of natural rights is considered to be the oldest theory of rights. The exponents of this theory are John Locke and Thomas Paine and advocated by the authors of social contract Hobbes and Rousseau. The liberal scholars of 17th and 18th centuries have supported the theory of natural rights. The theory of natural rights also influenced the French and American revolutions. The natural rights are pre-political and pre-social. Its base was essentially non-justice.

According to the theory of Natural Rights, rights come from nature and are not created by any human agency. Rights are built on the law of nature, which is universally accepted. Cicero says, "Civil law should conform to the law of nature that is universal, national, eternal and immutable."

Natural rights pre-exist in the individual. It means rights are sanctioned not by law of the State but by the moral consciousness of the community. Giddings says that natural rights are socially necessary forms of right, enforced by natural selection in the sphere of social relation.

Thomas Paine says that the rights to 'liberty, property, security and resistance to oppression are based on natural rights. Herbert Spencer argues that the process of evolution shows that all men have the fundamental right to equal freedom, which enables them to do what they want. Such right comes from nature and not from any human agency like the State.

The theory of Natural Rights has played a very important role in the history of human development. It goes back to the Greek and Roman times. The Stoic philosophers spoke about natural rights and their writings influenced Rome. Cicero in Rome was a staunch supporter of the principle of natural law. He declared that the rights are the product of law of reasoning which promoted universal brotherhood. The theory played an important role in 17th and 18th centuries.

Locke, the greatest champion of the theory of natural rights says that nature has made all men free and rational. It has given him rights like right to life, liberty and property. The individual enjoyed the rights in the state of nature, that is, before the political State was born. These rights were called natural because they did not depend for their validity on the recognition and enforcement by the State.

According to the social contractists, the State originated to protect their rights. In their view, the existence of rights is sanctioned not by the law of the State but by the moral will of the society. Individualists also believed in the theory of natural rights. The

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sociological thinkers have given a sociological interpretation to the concept of natural rights. According to them, natural rights are those freedoms of man which are conducive to the most effective functioning of society. In modern times, Dworkin's thesis of fundamental right is similar to that of the theory of natural rights. According to Dworkin, the rights are found in guarantees of due process and equal protection, which call for respect, fairness and equality. According to him, 'Fundamental Rights' represent the promise by the majority to minorities that their views on this will be respected.

Natural rights have been used in three different contexts. In the first context, it is used in the sense that these are the rights which an individual enjoyed in the state of nature. In the second context, the rights are natural to man and are inherited by him. They are parts of his life and require no elaboration or justification. In third context, it is used in the sense that the rights are based on the law of nature. Their validity is natural and requires no elaboration or ration or human enactment. In all the three contexts, one thing is very clear that natural rights are treated as birth right of a man and that no social and political institution should destroy them.

The theory of natural rights contains a large amount of truth. It is proper to interpret that natural rights stand for those rights which work for man's good and create opportunities for his development. This theory holds that natural rights are necessary for man's ethical and moral development. In this concept the natural rights theory is very valuable. It became very popular in upholding the freedom of individual against the authority of State.

Criticism

The theory is criticized on the following grounds

- 1) The theory of natural rights is very vague and it is difficult to give a precise meaning of the term 'natural'. Different writers give different interpretations to natural rights. It is also not practicable to make a list of all natural rights on which all political thinkers agree.
- 2) It is not correct to think that rights are independent of society. There is no possibility for rights to exist without society.
- 3) The theory ignores the importance of State as a source of rights.
- 4) Natural rights conflict with each other. For example, liberty and equality oppose each other, though they both are natural rights.
- 5) Rights are not static. They keep on changing with the changing social needs.
- 6) The theory of natural rights lays undue emphasis on the "state of nature" and ignores nature of rights.
- 7) It is believed that the natural rights are absolute in nature. But in actual practice, no right can be absolute. Each right has a corresponding duty.

6.3.5.2 The Legal Theory of Rights

The legal theory of rights was propounded by Hobbes, developed by Bentham, Austin, Holland and supported by Ritchie and Salmond. Legal theory of rights says that the State is the source of all rights. According to this theory, rights are not the gift of nature. Rights are the creation of the State, and are whose member-brings rights to

man. They emerge from the State and are maintained by the State. The State makes laws and laws create rights. The individual owes every right to the State and has right against the State. Certain rights are incorporated into the Constitutional law of the land and such rights are called 'fundamental rights'.

The main features of the legal theory of rights are

- 1) Since the State is the only source of rights, the rights are not prior or anterior to the State;
- 2) The State provides a legal machinery to guarantee the enjoyment of the rights accorded by it; and
- 3) Rights are dynamic. Whenever the content of law changes, the substance of rights also undergoes a change.

Criticism

- 1) All rights are not derived from law. Law only protects the rights which are based on religion, customs and justice.
- 2) State is not creator of rights but, it only recognizes them.
- 3) The theory does not explain whether the State is right in giving certain rights and ignoring others,
- 4) It leaves the individual at the mercy of the State. It makes the State absolute. Man has rights against State too.
- 5) Individual liberty may be curtailed in the name of public welfare.
- 6) Man enjoys rights not only as a member of the State but also as the member of other numerous associations.
- 7) Pluralists argue that membership of the State also does not confer rights on the individuals.

However, rights are effective only if they are supported by the State through laws. The State will support only such rights which are recognized by it.

The theory of Legal Rights consists of two sub-theories namely, (i) the will-element theory of rights and (ii) the interest-element theory of rights. The will theory says that the purpose of the law is to allow the free expression of the citizens will. Austin, Holland, Pollock and Vinogradoff define rights in terms of will. The other theory is that propounded by Ihering. He defines legal rights as a legally 'protected interest.'

6.3.5.3 The Idealist Theory of Rights [Personality Theory of Rights]

The idealist thinkers such as Kant and Green say "rights arise from certain claims which originate in the consciousness of man." It says that the state recognizes only those rights which are moral and which promote the social welfare. Rights are based not on laws but on morals. Rights are regarded as essential for the internal progress of man and they help for human perfection. Man is rational dual and aims at the welfare of himself as well as the whole group, even if man cannot be believed to be objective all of a sudden experience makes him to be accommodative and sociable. Thus, the real will of the society comes out gradually from the real will developed by the individuals. The theory is also called 'The Personality Theory of Rights'. It considers that the supreme right of

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every man is the right of personality. Perfection of personality is the end and in order to achieve this end all rights are directed and subordinate to it. The theory links rights to moral development of man and looks rights essentially from ethical point of view. Without these condition conditions it is not possible for the individual to live and realize his full stature. These opportunities or rights are to be enjoyed by the individual and society. Hence, they are to be understood in a social context. Just as the individual wants to develop his personality, others in society also have the same aim and, therefore it is implied that rights in a society and the rights of individuals should be in harmony with those of other rights and are to be linked with the individual good and the common good of all.

The idealist theory of rights discloses three important facts

- 1) Every right has a corresponding obligation, i.e., an individual's right of self development should not interfere with the right of development of others.
- 2) The rights arise in society; they are inherent in the nature of man which is to will his own good. To will his own good implies the good of others also since an isolated good of the individual is not possible.
- 3) Individual rights are subordinated to the fundamental rights of man's perfection. The society should see that the enjoyment of man's rights helps him to attain the perfection of his personality. If anyone of his rights does not help him towards reaching the end, society can deprive him of the enjoyment of that right.

The German idealist philosophers supported this theory. T.H. Green (1836-1882), an idealist thinker of England is the champion of this theory.

6.3.5.4 Green's Theory

According to him, State represents the natural growth with an ethical end. The State is the product of human consciousness. The aim of man is self realization and the primary means to achieve this end is freedom. However, the individual does not merely will his own good. He also wills the goodness of society as a whole. It involves a system of rights because each claims from others and in return recognizes in others the power of pursuing ideal objectives. Rights of individuals are not a result of any contract. But, they interest the individuals only as members of society which gives its recognition of each right. Thus, society which represents the sovereign authority is based on the consciousness of a common end. Therefore, it is common consciousness that creates both rights as well as sovereignty. The national basis of a State is will and not 'force' though the State uses force to ensure rights and to create freedom which is necessary for the fulfilment of the moral end in society.

T.H. Green says that rights are powers necessary to the fulfilment of man's vocation as a moral being. A right is the claim of an individual to will his own ideal objects. It arises from the self-consciousness of an individual. No one can have a right except in society.

The characteristics of Green's Theory of Rights are

- 1) Rights are created by the moral consciousness of the community and enforced by the State.
- 2) The rights may be termed as natural in the sense that they are necessary and

indispensable means to an end which every rational and moral being should pursue for the fulfilment of his vocation in a rationally constituted society.

- 3) The rights ought to be recognized by a society, that is properly organized on the basis of goodwill.
- 4) The natural rights are broader than the actual rights for the natural rights having the sanction of the society's law never square with an ideal system.
- 5) The State does not create rights, it simply enforces and protects them.

Criticism

- 1) Personality, being a subjective idea, no universal list of rights can be drawn on its basis.
- 2) It errs when it makes personality the basis of rights as rights can be drawn on its basis.
- 3) This theory is not clear because the conditions supposed to be aiming at the moral perfection of the man cannot be assessed.
- 4) Customs can stand in the way- of rights. Custom is not always right.
- 5) The idealist theory of rights is very vague and objective standards cannot be applied.
- 6) The theory emphasises that elementary rights of all must be the same. This theory is unreal because elementary rights cannot be the same.
- 7) It curtails individuals' freedom because it describes the State as an absolute institution.

6.3.5.5 Historical Theory of Rights

Edmund Burke is the chief exponent of this theory in modern times. According to this theory, rights are the result of historical evolution. Burke believes that whatever man enjoyed in the past are his rights. He holds that rights are systematization of customs. A custom which people go on following generations after generations becomes a customary right and this provides a basis for law. To the primitive man custom was unwritten law. In the course of time, men evolved certain usages, traditions and customs for the common good and these, in an unwritten form, became the basis of law, which gave rights to the individual in actual written form.

Criticism

Historical theory is defective as all laws are not products of history. Certain rights are created by law and they do not have history as the source of their origin. Many customs are not liked by the generations and thereby they cannot become the rights. Customs such as slavery do not always make rights. Rights are dynamic. Rights change with the fact of time and place. If the right is always in relation to custom, reforms in society would become impossible. In conclusion, we can say that history as such is not the only basis of rights and customs do not provide an absolute right or standard. But, long customs (claims) are converted into rights over a period of time when they are useful in the dynamic sense.

6.3.5.6 Liberal Theory of Rights

Liberal theory is the theory of liberty. Liberty is derived from the latin term 'liber' which means freedom. The liberal theory called 'liberalism'. This theory is based on the

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contributions of John Adam Smith, John Locke, Jermy Bentham, (classical liberal thinkers), J.S. Mill, T.H. Green, F.H. Bradley, Harold J, Laski (modern liberalists)

According to Prof. Laski, "Rights are those conditions of social life without which no man can seek in general to be himself at his best." Rights are necessary for the well being of an individual. Laski says, "Rights are prior to the State." The State does not create them and only recognizes them.

Rights involve the question of utility; The State has to take into consideration in interests of the individual liberty.

According to Austin, liberty and right are synonymous. Where there are no duties, we have what is known as liberty. Liberty really is absence of restraint. Liberty requires protection from obstruction and this protection is equivalent to a conferring of a right.

Hohfeld distinguishes the freedom which a person has to do or not to do with a privilege which may be called 'liberty'. According to Hohfeld, privilege means the freedom which a person has to do or not to do something law cannot interfere in case of privilege.

Rights and liberty are not the same. Liberty implies 'absence of restraint', right on the other hand, implies a duty case on another person who must not disregard the right. A 'right' involves something to be done or abstained by another person for the benefit of the person with the right 'Liberty' on the other hand, carries the idea 'that the person who enjoys the liberty can by himself do or abstain from doing what he has the right of doing or abstain from doing. In a 'right' the action or the forbearance comes from the one who is burdened to satisfy the right. But in a 'liberty' there is no one else who has to carry out the act or abstinence it is enjoyer of the liberty who is himself to act or abstain. The rights are inclusive 'liberty' which are what one may do for himself.

If X has a right or liberty to do a thing it means that others generally shall have 'no right' to prevent X from exercising his right or liberty.

According to liberal theory of law, everyone has freedom or liberty to do whatever one likes to do. As long as one's actions do not interfere in others' affairs, no one has any objection. Man by nature is capable of conducting himself good, and is sympathetic towards others and is accommodative.

According to liberal theory, man is natural and liberal. Man develops through experience. Property is extension to human personality. The State came into existence because of human efforts and to protect life, liberty and property. Law and order is the main concern of the State and thus the State cannot interfere in the matters other than the protection of life, liberty and property. Locke's liberal theory emphasizes on individuals' liberty from the excessive or coercive authority of the State.

As per liberal theory, freedom of the jungle cannot be the real freedom. The liberty of man in the state of nature was no liberty at all. Liberty is possible in the civil state only where man enjoys rights and obligations.

According to liberal theory of rights the rights that are essential for personal freedom and liberty are right to life, right to personal liberty, right to freedom of thought and expression, right to property, right to freedom of conscience, right to equality, right to association, right to family life and right to education.

Nobody should interfere with a person's particular style of living especially when they

do not run counter to the existing social norms or modes of social behavior, or morality. State should protect these rights to protect the persons' freedom or liberty.

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6.3.5.7 Social Welfare Theory of Rights [Laski's Theory of Rights]

The Social Welfare Theory of rights was popularized by the utilitarians, namely, Bentham and Mill during the later half of the 19th century. Roscoe Pound (1870-1964) and Chafte too supported this theory. According to the social welfare theory, rights are conditions of social welfare. They are the creation of society. Conditions which make the individual and society happy are rights and they should have precedence over customs, ways, traditions and natural rights. The theory looks rights solely through the angle of social welfare. It points out that rights are created by the society and are aimed at realizing social welfare. Since rights are conditions of social welfare, law, customs, usages, traditions and natural rights, should all yield to what is socially useful or socially desirable. The exponents of the social welfare theory of rights set up the principle of the greatest happiness of the greatest number as the criteria by which to judge what ought to be.

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Laski's views

Laski says, "Rights are the sum total of the opportunities which ensure an adequate development and expression of an individual's personality." Laski attaches great importance to human rights. As a liberal, he is a great exponent of individual liberty against the State. As a socialist, he believes in the creation of a just society based on social and economic equality. He pleads for a decentralized system of Government as a necessary condition for adequate conception of rights.

According to Laski, every State is known by the rights it maintains. Rights are the conditions of social life without which no man seeks in general to be himself 'at his best'. He believes that rights are those powers by means of which an individual develops his personality. He therefore, suggests that the foremost duty of the State is to remove the hindrances that come in the way of individual rights. He makes distinction between political and Economic democracy. Rights are right because they are useful to economic democracy. Rights are right because they are useful to citizen of the State.

In his socialist phase he advocates nationalization of industries to bring about social and economic equality in society and preaches for the complete abolition of the right to private property. Sometimes he is one with liberals to plead for the right of freedom of thought; sometimes he is with anarchists to denounce the right to property.

On the basis of nature of rights, Laski recommended the following rights

- 1) Laski considers right to work and adequate wages necessary for the fullest development of the individual's personality.
- 2) Every citizen has a right to reasonable hours of work.
- 3) Every citizen has the right to such education as will fit him for the tasks of citizenship.
- 4) Every man has the right to political power such as right to vote, right to be elected as a representative and hold any political office.
- 5) Everyone should have the right to freedom of speech and expression. "Freedom of speech is a right that war cannot mitigate." Laski says, "A Government can always learn more from the criticism of its opponents than from the eulogy of its supporters."

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- 6) Every individual must be guaranteed freedom to form an association and hold public meetings.
- 7) Every individual has the right to property.
- 8) Every citizen be given the right to liberty to express himself.

For the safe guard of the rights, Laski suggested three essential conditions such as:

- i. Decentralization of authority;
- ii. Existence of consultative bodies; and
- iii. Non-interference by the State in the internal affairs of the association.

The maintenance of rights ultimately depends upon the quality of the people and their organized public opinion.

Laski was a realistic thinker. He started writing as a liberal democratic and recognized the importance of rights. Under the influence of socialist ideas, he recognized the social character of the rights. He emphasised on the relation of rights and duties.

Criticism

- 1) The main idea is the greatest happiness of the greatest number. But, the greatest defect is that the exponents have not provided any measuring rod to measure greatest happiness of the greatest number.
- 2) It may encroach upon the rights of an individual and may sacrifice the needs and claims of his personality to social good. A theory which does not establish guarantee of rights for all cannot be accepted.
- 3) No doubt, rights have a social value and no right can be claimed against social welfare as it is difficult to define 'social welfare'.
- 4) The meaning of 'welfare to the people' may not be uniform in all ages and for all societies.
- 5) Expediency is needed as a way to general welfare for all the people. But, expediency should not be detrimental to the general welfare of the whole community.

6.3.5.8 Marxian Theory of Rights

Karl Marx, the father of scientific socialism and communism was born in Trier in Rhineland Province of Prussian (Germany) on May 5, 1818. His father Herschel Marx, who was a Jew, had embraced Christianity in 1824. When Karl Marx was only 17 years of age, he became a law student at Bonn University in 1835. In 1826, Karl Marx went to the University of Berlin. In 1841, he took his degree of Doctor of Philosophy at the University of Jena on the subject "The differences between the natural philosophy of Democritus and Epicurus." Marx wanted to secure a position in University but failed to get the same. He became a journalist and soon turned to revolutionary politics. In 1848, he married Jenny. In 1844, Karl Marx met Fredrick Engels at Paris. Engels remained a close friend and collaborator throughout his life. They wrote 'Communist Manifesto'. Marx wrote 'Das Capital', 'Surplus Value', 'Critique of Political Economy' etc.

'Karl Marx rejected the Liberal-Individualistic theory of rights that arose in the 17th and 18th century Europe.

Karl Marx maintained that the so-called 'rights' guaranteed under liberal-

individualistic ideology in real sense were force. He argued that these rights were designed to serve the purpose of only one class-the dominant one-the bourgeoisie. This was the capitalist class, the class of 'owners' of property and means of production.

Marx explained how the rights desired by the liberal individualistic i.e., the ideas have been designed to maintain the process of exploitation under the garb of individual rights. The working class, being human beings that need such conditions for the development would not even get the sustainable conditions.

All types of principles or theories that explain and justify the existing nature of society or State are in favor of the rich and the capitalists. Rights too are in favor of them. That is what history gives evidence to the nature of conflict that would be coming to the force as centuries pass by.

According to Marx, the following rights of working class are justifiable

- 1) The labour should get the wages of their labour without exploitation.
- 2) The working class has the right to overthrow the capitalistic governments, which suppress the workers movements with State force by raising arms against the state authority.
- 3) After the fall of capitalist governments the working class has the right to establish proletarian dictatorship to take steps not to allow the capitalist class to enter the state administration.
- 4) The state should provide right to work to all able bodied persons with wages equal to their work.
- 5) The workers should be provided right to live providing social welfare by the State.
- 6) The workers should be provided the right to claim for necessities.

The establishment of the socialist system after the revolutionary overthrow of the bourgeoisie rule should create equality of opportunities to all as the principle of social organization.

6.4 POWER AND AUTHORITY

Power is the basis of politics. Power-relations is one of the characteristics of politics. There is no agreement among the thinkers on the meaning, nature and scope of power. Power simply means to manipulate, or to coerce or to suppress the people and their ideas towards desired goal. There are some individuals or groups who command and others who obey it. The capacity of the former to make others accept orders and behave or act according to the commands, is defined as power.

According to Max Weber, "Power is the authority to enable an actor to do certain things and also to create normality among the diversified opinions of the people." To R.M. MacIver, "Power means the presence of a force to regulate the behaviour of the people to control them and to direct such behaviour." As per Bertrand Russell, "Power is the capacity to influence the actions of others." Harold Lasswell links power with influence and says, "Power is the ability to produce intended effects as directly involve other persons." R.H. Tawney identifies power with the "capacity of an individual, or a group of individuals, to modify the conduct of others in the manner which one desires."

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Power is often used to mean control, influence, authority, force, might, persuasion, coercion, compulsion, domination and pressure. But, there is difference in the meaning of these terms.

Power is the ability to win in a contest while force is an adjacent (additional) but not the essence of power. Power is latent force and force is patent power. Force techniques are coercion, intimidation, terrorisation and military domination. Force is the most brutal manifestation of power. Power is coercive while influence is persuasive. People voluntarily submit to influence. But power demands and commands submission.

Power differs with authority because power is the essence of politics while legitimacy is the basis of authority. Legal sanctions, statutes, commands, writs, rules, regulations and by-laws are the techniques of authority whereas coercion, intimidation, force are the brutal techniques of power.

Control is similar to power, but not power. Control can be legislative, executive, judicial, financial, administrative and popular. Control is more comprehensive and less concentrated than power.

Power is a psychological phenomenon. Therefore, the relation between those who exercise power and those over whom exercised is a psychological relation. Power does not refer to man's power over nature or his self-control, but control over other man or body of men. Power is a social process, but not merely a political or economic process. Power is the ability to determine the behaviour of others in accordance with one's own wishes. A man is said to have power to the extent that it influences the behaviour of others in accordance with his own intentions. Power is the specified in the will, and immunities against being deprived of will-making capacity. The power itself has no duty correlative to it.

3. Distinction between Liberty and Power

It is not a 'right' that certain effects shall ensue. Acts that have certain effects are called powers, those that do not are not called powers. That is distinction from the liberty to perform or not to perform such an act. The distinction may be put as follows: the liberty to perform or not applies to all types of conduct, but considered with reference to their effects, it can be seen that some actions result in an alteration of existing legal relations while others do not.

4. Rightful and Wrongful Powers

Sometimes, a power may be coupled with a liberty to exercise it and a liberty not to exercise it, while at other times it may be coupled with a duty to exercise it. In both situations, the exercise of the power may be said to be 'rightful'. When a power is coupled with a duty not to exercise it, such exercise would then become 'wrongful' where a power is coupled with a liberty, a party cannot be penalised for having exercised it, or for not having done so. Where a power is coupled with a duty to exercise it i.e., no liberty not to exercise it, there is no question of any 'right' to do the act; the party 'must' do it. Where a power is coupled with a duty not to exercise it, the party concerned has no liberty to do so.

6.4.1 Kinds of Power

Powers may be divided into 'private' and public, but both involve ability to change legal relations.

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Private Power : Private powers are those which are vested in persons to be exercised for their own purposes, and not as agents of the state. The appointment of an agent, for instance, is a power, for it confers on the agent further powers to alter the legal position of the principal and creates in the latter corresponding liabilities. A married woman has power to pledge her husband's credit for necessities in contrast there is a power to make an offer and a power to accept, and innumerable others in contract, property, procedure and indeed, in every branch of the law. Private powers may also be coupled with duties to exercise them, e.g., certain powers of trustees, or they may be coupled with liberties.

Public Power : Public power is that which is vested in a person or body of persons as an agent of the state, as the judicial or executive power of the officers. When a 'public power' is coupled with a duty to exercise it, it is termed as 'ministerial power', when it is coupled with a liberty, it is termed 'discretionary.' Public powers though numerous especially in administrative law, cannot compete with the profusion of private powers.

The supreme legislative authority i.e., the Parliament has law-making power. The judiciary has the power of 'judicial review'. The community law (International Law) consists of the powers of 'regulations' which are general legislative measures binding on states as well as individuals if applicable; 'directives', general or particular, binding only as regards their objectives but leave to member states the manner of their implication; 'decisions' which are individual measures, are binding as regards objectives and means 'recommendations' which are advisory and not binding.

Power is either ability to determine the legal relations of other persons, or ability to determine one's own. The first of these-power over other persons is called authority, the second-power over oneself is usually termed 'capacity'. Powers are further divided as economic, political and ideological.

Economic Power : Power exerted by wealth and riches constitute economic power. In ancient times people who owned herd of cattle wielded economic power, then land came to be regarded as symbol of wealth in feudal society. In capitalist society, the ownership of factories, mines and other means of production are the source of wealth. The institutionalists, bankers wield great economic power. James Bentham says that "the control of production gives rise to political power and social prestige as well as to wealth." Democracy passes in the hands of those who wield economic power.

Political Power : The power exercised by the State and its various organs is called political power. According to E.P. Alien, "Political power is evidenced by the ability of those who control the instruments of government to secure obedience to their decisions." The force which is used to achieve political ends is called political power. Those who possess political power and have control over the government have the authority of making decisions and policies of the government. The persons who win elections naturally control the state and enact laws.

Ideological Power : Ideological power, consisting the beliefs, notions, ideas of a society is basis of present day democracy. Party system of the present day government is based on political ideology. "Leaders in a political system", says Dahl, "usually espouse a set of more or less persistent integrated doctrines that purport to explain and justify their leadership in the system." A set of doctrines of this kind is an ideology. Ideological

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power represents the manipulative power of the dominating class which hold sway on the thinking and emotions of the people. Manam says, “The power does not lie in the guns, or the ships or the walls of stone or the lines of steel. Important as these are, the real power lies in a definite common pattern of impulse.” The ideology of Hitler, Mussolini and Marx in the name of Fascism and Communism has its power on people.

6.4.2 Concept of Authority

Authority is a person or persons, or a body exercising power of command; generally in the plural as, the civil and military authorities. Power or admitted right to command or to act, whether original or delegated as, the authority of a prince over subjects and of parents over children; the authority of an agent to act for his principal. An authority is general when it extends to all acts, or all connected with a particular employment, and special when confined to a single act.

The general meaning of authority is the power or right to give orders and make others obey. Authority lies in the hands of person or persons or group of persons having power to command, or give orders and make others obey. Authority means the institutionalised exercise of legitimate power. The person or persons wielding authority possess superior knowledge. Authority is always legitimate and backed by law and common consent.

Authority is the power exercised with general approval. The essence of authority is not power by itself, but force voluntarily acknowledged by those over whom the power is exercised.

According to A. Dahl, “Legitimate power is often called authority.” Talcott Parsons says that authority is “essentially the institutional code within which the use of power as a medium is organised and legitimised.” Max Weber says that authority “represents the moralisation of power.”

6.4.2.1 Classification of Authority

Weber classified authority into three, namely, charismatic authority, traditional authority and legal authority.

Charismatic Authority: When the people submit themselves to be ruled by a man mainly on their belief in the extraordinary quality of such a ruler, that rule over them is referred to as charismatic authority. It rests on the devotion to the specific and exceptional sanctity, heroism or exemplary character of an individual person and of the normative patterns or order revealed or ordained by him. Authority of Napoleon and Hitler is an example for charismatic authority.

Traditional Authority: The domination that rests upon traditionalism is referred to as traditional authority. Traditionalism is a psychic attitude set for the habitual work day and the belief in the everyday routine as an inviolable norm of conduct. It is derived from an established belief in the sanctity of immemorial traditions and the legitimacy of the status of those exercising authority over them. As per Weber, “patriarchalism” is an example for the legitimacy of which rests upon tradition. In this case authority is based on personal, not functional relations. This type of authority is irrational.

Rational Legal Authority: In legal authority, the legitimacy of the power-holder to issue commands rests upon rules that are rationally established by enactment, by

agreement, or by imposition. Weber says, "Submission under legal authority is based upon an impersonal bond to the generally defined and functional duty of office." It is said that legal authority rests on a belief in the legal patterns of normative rules and the right of those elevated to the authority under such rules to issue commands.

The authority that is given must be to do a thing lawful; for if it be for the doing of anything against law, as to beat a man, take away his goods, or disseize him of his lands, this will not be a good authority to justify him that doth it. Legal authority is nothing but a power to do something; it is sometimes given by word, and sometimes by writing by law.

Political Authority: Political authority is based on the acceptance of the right to rule. Power has to go hand in hand with authority. Power transforms into authority with the growing support from the political community. Authority is legitimised power. Political power rests on the potentiality to invoke coercion. From historical days it has been found that coercion by way of threat of sanction is not an adequate instrument to elicit obedience. If power is to subsist for long it must receive general acceptance. Obedience may be obtained by the use of threat of sanctions, yet it, rests upon a form of consent. It is this consent to or acceptance of power of the ruler by the ruled that strengthens the power and gives him the authority. Hobbes says, "It is not therefore the victory that gives the right of domination over the vanquished, but his own covenant. Nor is he obliged because he is conquered....but because he cometh in and submitteth to the victor."

David E. Apter classified authority into centralised and decentralised. While bureaucracy amplifies the former, democracy explains the latter.

Authority is a body having jurisdiction in certain matters of public nature. State authority lies in the Government and Parliament or Legislature and local or other authorities. "Other authorities" means all authorities created by the constitution or statute on whom powers are conferred by law. It is not necessary that the statutory authorities should be engaged in performing governmental or sovereign functions.

6.4.3 Difference between Power and Authority

Authority is the power exercised with general approval. However, power is different from authority because power is the essence of politics whereas legitimacy is the basis of authority. Coercion is the illegitimate exercise of power while authority is the legitimate exercise of power. Force is the brutal manifestation of power whereas authority is the institutional exercise of power. Power influence is persuasive but authority is imperative. Power is the political polarisation of the desires (interests) of the people, while authority is rooted in the rules and regulations of the Government.

6.4.4 Concept of Legitimacy

States do have power or coercive force, which can be used so that people obey the State. Even when actual coercion is not being used, the threat of its use exists. The State should maintain coercive mechanism to keep in control the people disobeying the State. And, keeping the people under constant threat of coercion will result into a situation of constant confrontation. This will keep the State too occupied with the question of keeping itself in power.

Controlling its citizens only through force is neither possible nor advisable. Authority prefers obedience by the people based on the belief that the State that governs is 'good'

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and beneficial for the people; that a government has come to power through procedures established bylaw that are generally acceptable. The State and Government have been properly constituted, following rules and procedures and, therefore, the people should obey it. This popular belief is what gives legitimacy to the State. Max Weber gave the first systematic theory of the process through which such legitimacy is gained.

If power is to subsist for long it must receive public acceptance and obedience. Obedience may be obtained by the use of threat of sanction, yet it rests upon a form of consent. It is this consent to or acceptance of power of the ruler by the ruled that strengthens the power and gives him the authority. Political authority is based on the acceptance of the right to rule. Max Weber calls this legitimacy.

Legitimacy is the foundation of political power. 'Legitimate' means lawful, according to law. It was in the Middle Ages that the idea of legitimacy was brought closer to the experience of power. Now to the legitimacy theory, Herbert Hard incorporates 'the core of good sense' of natural law theory in determining legitimacy and not just legality of the norm.

Legitimacy may be defined as that political condition in which power holders are able to justify their holding of power.

Dolf Sternberger considers legitimacy as a basis of political power. Legitimacy is "exercised both with a consciousness on government's part that it has a right to govern and with some recognition by the governed of that right."

Legitimacy is explained by Robert A. Dahl as a condition "if the people to whom it orders are directed to believe that the structure, procedures, acts, decisions, policies, officials, or leaders of government possess the quality of "rightness", propriety or moral goodness the right, in short, to make binding rules." Every State makes conscious effort to achieve a high level of legitimacy.

According to H.G. Wells, stability of a democratic political system depends not only upon economic development, but also upon its legitimacy. Legitimacy rests upon the confidence of the people in the existing political institution. People's consent legitimates the exercise of political power.

Governments may lose their legitimacy where there is change in consent of people and when the existing political institutions are challenged. The crisis of change results in the crisis of legitimacy.

Legitimacy is the lawful exercise of power. 'Usurpation' is the opposite of legitimacy. Usurpation is the unlawful exercise of political power. Dorf Sternberger distinguishes 'legitimacy' and 'usurpation'. Usurpers often seize the power and try to provide a legitimate form to their regimes. 'Revolution' is also the opposite to legitimacy. However, 'usurpation' and 'revolution' are not one and the same. Usurpation of power is always an illegitimate act. But revolution may or may not be illegitimate. Revolution against the unpopular and cruel government is considered legitimate. If a revolution succeeds, it introduces a new principle of legitimacy.

David E. Apter gives the following reasons for the loss of legitimacy

- i. Some of the significant members of the polity may choose to withdraw their support for the government;

- ii. Rise of a new, politically aware, group which is not recognised by political system as having political relevance;
- iii. Driving away formerly politically significant members of the polity by the political system.

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6.4.4.1 Characteristics of Legitimacy: The concept of legitimacy has the following characteristics

- 1) The survival of the political system depends on the acceptability of people so that they may render their obligation to it.
- 2) The legitimacy depends on the politically functional activity of the authority and the relative inflexibility of power relationships.
- 3) Legitimacy depends upon the people's feeling of the obligation to obey.
- 4) The concept of political legitimacy has its applicability in every political system.
- 5) The legitimacy depends on the ideal type of government.

Realist Theory, Liberal Theory and Marxian Theory are on line to support the concept of legitimacy.

We can make distinction between 'legitimate' and 'legal'. Legal is more concrete, because it is defined by specific laws. 'Legitimate' refers to a less concrete process referring to the sense of acceptance by the people. Level of legitimacy varies from situation to situation depending upon the performance of the State. However, laws are to be obeyed in all the cases and punitive action can be taken against those who do not obey.

6.5 SUMMARY

In this context, they can be both moral and political. Moral laws are related with human tendencies and man's personal behaviour or conduct. They may be described as commands of our higher or spiritual nature. Laws of the state relate with external behaviour of man. They are made and enforced by the state only. In Political science the law means those regulations which are made and enforced by the state to regulate external behaviour of men. Liberty and equality is more essential to the human beings. Liberty is very essential to the development of men and women in a society. Without liberty we cannot see the overall development of society. In the same way equality is also essential component. So liberty and equality two pillars of society.

It is contended that liberty is more important than equality. In a dependent country, equality can not be achieved unless the country liberates itself. Equality is the secondary goal which is realised after we succeed in achieving liberty. Liberty unites the people. In the declaration of eternal human rights in the French Revolution of 1789, liberty preceded equality. However, it should not be construed that equality is less important. Equality is the essential ingredient of liberty. Liberty will have to take along equality in the pursuit and achievement of its ultimate objective. The existence of the rights and duties is inevitable for the all round development of the individual in democratic countries. There is an innate relation between rights and duties. The rights are not intended for the selfish ends of the individual. The rights are no other than a form of responsibilities which all the

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individuals should bear for the welfare and progress of the society. Every individual in the society must recognise and respect the rights of the fellow individuals.

Rights are very essential to all the citizens of a nation. Without rights one cannot develop. So, the modern governments are during much importance to the rights. These rights also guarantee by the state.

6.6 KEYWORDS

- **Rule of Law:** 'Rule of law' prevails in most of the countries of the world. It originated in England and later on became an accepted creed in almost all the democratic countries. By rule of law we mean that the government and administration of a particular state is run in accordance with the law. It is not run by an arbitrary authority. No man or institution is empowered to award punishment to any individual arbitrarily. In other words all are under the law and none is over and above the law.
- **International Law:** Public International Law is the law that regulates the relationship among sovereign states in their mutual intercourse. Oppenheim defines it as, "Law of Nations or International Law is the name for the body of customary and treaty rules which are considered legally binding by States in their intercourse with each other." international Law is a weak law as it is not enforced by any coercive authority:
- **Public Law:** Public Law is of two types—Administrative law and General law. Administrative law regulates the behaviour of the officials in relation to state authority. They regulate the organisation and functions of the governmental officials, their powers and their relationship with the public in general.
- **Natural Liberty:** Natural liberty is the synonym of licensing. It implies freedom from all restraints and social customs. The concept of natural liberty has been evolved by the thinkers associated with the Social Contract theory. They opine that man lived in the state of nature prior to the creation of the state.
- **Civil Equality:** Civil equality implies the availability of all the civil rights to all the citizens without any discrimination on the bases of caste, colour, creed, place of birth, religion and sex. There is equality before law and every citizen gets the equal opportunity to develop his personality.
- **Meaning of Right:** Rights are essential conditions of our social life there are necessary for the overall development of human personality. There are external conditions. Rights define the position of the individual in a state.
- **Fundamental Right:** The fundamental rights protect the minorities in such cases from the majority government. Security is provided through courts of law. The courts of law protect the fundamental rights from the narrow party-politics. The framers of the Indian Constitution included the fundamental rights in the constitution and achieved the political purpose.
- **Fundamental duties:** Every citizen must respect the constitution, National Flag and National Anthem. Every citizen must strive for the achievement the goals of

the freedom movement. To protect the sovereignty and integrity of the nation. The citizens must be ready to take part in the programmes of its defence of the country and service to the society. Every citizen must strive to promote fraternity among the people in the country. Every citizen must contribute to protect the Indian culture which is an admixture of different cultures.

- **Right to Vote:** Every adult citizen and take part in the formation and running of the government, directly and indirectly, without discrimination of caste, religion, community and gender. There is much importance to this right in democracy. Democracy, whether direct or indirect, forms the government on the basis of adult franchise. Adults mean women and men who cross certain age limit. This age limit is decided differently in different countries. For instance in India those who cross 18 years of age are considered to be adults.

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6.7 REVIEW QUESTIONS

Essay Type Questions

1. Define Law and discuss its characteristics of Law?
2. What are the sources of Law? Explain.
3. Define the 'Liberty' and discuss its different kinds of liberty.
4. Describe the various kinds of safeguards of liberty.
5. "Liberty and Equality are complementary to each other as liberty is not possible in the absence of some equality." Discuss.
6. What are the rights? Describe the rights in detail.
7. Write an essay on political rights.
8. What are the fundamental duties?
9. Discuss fundamental rights.
10. Explain the relation between rights and duties.

Short Type Questions

1. What is meant by International Law.
2. What is the concept of Rule of Law.
3. Natural Liberty
4. Economic Liberty
5. National Liberty
6. Definition of liberty and equality
7. Rule of Law
8. Right to Property
9. Right to Vote
10. Definitions of Rights.

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6.8 SUGGESTED READINGS

1. Joshi, V.P. Unified course in Political Science
2. Ernest Barker – Principles of Social and Political Theory
3. Harold, J. Laski – A Grammar of Politics
4. Ivorbrown – English Political Theory
5. Leacock, S. – Elements of Political Science

POLITICAL SCIENCE CONCEPTS, THEORIES AND INSTITUTIONS

B.A - POLITICAL SCIENCE

(First Year:Paper-I)

UNIT -IV

Lesson - 7

Ideologies: Individualism, Anarchism, Fascism and Socialism

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Lesson - 8

Forms of Government:

- a. Democracy: Direct and Indirect
- b. Unitary and Federal
- c. Parliamentary and Presidential

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Political Science Concepts, Theories & Institutions

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Lesson 7

IDEOLOGIES

Structure

- 7.0 Aims and objectives
- 7.1 Introduction
- 7.2 Individualism
 - 7.2.1 Development of Individualistic Theory
 - 7.2.2 Modern Individualism
- 7.3 Utilitarianism
 - 7.3.1 Development of Utilitarianism
 - 7.3.2 Criticism of Utilitarianism
- 7.4 Socialism
 - 7.4.1 Marxism or Scientific Socialism or Communism
 - 7.4.2 Lenin (1870-1924)
 - 7.4.3 Lenin and Marx
- 7.5 Collectivism or State Socialism or Democratic Socialism
- 7.6 Anarchism, Syndicalism, Guild Socialism, Fascism and Nazism
 - 7.6.1 Anarchism
 - 7.6.2 Distinction Between Communism and Anarchism
 - 7.6.3 Syndicalism
 - 7.6.4 Guild Socialism
 - 7.6.5 Fascism
- 7.7 Nazism
- 7.8 Gandhism and Sarvodaya
- 7.9 Summary
- 7.10 Keywords
- 7.11 Review Questions

7.0 AIMS AND OBJECTIVES

- Explain Development of Individualistic Theory.
- Describe Utilitarianism and its critics.
- Discuss Socialism and approaches by various authors.
- Delineate Anarchism, facism and Nazism.

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7.1 INTRODUCTION

Individualism, Anarchism and Socialism, Individualism considers the state a necessary evil, but it wants to keep the state because without the state, law and order is not possible and without law and order the progress of civilization and culture is not possible. In spite of all this, the individualists want to limit the functions of the state. Anarchism considers the state as an unnecessary evil and it wants to abolish the state altogether. Socialism intends to make the state social institution and wants to expand its functions in all spheres. We shall discuss anarchy and socialism at a later stage. Here we discuss individualism in detail.

7.2 INDIVIDUALISM

The principle of individualism is also called Laissez Faire in French language, which means, 'leave the individual alone' and there should be minimum interference, in his functions, By the government. It should be left to the will of the individual to do what he desires. The state or the government should only interfere when it feels that one individual is unnecessarily interfering in the liberty of the other. The state is, in fact, a necessary evil. The unity in the society is possible only when violence, deception and fraud are suppressed. Therefore, the function of the government should be limited to the protection of the citizens' life and property; beyond this the individual should be left completely free.

John Stuart Mill, in his famous essay 'On Liberty' said, "The sole end for which mankind are warranted, individually or collectively, in interfering with the liberty of action of any of their member, is self-protection. The only purpose for which power can be rightfully exercised over any member of a civilized community against his will, is to prevent harm to others. His own good, either physical or moral, is not sufficient warrant..Over himself, over his own body and mind, the individual is sovereign".

Thus according to Mill, the main function of the state is protection. Therefore, the maintenance of army, police, navy and courts is justified, but the things which are not directly protective, like Post Office, Telegraph, Railways, Education, Hospitals, etc., should not be run by the government. According to those who believe in individualism, the government should perform the following functions:

- 1) The protection of the state and individuals against foreign aggression.
- 2) Protection of individual against individual, in matters of physical harm (injury, aggression And killing), slander, personal restraint, etc.,
- 3) The protection of property (theft, dacoity and other types of protection of property).
- 4) Protection of individuals against false contracts or breach of contracts.
- 5) Protection of the invalid persons.
- 6) Protection of individuals against preventible epidemics like plague or malaria. Many individualists do not agree with the last two functions of the state.

7.2.1 Development of Individualistic Theory

Though the germs of individualism can be traced in the Renaissance and Reformation

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movements of Europe, yet its real origin took place during the second half of the eighteenth century at the hands of Physiocrats of France. This was given as a counterblast to mercantilism, which stood for the protection, regulation and control of industry, trade and commerce. Individualists were of the people. They preached in favor of open competition in trade and commerce in the name of natural rights. They were of the view that the open competition would benefit all. Adam Smith was the staunch supporter of this theory, but we have complete explanation of this theory in the writings of John Stuart Mill and Herbert Spencer. Other supporters of this theory are the German philosophers. Kant and William Humboldt, and the British writer Henry Sedgwick.

BASES OF INDIVIDUALISM

There are four main bases of this theory

- 1) Ethical
- 2) Political
- 3) Scientific
- 4) Economic.

1) Ethical Basis: Thinkers like Kant, Fichte, Mill and Humboldt are the supporters of ethical basis. According to them, state interference goes against the development of the individual's personality and character. They say that each individual is wise enough to understand his interest well. Therefore, he should have freedom to work according to his will. The individual should be left free to himself to enable him to develop his personality and character. When the government encroaches upon the individual's field, the individual loses all sense of responsibility and his self-reliance and personality are destroyed. The interference by the government will result into many weaknesses in the individual and his natural powers will be destroyed. The rule of the nature is open competition and individual's maximum development is possible only in it. By nature every individual wants maximum freedom. Therefore, there should be no state interference. Humboldt says, "The real aim of the individual, which has been fixed by the orders of wisdom, is the maximum and complete development of human faculties." Mill is of the view, that "*Government interference starves the development of some portion of the bodily or mental faculties when it deprives one from doing what one is inclined to do or from acting according to one's judgment of what is desirable*".

Mill has divided the functions of the individual into two parts (1) Personal; (2) Affecting Society. Personal functions are those which affect the individual who performs them, and which are related to him. Other functions are those which affect the society. Mill says that the state has no right to interfere in the function individual, because the individual is supreme in those matters. However, functions the state must interfere.

2) Political Basis: The political basis of this theory was developed by way of protest under the Social Contract Theory as propounded by John Locke against the claims of kings to absolute powers. John Locke advocated that the people enjoyed certain natural rights in the state of nature. Therefore, the duty of the state should be to protect those rights. The individualists supported the theory of Laissez Faire or 'leave the individual alone' not on the basis of any absolute justice, but they did it on

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the basis of the real achievement through state. They said that the State was mean, not an end. Therefore, the state is essential for the welfare of individual. The individual is not for the welfare of the state. Therefore, the functions of the state should not be unlimited. Secondly, the state has already many functions to perform, and it is not advisable to increase them as Mill has said, "Every additional function means a new burden on a body already over-charged with duties; the result is that most things are ill-done, and much is not done at all."

- 3) **Scientific Basis:** Herbert Spencer has supported individualism on the biological basis. He says that in biology there is a continuous struggle among the organisms and animals. Only the strong survive in this struggle and the weak perish. This is the law of nature. He asks why this law of natural development should not be applied to human life? Incapable and feeble people shall automatically perish in society and only strong and able persons will survive. He believes in the survival of the fittest. He feels that the state is rendering the society weak by protecting development. According to Spencer, compulsory education, help to the poor, social laws, and changing the law of natural development are useless efforts.

Spencer further says, "Government should let poverty and insanitary houses alone, so that the weaker types may soon die out; it should let industrial competition alone, however intense, because from such competition, the best individuals come to the top".

- 4) **Economic Basis:** Adam Smith supported individualism on the economic basis. He was of the view that the state or the government should not interfere in the economic sphere as far as possible. Each individual is competent to safeguard his interests well. He maintained that the government which governed least, governed best. The trade and industry flourish best if left to private enterprise. Thus wages, rent, interest and prices should be left unfettered so that they may adjust themselves to the prevailing conditions. Non-interfering by the government will encourage open competition, which will give opportunity to the capitalist to earn more and more. Consequently, he will invest more in the market, and the laborer will work more to earn better wages. Open competition will not only benefit the capitalist but it will also benefit the laborer and the consumer. On the other hand, government control will hinder the enthusiasm of the capitalists. If the state fixes minimum wages and working hours for the laborers, it will be difficult to have cheap labour and thus it will be difficult to get work from them. This will also reduce the production.

According to the individualists, the state should not fix the rates of the commodities because they will be settled automatically under the formula of supply and demand. If the demand of a commodity is in excess of the supply, the rates shall go high, but if the demand is less and supply is in abundance, the prices shall go down. In this way the industries, commerce and trade should be left without any regulation and control, because thus they will develop to a great extent. According to individualists that government is best which governs the least.

Cainer observes, "Laissez-faire assumes that the interests of human beings are fundamentally the same, that which is best for the interest of one is the best for others, that the individual known's his interests in the sense in which they are coincident with

the interests of others and that in the absence of coercion, he will in this sense follow them”.

Ideologies

CRITICISM OF INDIVIDUALISM

- 1) **State is not a necessary Evil:** The individualist’s view that state is a necessary evil, is not correct. The state is the result of social instinct of man as Aristotle has said, “State came into existence for the sake of mere life but it continues to exist for the sake of good life”. The individualist view that the progress of civilization is possible in the freedom of the individual is also not correct. “The higher the state of civilization”, observed Huxley, “the more completely do the actions of one member of the social body influence all the rest; and the less possible is it for any one man to do wrong without interfering more or less with the freedom of all his fellow citizens, so that even upon the narrowest view of the functions of the state, it must be admitted to have wider powers than the advocates of the laissez faire theory are disposed to admit”. Thus in a progressive civilization, more control of the state is needed.

Today the state has become a welfare institution. Burke has rightly said, “State is a partnership in all sciences, a partnership in all art, a partnership in all virtue and in all perfection”. State is essential for the development and progress of man. It is a historical fact that the state has done a lot for the welfare of man. Thus it is improper to call it a necessary evil.

- 2) **Laws do not Curtail Liberty:** John Stuart Mill stated that with increase in the activities of the state, the laws will also increase and consequently the liberty of the individual will be curtailed. Today, no wise man can agree with this view of John Stuart Mill because the state enacts many such laws as help the people in their welfare. For Instance, if the state or government makes laws for the benefit of the workers, how is their liberty curtailed by such laws?
- 3) **Man is not always the best Judge of this Interest:** The individualists were of the view that each individual is the best guardian of his own interests and, therefore, he can think of them himself. But this is not a reality. Many people and classes are not so intelligent as to know what is good for them. Thus Dr. Garner says, “Not only is the individual not always a competent judge of his own interests as our economic consumer, but in affairs of personal conduct, he is often not to be trusted, particularly in matters relating to his health or safety or moral welfare. The truth is, society may be better judge of a man’s intellectual, moral, or physical needs, than he is himself and it may rightfully protect him from disease and danger against his own wishes and compel him to educate his children and to live a decent life”. Sid wick, Laveleye and Jerons, etc., also hold identical views.
- 4) **Open Competition is Undesirable:** The individualists were the supporters of open competition but when this theory was given a practical shape, many dangerous results accrued in Europe. How could the laborers compete with the capitalists? It encouraged the exploitation of the labourers and their condition became miserable, which resulted in the rise of socialism in Europe. If even today, the government does not control of profits of the capitalists, and increase in the prices of the commodities is not checked, not only the condition of the laborers would worsen

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but the consumers would also face the same fate. In India, before-the declaration of Internal Emergency of June 25, 1975 the situation was the same. It is essential that there should be the state regulation and control over industries and trade. Otherwise, many undesirable results would accrue.

- 5) **The Doctrine of the Survival of the Fittest is most Dangerous:** It will be a great foolishness to give recognition to Spencer's theory of the survival of the fittest, because it will result in creating the same situation as is seen in the jungle, where stronger animals consider the weaker ones as their food. With the acceptance of this theory, there will be the rule of thieves, dacoits, rogues and physically strong people and, in place of justice and truth; the supremacy of brute physical power will prevail. The society will have the same anarchy as was depicted by Hobbes in his state of nature. Thus the progress of human civilization and culture will be retarded and there will be an end to social peace and order.
- 6) **Welfare of the individual lies in the welfare of the society:** Individualists say that the society came into being for the welfare of the individual and many functions of the individual do not influence the society. But the reality is that the individual is an inseparable organ of the society and he learns everything from the society. Without society, the development of individual is not possible. An individual's welfare lies in the welfare of the society. Due to individualistic concept, the individual thinks himself above the society, which is not a correct approach.
- 7) **We cannot limit the functions of the state on the basis of past mistakes:** The individualists place the past mistakes of society before us in an exaggerated form and say that, on this basis, the functions of the state should be limited. But this viewpoint is not correct. The reason for this is that though the state did commit some mistakes in the past, yet this fact cannot become a guiding factor for future, because as compared to state, private institutions have committed more mistakes, on which the individualists depend very much. In the past, the state has performed many such functions as proved beneficial to the individual and the society. Functions like social security, labour welfare, abolition of zamindari, control on prices, education, health and increase of productions, performed by the state, endorse this view. It is also not necessary that the state would repeat its past mistakes in future also. The fact is that the state would definitely learn something from its past mistakes and it would not repeat those mistakes in future.
- 8) **We need state for furthering human welfare:** If we accept the individualists' view, the functions of the state would be limited. Now the question is, who should make arrangements for Railways, Posts and Telegraphs, education health, roads, hospitals, electricity, dams, etc.? Individualists want to transfer all these functions to private hands, but private institutions cannot perform these functions properly. This has been proved in almost all the countries. Therefore, it is essential that the functions of the state should be expanded.
- 9) **Individualists' notions about the individual and society are wrong:** Individualists' notion is that by nature man is selfish. Society for them is a collection of disintegrated individuals, but both these notions are wrong. The fact is that though man is selfish to some extent, yet he is social. Were he not a social animal, human

civilization would not have progressed so much. Secondly, human society is not an inanimate thing like a machine. It is an institution with organic unity in it.

7.2.2 Modern Individualism

The distinction between modern individualism and nineteenth century individualism is that nineteenth century individualism gives more importance to individual than the state and in order to protect individual liberty, it wants to limit the functions of the state. On the other hand, modern individualism lays more emphasis on groups and associations and considers the state an association like other associations. The common thing in both of them is that both want to place limitations on the powers of the state. In short, modern individualism is a form of pluralism.

The following are the causes of its origin: (1) Increase in associations in human society and the acceptance of their importance as compared to state. (2) During the First World War the European governments acquired all powers, suppressed the individual freedom and acted arbitrarily. Thus the people started thinking of imposing restrictions on the absolute and unlimited powers of state. (3) Many people even objected to the majority rule in democracy and the states acting in an arbitrary manner. Thus, in order to protect the minority from the dictatorship of the majority, the intellectuals emphasized that a check should be imposed on the powers of the state. Moreover, these powers should be decentralized.

Exponents of Modern Individualism Grham Wallas, Norman Angell, Miss Follett and many other Guild socialists are the exponents of modern individualism, Garham Wallas, in his book, 'Great Society' exhibits a, "distrust of the power of the over-developed state". According to him, centralised state with parliament composed on the basis of territorial representation, is hardly an effective organ for the expression of popular will. Therefore, he recommended the organisation of the second territorial basis. He condemned the dictatorship of the majority. For the economic and educational functions, he suggested the establishment of special, elected bodies, which may also have representatives of professional organisations.

Norman Angell was a great supporter of Internationalism. He strongly opposed the enhanced powers of the state in his book, "**The Great Illusion**". He said that people come together for their common economic interests. Generally, man does that job which is useful from economic point of view. But different states compete with one another and they instigate the people in the name of national interest. When the people start thinking as one unit of international economic society, they will give up the modern society based on territorial limits and they will aspire for the society based on economic classes. Miss Follett in her book, 'The New Stage' has thrown light on the relations between individual, association and state and has laid emphasis on the importance of associations. She has said that man-can develop his personality through groups only.

Guild-socialists also lay a special emphasis on professional groups in the society. They say that on territorial basis the representation of varied interests is not possible in modern parliaments. Therefore, along with the establishment of political democracy, they say that there should be separate institutions for industry, religion, education and other activities and the state should have minimum right to interfere in their affairs.

In this way modern individualists attach more importance to groups in society than

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to individuals and they recognize the separate existence of groups and associations. The function of the state is that it should create some co-ordination between their activities. State is an institution like other institutions and it should not claim any special allegiance of individuals. The state is not an indispensable institution.

7.3 UTILITARIANISM

Utilitarianism was basically an ethical theory. The original basis of this theory was Hedonism, a psychological theory. According to Hedonism, the main aim of life is the achievement of maximum pleasure. According to this theory, the value of an act is to be assessed on the basis of pleasure and pain which it gives. The act which gives maximum pleasure is good and the act which gives pain, is bad. Therefore, the criterion of each act is pleasure and pain. The actions which cause pain should be avoided by the individual and the state, and the action which brings pleasure should be performed by the individual. The actions which bring pleasure for the individual are useful, and those which bring pain to him, are useless.

The form of utilitarianism and state As a school of political thought, utilitarianism owes its origin to Jeremy Bentham, an English thinker of the nineteenth century. According to this theory, the government should promote “the greatest good of the greatest number”, or maximum welfare of maximum people. Jeremy Bentham and J.S. Mill were the main supporters of this theory. The utilitarian’s opposed the principle of natural rights and the theory of social contract. They said that the people created state for their own benefit. They were not prepared to accept the divine right concept of the state. The state is there, because it is a useful institution. The basis of the functions and rights of the state is ‘maximum welfare of the maximum number’. Which functions should or should not the state perform, will be decided by the fact as to which functions guarantee the maximum welfare of the maximum number. The utilitarian’s were reformists. Therefore, they supported the interference of the state in the reforms of certain social evils and defective laws because it will ensure maximum welfare of the maximum people. Thus they adopted a middle course between idealism and individualism. They were not in favor of idealism because it absorbs fully the individual’s personality in the state. Nor were they wholly in favor of individualism, because according to it the functions of the state are only protective.

Though the amalgamation of utilitarianism and individualism was never complete, yet the utilitarian’s leaned towards individualism to a great extent. It was so because John Stuart Mill was both utilitarian and individualist. In its early stage the nature of utilitarianism leaned towards the view that the society should be evaluated from the point of view of individual comfort. Besides like individualists, the utilitarian’s were the supporters of private enterprise. They agreed that the maximum welfare of the individual is possible only when in the economic field, the individual is left free. It means that the state should have minimum interference in his functions.

The utilitarian’s, inspired by the feeling of the public welfare, organized campaigns for improvements in public health, education and reforms in the systems of jails and administration. They were successful in their aim to a great extent. The utilitarian’s wanted progress. Their aim was public-welfare. They said that everything of the individual depends upon the organisation and existence of the state. The aim of the law should be

the maximum welfare of the people. The existence of the state and other institutions depends upon their utility.

7.3.1 Development of Utilitarianism

The seeds of the theory of utilitarianism which is based on Hedonism can be discovered in the ancient times. In ancient Greece, the Epicurian philosophers, and the 'Charwak' philosophers in India also, had faith in Hedonism. We see a glimpse of this philosophy in the views of Hobbes and his contemporary critic Richard Cumberland. After this, certain simple hints are also available in John Locke's books, "Essay on Human Understanding". Francis Hutcheson has also expressed his views on this subjects as he says, "The action is best which procures the greatest happiness for the greatest number".

First of all English philosopher David Hume explained this theory in a clear form. David Hume said that the basis of the state is utility and he condemned the theory of Social Contract. He emphasized the fact that the state should perform such functions as help in creating the maximum welfare of the maximum people. David Hume's influence was also seen in France and in the latter half of eighteenth century. Helvetius (1715-1771) and Holbash supported these views. They also made pleasure and pain as the criterion for public functions and said, that only those functions are proper through which the maximum welfare of the individual is achieved.

View of Jeremy Bentham (1748-1832). Bentham developed the views of the philosophers mentioned above and the explained utilitarianism in a clear, detailed and systematic manner. Bentham, in his first book, 'Fragment on Government' criticized bitterly Blackstone's 'Commentary on the British Constitution'. This book was published for the first time in 1773, which made him popular. His second book, 'Introduction to the Principles of Morals and Legislation' was published in 1789. In this book much light has been thrown on the philosophy of utilitarianism. Their slogan was, "Nature has placed mankind under the governors of two sovereign masters, pain and pleasure. It is for them alone to point out what to do, as well as to determine what we shall do".

According to Bentham, the only criterion' to measure virtue and vice, is pleasure and pain. If we derive pleasure from an action, that will be a good action and if we derive pain from it, it will be a bad action. Good work is worth doing, while a bad action is to be discarded. Bentham has given a list of 14 pleasures and out of those 14, important pleasures are- reason, wealth, proficiency, friendship, reputation, strength, magnanimity, and religious mindedness. He along with fourteen pleasures, counts twelve pains also, among which ill-fame, enmity, malice, vulgarity, want, etc., are the main pains. According to Bentham, the theory of utility is the direct result of pleasure and pain. Bentham defines utility as "that property in any object, whereby it t tends to benefit, advantage, evil or unhappiness or to prevent the occurrence of mischief, pain, evil or unhappiness to the party whose interest is considered. This principle holds good not only in case of individual functions, but also in regard to the functions of government". Bentham said that the basis and origin of law can be traced in utility new laws should be useful for human society. Therefore, he laid special! the maximum welfare of the maximum people. He accepted the SUE. Democratic rule, as maximum welfare of maximum number is possible only in this rule. He refused to endorse the theory of natural rights, because he said that rights were possible only in state. He also criticised the Social Contract theory,

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1 according to it the basis of the state was contract and not utility. He said that we acted according to the orders of state, because those orders were useful. His aim! Public welfare and thus he tested all the functions and policies of the state on the basis of utility.

Bentham considered it unreasonable to impose any type of control of the constitutional sovereignty of the state. He said that the will of sovereignty in the form of order was law. He was not in favour of any law or constitution which imposed restrictions on the powers of a sovereign. He said, that if the powers of the sovereign were not limited through any agreement or rule, they would be unlimited. However, he wanted that the sovereign should see, before issuing any order whether it was in conformity with the public interest or not. If the order went counter to public interest, the people would revolt against it.

James Mill (1773-1836)

James Mill supported Bentham's utilitarianism. He said the state should not make such laws as to encourage anyone to achieve his own pleasure, and harm the pleasure of others. Therefore, the state or government should impose a check on the improper actions of the individuals. It should strive for the maximum welfare of maximum people. He was not opposed to monarchy. He wanted a reform in bad laws. Bad laws were those laws which proved harmful for maximum people. He did not want to abolish the House of Lords, but he wanted to impose a check on its powers. He was a supporter of democracy, and for this purpose, he was in favour of giving more power to the middle class people.

John Stuart Mill (1806-1873)

John Stuart Mill was the son of James Mill. He was a great logician, economist, philosopher and politician. Though he accepted the basic tenets of Bentham and also of his father James Mill, yet he made some amendment according to the needs of the times. For instance, according to Bentham, all pleasures are equal and there is only a difference of degree and not of quality. Mill disagreed with this notion and said that there is a difference of degree as well as a quality in pleasure. For example, the pleasure that a mean person derives from sexual act, gambling or drinking is inferior to the pleasure that a poet derives from his poetic creation. Thus John Stuart Mill has said, "It is better to be a human being dissatisfied than a pig satisfied. It is better to be a Socrates dissatisfied than a fool satisfied". Mill also did not agree with Bentham on another point. He supports public interest instead of individual interest. He writes, "The utilitarian standard is not the agent's own greatest happiness, but the greatest amount of happiness altogether. As between his own happiness and that of others, utilitarianism requires him to be as strictly impartial as a disinterested and benevolent spectator. In the Golden Rule of Jesus of Nazareth, we read the complete spirit of the ethics of utility. To do so as one would be done by and to love one's neighbour as oneself constitute the ideal perfection of utilitarian morality". Therefore, Brown writes that John Stuart Mill made Bentham's dry morality generous and in this way made utilitarianism more human, though there was deficiency in his pure logic.

John Stuart Mill was a great supporter of individual liberty. He expressed his views about liberty in his book '**On Liberty**', which was published in 1859. He also supported the holding of differences of views and the toleration of those differences of opinion. He

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writes, “If all mankind minus one were of one opinion, mankind would be no more justified in silencing that one person than he, if he had the power, would be justified in silencing mankind”. He further said, “If the opinion is right, they are deprived of the opportunity of exchanging error for truth; if wrong, they lose, what is almost as great a benefit, the clearer perception and livelier impression of truth, produced by its collision with error”.

Mill expressed his views about the administration in his book, ‘Representative Government’ which was published in 1861. Mill was the supporter of democracy, but in democracy, too, sometimes, we discover the atrocities of majority over the minority. Therefore, for the safeguard of the minority interest, he supported the system of Proportional Representation. He said that the majority had no right to suppress the feeling of the minority. He supported the system of Plural Voting for the protection of minority interests. He considered character and education as the main basis of democracy. Therefore, he suggested that prior to granting Adult Suffrage, every adult should be properly educated. He was a staunch supporter of women franchise. In spite of all this, it strange that he did not support secret ballot.

Mill has not used the word ‘state’ in his political philosophy, but according to his need, he used the word ‘society’ or ‘government. According to him, an ideal government was one in which the sovereignty lay in the entire society. Each individual should not only be given the voting right in the expression of sovereign will, but in practice he should also be given the right to take part in public affairs.

John Stuart Mill was a radical member of the British Parliament from 1866 to 1868. Therefore/he fully supported the interests of the labourers and also the Land Reforms in Ireland. In the economic field, he was a blind follower of individualism. He said that if the government, expanded its activities in the public interest, it was not objectionable. In his later life he seemed to be inclined towards socialism, because he wanted that the entire human society should have a control over the raw material of the world, like the socialists. But the basis of Mill’s socialism was the theory of individual interest. Mill was a political liberal. He wanted to protect the individual’s interest and he wanted to encourage the social interests to the maximum. As a good utilitarian, he accepted pleasure as the final criterion of human behaviour. At the same time, he laid stress on individual liberty.

After John Stuart Mill, there was no change in utilitarianism and many of his supporters like George Great, John Austin and Alexander Ben continued propaganda in favor of utilitarianism.

7.3.2 Criticism of Utilitarianism

Utilitarianism has been criticised as follows

- 1) **The moral and psychological basis of utilitarianism is not real:** Utilitarianism is based on the notion that whatever functions should or should not be performed by the individual, should be tested on the touch-stone of utility. If this notion is accepted, each individual will work only for his own pleasure. He will ignore benevolence, renunciation, service and sacrifice. This is the main drawback of Bentham’s theory. That is why Carlyal said angrily, “Bentham’s theory is the theory of the pigs”. He thought that “man is also a fleshy body, who need only physical

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pleasure and nothing else. There is no place for a thing like moral consciousness in his conscience". Robert A. Murrar writes, "If we take away conscience, as Bentham does, there is no such thing as moral or immoral action, though there may remain acts that are generally useful of the reverse. As there is no individual conscience, so there is no collective conscience. The culprit does not feel the censure of the community".

- 2) **Against human nature:** The utilitarian's are of the view that the individual does every work for the attainment of pleasure and for the avoidance of pain. But this analysis of human nature is one-sided. The fact is that human nature is complex. He has qualities like pity, faith, service, benevolence, love, sympathy, sacrifice and forgiveness in him. He fixes his high ideals on the basis of these qualities and bears every type of pain smilingly. For instance, when India was under the foreign rule, many people faced many hardships at the hands of Britishers. They did all these not for their personal pleasure but for their high ideals. Similarly, when in 1962 China invaded India and later on when in 1965 and 1971 Pakistan invaded India, thousands of heroes displayed exemplary courage and also sacrificed their lives. They did all this not for their personal interest but for the high ideal of the protection of their country. Buddha, Christ, Shivaji, Guru Gobind Singh, V.D. Savarkar, B.G. Tilak, Subhash Chandra Bose and Mahatma Gandhi sacrificed everything not for any personal pleasure but for high ideal of benevolence.
- 3) **The utilitarian's laid emphasis upon the material comforts only and ignored the spiritual happiness:** The utilitarian's have cared only for physical comfort, and have ignored the suppression of sense and self-control. They have also not cared for the spiritual comfort which one derives from self-sacrifice for the sake of humanity.
- 4) **It is improper to lay emphasis solely upon the quantity of pleasures:** Bentham has stressed only upon the quantity of pleasure. He has not taken up the qualitative difference therefore, John Stuart Mill has taken up the qualitative difference, which is appropriate.
- 5) **Bentham did not establish any reconciliation between the interests of the individual and those society:** Max has written, "Nor was Bentham able to cross the chasm between individual and social utility". He did not agree that it was difficult to make any difference between the individual interests and social interests. C.L. Way per has rightly said, "Besides in his portrayal of the hedonistic individual, Bentham seems to have left life out of the picture in his study of the atomic Individual, he has left out both society and history".
- 6) **The doctrine of maximum welfare of the maximum number is not free from complications.** Sometimes it is possible that the majority may become selfish and in the name of maximum welfare of maximum number, it may suppress the minority. For instance, the Muslims of Pakistan have turned out the Hindus from their country. This is altogether unfair. Therefore, many atrocities can be committed in the name of this doctrine.
- 7) **This theory ultimately leads to the theory of Laissez Faire.** A majority of the utilitarian's were in favor of the view that the government should not interfere in

the affairs of the individual, so that the individual should be in a position to achieve maximum welfare. Though, in public interest, John Stuart Mill accepted some control of the state, yet he was chiefly a utilitarian. The policy of Laissez Faire harms the interests of the poor and the weak sections of society. Thus this theory suffers from many weaknesses.

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7.4 SOCIALISM

It is difficult to say what socialism is because socialism emerged as a sharp reaction to individualism. It is a political philosophy as well as a great movement. In socialism, economic principles and logic have amalgamated with the political principles in such a manner that it has become extremely difficult to separate them. Secondly, the supporters of socialism hold similar views, regarding many things and because of many contradictory definitions of this subject, it has become difficult to decide which of the definitions is correct. Thirdly, the term socialism is also used for a particular set-up and way of life. Therefore, different writers have used socialism in different ways with different meanings. That is why Joad writes that "Socialism is like a hat that has lost its shape because everybody wears it". Though there is difficulty in explaining the meaning of socialism and there is no uniformity in various social notions and principles and programmes, yet many things are common among them, for instance, all socialists are against capitalism whether they are Communists, State-Socialists or Collectivists, or Syndicalists, Guild Socialists or Anarchists. They want the socialisation of the means of production. This means that they want social control over the means of production. This is the broad meaning of socialism. If socialism is used in a narrow sense, it will mean Collectivism or State Socialism. Now we give some definitions of socialism which will help us in understanding the meaning of socialism more clearly.

Definitions of Socialism: The following are some of the popular definitions of socialism

- 1) Humphrey says, "Socialism is a system of society in which means of the life belong to the community as a whole and are developed and operated by the community with the aims of promoting the general well-being".
- 2) According to **Encyclopedia Britannica**, "Socialism is that policy or theory which aims at securing by the action of the central democratic authority better distribution and in due subordinate thereto, a better production of wealth now prevails".
- 3) According to **Hugham**, "Socialism is the political movement of class which aims to abolish exploitation by means of the collective ownership and democratic management of the basis instrument of production and distribution".
- 4) Prof. Ely says, "A socialist is one who looks to society organised in the state for aid and bringing about a more perfect distribution of economic goods and an elevation of humanity, while individualists desire every man to work out his own salvation, material and spiritual".
- 5) Ramsay MacDonald writes, "No better definition of socialism can be given in general terms than that it aims at the organisation of material economic forces of society and their control by the human forces".
- 6) Sellers regards socialism a movement and says, "It is democratic movement whose

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purpose is the securing of an economic organisation of society which will give the maximum possible at any one time, of justice and liberty”.

Main features of socialism: All socialists, irrespective of their alignment with any branch of socialism, accept the four points, mentioned below:

- 1) State and not individual should control the means of production.
- 2) Production should be based on social necessity and not on individual profit.
- 3) Individual profit motive should be replaced by that of social service.
- 4) Open competition and arbitrary production should give way to cooperation and definite production.

Development of Socialism

During the period from 1750 to 1850, there was a great development of science, art and vocational knowledge in Europe. Therefore, the influence of middle-classes increased. After this, Industrial Revolution took place, and the capitalist influence increased. Though during the nineteenth century, many countries of Europe saw the rise of democracy and nationalism, yet due to the influence of individualism, governments did not feel it necessary to have economic control or to remove the ills of capitalism. Owing to this, the condition of the working classes deteriorated. Having been influenced by the condition of the workers, Karl Marx produced sufficient literature on scientific socialism. Prior to Karl Marx there were many socialists, who suggested social control over private property. They were deeply touched by the miserable conditions of the poor, and thus they suggested this measure. To differentiate them from Karl Marx, they are called Utopian Socialists, because they did not give any solid arguments like Marx about the practical form of socialism.

Essentials of Utopian Socialism: Utopian socialism had a great faith in human intellect, good nature and goodwill. These socialists were against capitalism and said that it created not only social and economic inequality, but also degenerated morality. Thus, they wanted to bring in socialism by abolishing capitalism. However, they believed that socialism could be established by will. This was a great mistake on their part.

Downfall of Utopian Socialism: There was less reality and more idealism in Utopian socialism. Therefore, when Karl Marx preached his scientific socialism, Utopian socialism vanished in no time.

Marx emphasised the socialisation of the means of production, which is the chief basis of modern socialism.

Arguments in Favour of Socialism

- 1) **Socialism contradicts capitalism which is based on exploitation.** Socialism is against capitalism, which is based on exploitation. The capitalists exploit the poor and lead an idle and luxurious life on the profits earned by the poor. There is economic inequality due to capitalism, which hinders social progress. Therefore, socialism wants to put an end to this exploitation and establish social equality.
- 2) **Socialism prevents economic waste due to open competition.** In a capitalistic system, there is open economic competition, in which much money is spent on propaganda, advertisement and on other such things. The capitalists do not produce

wealth according to the needs of the society, but they produce goods for their own benefit. This results in the production of some things and there is also dearth of many other things. This situation creates trouble for the society. Socialism removes both these evils of capitalism and lays emphasis on co-operation instead of an open competition.

- 3) **Socialism is based on justice more than capitalism.** Capitalism concentrates the capital of the society in a few hands, which is based on injustice. Socialism wants the social control over factories, ships and railways. It does not want that these should be controlled by a few persons. Therefore, socialism is based on justice.
- 4) **Socialism is more democratic than capitalistic system.** The question of economic equality does not arise in a capitalistic system, because in this system the wealth of the country is concentrated in the hands of a few persons. Where there is a great economic inequality, success of democracy becomes doubtful. Thus, in order to make democracy successful, it is essential to establish socialism.
- 5) **It is more natural.** The socialists are of the view that socialism is more natural than capitalism. Nature has distributed air, water, rain, etc., equally among all the people. Therefore, it is desirable that there should be social control over land and minerals.
- 6) **It is more scientific.** Socialism is more scientific than capitalism, because capitalism safeguards the interests of a few, while socialism protects the interests of the society. Socialism attaches more importance to the society, than to the individual and urges the individual to devote himself to the service of the community.

CRITICISM OF SOCIALISM

Socialism has been criticised as under:

- 1) **It kills individual initiative.** Each individual works more and more for private property. In socialism, private property cannot be utilized for investment in the market to earn profit. Therefore, individual initiative to produce more will be killed under social control.
- 2) **Under socialism, functions of the state would be so much enlarged that it would not be possible for it to discharge them well.** According to socialism the state should not only take up protective functions like maintenance of law and order, justice and protection against foreign aggression, but it should also increase the production. For this purpose it should take up the socialisation of the means of production. It will be very difficult for the state to perform enormous functions.
- 3) **Socialism will fail in practice.** Critics are of the view that socialism will fail in practice. Socialism wants to establish peace and economic prosperity and to remove economic disparity and social ills. But in practice this is very difficult to accomplish.
- 4) **Socialism divides society into two classes.** Socialism divides the society into two classes-Capitalists and Workers. Their interests are conflicting and there can be no unity between them. This brings about conflicts and clashes in the society.
- 5) **It kills individual freedom.** Socialism gives many powers to the state and it interferes in every sphere of the individual activity. This mars individual freedom.

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Socialism may be criticised bitterly, but the progressive powers of the world are against capitalism and they are in favour of socialism. Today socialism is seen in different parts of the world in one form or the other. Russia, China, East Germany, Yugoslavia, Czechoslovakia, Poland, Rumania, Hungary, Finland, etc., are socialist countries. In England in 1974 the Labour Party formed its government. In 1966 elections, Labour Party won with a thumping majority. In India the ruling Congress Party's aim is to establish socialism. The Congress repeated its determination in its 1955 session at Avadi (Tamil Nadu) and in 1964, at Bhuvaneshwar, to establish socialism in the country. Many of the drawbacks of socialism can be removed. It is positively better than capitalism and individualism, because its aim is to remove economic inequality and to establish comfort, peace and prosperity. Socialist governments have made many laws for the benefit of the workers and for the abolition of capitalism. Therefore, it is being expanded in the world at a great speed.

7.4.1 Marxism or Scientific Socialism or Communism

Karl Marx was the real founder of socialism. Socialism propounded is also known as Marxism or scientific socialism or communism. In his Corn Manifesto, Marx says, "Communism in this sense of word is essentially a theory method, it seeks to lay down the principles upon which the transition from capitalism to socialism is to be accomplished and its two essential doctrines are the class war and revolution that is the forcible transfer of power to the proletariat".

Life sketches of Karl Marx and Engels. Karl Marx was born at Traves in Germany in 1818. His father was a Jew who was a legal practitioner. Later, he embraced Christianity. Marx received education at Bonn and Berlin Universities. He studied law, history and philosophy at Bonn (Germany). He was a genius and he studied extensively during his whole life. In order to receive a doctorate degree, he wrote an original essay on the materialistic philosophy of Epicurus. In 1841, he obtained the degree of Doctor of Philosophy. Probably, Marx wanted to take up a teaching profession, but at that time his extremist views were not liked by the German Government and the University officials. Thus, he gave up his idea of teaching and became a free-lance journalist. In the beginning, he became Assistant Editor of Rhenish Times and later he became its Editor-in-Chief. There, he found his economic and historical knowledge as inadequate. Therefore, he made a profound study of socialism, economics, history and political science. After some time, owing to differences with the owners of the paper, he resigned.

In 1843, Marx married Jeni Faun Westfolhen. At the end of 1843, he settled in Paris along with his wife to study socialism, because Paris was a great centre of socialism at that time. There, he became one of the editors of Franco-German Year-Books. After some time the publication of Franco-German Year-Books stopped Therefore, Marx was out of job. He utilised his leisure time properly and established relationship with the French and German radical philosophers and socialists. There he also met the Communist anarchist Bakunin, Italian patriot Mazzini and French socialist leader Proudhon (1809-65), Friederick Engle's and Ferdinand Lassale (1825-64). Friederick Angles (1820-1895) came of a rich family. He helped Marx from time to time and they wrote many books jointly.

While at Paris Marx wrote an article which greatly offended the Prussian

Government. The Prussian Government asked the French Government to expel Marx and other radical philosophers. After that Marx went to Brussels, where in 1848, he wrote his famous small book '**Communist Manifesto**'. When the revolution broke out in Paris in 1848, he rushed to that place to take part in it, but the revolution failed. After that he went to Germany and took part in socialist revolution in 1848. He was arrested and tried for treason but was acquitted of this charge.

Ultimately, he settled as an exile from his homeland in London where he devoted his time and energy to writing books and pamphlets on socialism. He led a life of abject poverty in London, but he did not give up courage and continued his studies on socialism. In 1867, he wrote his world-known book '**Das Capital**'. His other important books are:

- 1) An Introduction to the criticism of Hegel's Philosophy of Rights, 1844.
- 2) Holy Family, 1845.
- 3) Philosophy of Poverty, 1847.
- 4) Critique of Political Economy, 1852.
- 5) Inaugural Address, 1864.
- 6) Value, Price and Profit, 1867.

In 1865, he established International Working Men's Association, which is also called 'First International'. Marx died in 1883 in London. Laski has given account of Marx's contribution as under:

"From whatever aspect it be regarded, the work of Karl Marx is an epoch in the history of social philosophy. The vital fact about him is that he found communism a chaos and left it a movement. Through him it acquired a philosophy and direction".

Doctrine of Karl Mark

A) Dialectical Materialism of Karl Marx. Karl Marx was very deeply touched by the evils of capitalism which took birth due to industrial revolution. He was also influenced by the contemporary socialistic ideology and Hegel's Dialectic. Marx's ideology starts from Hegel's Dialectic. Therefore, it is essential to understand Hegel's Dialectic. Hegel was a German Philosopher and at time of Marx, Hegel's philosophy dominated the Bonn and Berlin Universities when he was a student there. He accepted the outer form of Hegel's philosophy and discarded its spirit. Hegel was a spiritualist. According to him the world including individuals and societies, is dynamic in nature; it is not static but is in a constant flux. An idea occurs in man's brain and many ideas crop up to support that idea. In this way, thesis is prepared, but certain defects are noticed in this thesis. Therefore, many views occur in man's mind against this thesis. Later, there is a compromise between these contradictory ideas and with the co-operation of the both a synthesis is produced. Then a reaction takes place in man's mind against this synthesis and coordination again becomes thesis. Then anti-thesis takes place and in the end synthesis is created with the reconciliation of the two. In this way, development takes place through thesis, anti-thesis and synthesis. According to Hegel, this cycle of human reason continues, because dynamism is the law of the mature.

Marx abandoned the idealism of Hegel and adopted the materialist view of the world. Thus, Marx's philosophy is different from that of Hegel. Marx himself admitted

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in the introduction of his well-known book 'Das Capital', "I found the Hegelian dialectic standing on its head. I put it on its foot". Marx believed that Hegel's theory was opposite to his (Marx's) theory, as his own philosophy is straight. Engels has skilfully explained Marx's dialectical materialism by giving an example of a barley seed. He argues, if a barley seed is sown, it will turn into an offshoot with heat and moisture. In this way, the barley seed will destroy itself but its offshoot shall take the shape of a plant. That plant shall bear many grains and with the labour of the farmer these grains can be of better quality. After some time, that plant will destroy itself and the seeds will reproduce many more plants. According to Engels, the seed is thesis and the plant is anti-thesis. Its fruit is synthesis. He has also given another example to explain thesis, anti-thesis and Synthesis, He says that in the beginning the entire society had a control over the land. This was a thesis. Later on, the idea of individual control cropped up. It was an anti-besis. Individual ownership on land was established and the production increased. The people supported this view. After the industrial revolution, many machines were invented. Therefore, the idea came up to adopt mechanical methods, in the field of agriculture to boost production, but the individual had no financial resources to buy tractors or to install tube wells for agricultural production. Therefore, the people demanded the social ownership of land and nationalisation of industries. In this way, a relationship was established.

W. shall take up other features of Marx's Dialectical Materialism

- 1) Joseph Stalin, in his book '**Philosophy of Marxism**' says, "Contrary to metaphysics, dialectics does not regard nature as an accidental agglomeration of things, of phenomena unconnected with, isolated from and independent of each, other but as a connected and integral whole in which things, phenomena are organically connected with, dependent on and determined by each other".
- 2) Regarding Dialectical Materialism Engels says, "All nature from the smallest thing to the biggest, from a grain of sand and sun, from the protista to man, is in a constant state of coming into being and going out of being, in a constant flux, in a ceaseless state of movement and change".
- 3) According to Dialectical Materialism, difference in quantity of things also bring difference in their quality. For example, when the boiling point of water exceeds a limit, it becomes steam and when it comes down considerably it freezes.
- 4) According to Dialectic, the process of the development and change of things is not simple but it is zigzag and complex. It is like a circle and an expanding line.

B) Economic or Materialistic interpretation of history. After this Marx tried to find out how capitalist society developed. He got clarification of this in the history and, therefore, he gives materialistic interpretation of history. For this purpose, he implemented his dialectical materialism in the process of the social development. Marx agreed with his master, Hegel that history represents a continuous and logical evolution but he differed from Hegel in maintaining that this dialectical movement was not due to any metaphysical causes but was the product of material conditions of life. In this way, he arrived at the economic explanation of the history of his theory. According to his theory, the historical events can be explained in the light of physical situations of life. Marx said, "Legal relations as well as forms of state could neither be understood by themselves, nor explained by the so-called general progress of the human mind but they are rooted in the material

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conditions of life. The mode of production in material life determines the general character of the social, political and spiritual processes of life. It is not the consciousness of men that determines their existence, but on the contrary, their social existence determines their consciousness". Marx further says that it is the forces of production, which determine the relationship of production and the relations of production in turn are the foundation on which the institutional and ideological superstructure of society is built. The change in the relations of production brings about a change in all other relations. In each age, the class which had control over the means of production had also control over the political power. During the middle Ages, Feudalism was in vogue. All the institutions and social ideologies were framed according to feudalism. When in Europe feudalism declined and nation-states emerged, all the institutions and ideals of society were framed according to them. When capitalism came into existence, the entire morality, ideals and institutions changed accordingly. Crossman sums up this theory in the following well-chosen words, "The wheel, the plough, currency and factory system, each in its time, had by its invention upset long-standing habits, moral laws, religious and political systems. It was the development of science of warfare, of communication, of farming, industry and finance which had really changed our ways of life and thought. These changes in the technique of production and distribution were primary factors in the dialectic of history; the principles of legislators and whims of princes could delay or accelerate change, but they were subject to the basic economic force which controlled the process".

How do the materialist circumstances influence our life? In order to make it clear, the example of Great Britain is given where the reason to give the right of franchise to women was given, not that their demands were just because John Stuart Mill had proved this with strong arguments, but the real reason for this was that a large number of women had entered the industrial life. Secondly, it is said that religious tolerance has not been given, because it was appropriate, but it was given because due to its absence domestic conflicts took place, which created difficulty in trade and commerce. Thirdly, the British did not introduce political reforms in India, because they considered the demands of the Indians as proper, but they did this because a contended India could serve as a good market for the finished products of Great Britain.

Along with the change in the system of production, there is also a change in the mutual relations of different classes. Marx, on the basis of the change in the relations of production has divided the human history in six parts.

- 1) **Age of Primitive Communism.** In this age, the institution of property had not taken birth and man had no knowledge even of agriculture and cattle-breeding. He had to live on hunted-animals and fruits. In this stage in each individual loved the other and they divided among themselves whatever they got.
- 2) **Age of Slavery.** In this age the agriculture and cattle-rearing started. Certain people were the owners of the land and certain people were slaves. It was the duty of the slave to produce and the master enjoyed the fruit of the slave's labour. Then feudal system emerged.
- 3) **Age of Feudalism.** During this age big landlords were the owners of the land and in place of slaves farmers tilled the land but they were not the owners of the land. They were completely under the control of their feudal lords.

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- 4) **Age of Capitalist Society.** The fourth age of capitalism started in Europe after industrial revolution. Many big industries were established and their owners were called capitalists. Millions of labourers worked in these industries. They got a meagre salary and the capitalist became the owner of the residual profit of the production. The capitalist had no control over the body or activities of the labourer as was the system in the age of slavery. During that age the masters had full control over the bodies of the slaves.
- 5) **Dictatorship of the Proletariat class.** Marx said that his age (nineteenth century) was the age of capitalism. There would be a constant struggle between the capitalists and the workers, because the capitalists exploited the workers constantly. In this struggle, the workers would ultimately be victorious. After the revolution, capitalism would perish and dictatorship of the proletariat would be established. Marx's prophecy came out to be fully true and today the dictatorship of the proletariat has been established in Soviet Union, China, Bulgaria, Hungary, Rumania, Poland, Czechoslovakia, Finland and Yugoslavia.
- 6) **Communist Age.** Marx predicted that the last age would be the communist age. In this age there would be no class struggle because capitalism would have perished in the first age and thus there would be only one class. A classless and stateless society would be established. In this age each individual would produce wealth according to his or her ability and each individual would get wealth according to his or her need.
- C) **Theory of surplus value.** Economists like Ricardo and Marx also believed that the price of a commodity is to be determined according to labour invested on it. Thus, according to Marx, the basis of wealth is labour. Marx was of the view that the labourers produce wealth with their labour, but the capitalists do not give them their share of profit. For instance, the capitalists purchase big machines and also establish big factories with their capital. Millions of labourers work in these factories. Due to lack of capital, the labourers cannot establish big factories. They are compelled to sell their labour and get employment in the factories established by the capitalists. The capitalists sell the finished goods at a high rate and give meagre wages to the labourers. The difference between the cost of the finished goods and their sale price is called profit. This process of earning profit is called the theory of surplus value. Marx held the view that this profit should go to the labourer and not to the capitalist because labour is the basis for production of all types of wealth.
- D) **Theory of Class War.** Marx is of the view that there have always I classes in the history of mankind, i.e., the exploiters and the exploited. Mail-laid stress on class struggle saying that, "The history of all hitherto existing society is the history of class struggle. Freeman and slave, patrician and plebian, self, guild-master and journeymen in a word oppressor and oppressed, stood constant opposition to one another, carried on an uninterrupted, now hidden, now open fight, a fight that each time ended, either in a revolutionary reconstitution of society at large, or in the common ruin of the contending classes".

According to Marx, the capitalists and the labourers do not reconcile in this struggle, because the capitalists are the exploiters and the labourers are the exploited. The interests

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of both these classes clash with one another. Therefore, this struggle can stop only if capitalism is abolished and the workers gain a victory. Marx was of the firm belief that germs are already present in the capitalism to destroy it, because the capitalism, with its inherent evils, creates a situation for self-destruction. Due to capitalism, the wealth of the country is concentrated in the hands of a few. On the other hand with the increase of industries, the number of labourers also increases. The labourers establish mutual contact due to concentration of mills in big towns and also because of the trade and capitalism assuming an international form. Transport facilities also play an important role in the field of the establishment of mutual contacts of the labourers. Later on, they establish national and international contacts. With the increase of capitalism, the condition of the workers worsens and great unrest spreads among them. Therefore, the labourers raise the banner of revolution. Marx prophesied that the workers will ultimately come out victorious in this struggle.

E) Capitalism carries within itself the seeds of its own decay. Coker has very ably defined the manner in which capitalism advances towards its own decay. He says, "Thus, the capitalist system enlarges the number of workers, brings them together into compact groups, make them class conscious, supplies them with means of inter-communication and co-operation on a world-wide scale, reduces their purchasing power, and by increasingly exploiting them, arouses them to organised resistance. Capitalists acting persistently in pursuit of their natural need and in vindication of a system dependent upon the maintenance of profits are all the time creating conditions which stimulate and strengthen the natural efforts of workers in preparing for a system that will fit the needs of working men's society".

Though according to Marx the seeds of its own decay are present in capitalism, yet in order to destroy capitalism at the earliest, the workers must organise themselves and they should bring about a revolution. That is why Marx wrote at the end of his manifesto, "the Communists disdain to conceal their views and aims. They openly declare that their ends can be attained only by the forcible overthrow of all existing social conditions. Let the ruling classes tremble at the communistic revolution. The proletarians have nothing to lose but their chains. They have a world to win. Working men of all countries, unite".

Dictatorship of the proletariat class and establishment of Communism: Marx says that after the revolution, the dictatorship of the proletariat will be established and the capitalism shall perish. The communist party shall be responsible for the organisation of the Communist forces. The working class shall control the government. With the help of the government there will be socialisation of the means of production. With the socialisation of the means of production, the capitalists and their supporters will enter into competition and they will try to organise a counter revolution. In order to crush the capitalists completely there, will be the dictatorship of the proletariat in transitory stage. When the capitalism is crushed by force only the laborers will remain and there will be end of class struggle. Marx says that in the long run a stateless and classless society shall be established. In this society, the principle of distribution shall be from each according to one's ability and to each according to one's needs.

CRITICISM OF MARXISM OR COMMUNISM

Communism has been criticised as under

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- 1) **Karl Marx's analysis about the laws of capitalistic development has not come true.** Karl Marx was of the view that due to expansion of capitalism, petty capitalists would perish and they would not be in a position to face big capitalists in open competition. According to him, wealth would be concentrated in the hands of a few capitalists and the condition of the workers would worsen day by day. Karl Marx's prophecy has not come out true because petty capitalists have not perished in competition of the big capitalists and condition of the workers has not deteriorated. On the contrary, it has improved. This is due to the establishment of welfare state in many countries. The governments are making many good laws for the benefit of the workers.
- 2) **Marx's economic interpretation of history is one-sided.** Marx said that changes in the history of making have been due to economic reasons. He has not attached any importance to other reasons, which is not correct. The various activities in the history of mankind cannot be explained fully on economic basis. The other factors like geography, psychology, religion, and social, political and sexual activities have also played a very important role in the history as is the view of socialists like Giddings and Hobhouse.
- 3) **The Theory of Surplus Value does not contain the whole truth.** Marx has accepted that the labour is the only source of wealth and he has completely ignored all other factors like capital, machinery, organisation and management of factories. Therefore, the modern economists accept the truth of the theory of surplus value only partially.
- 4) **Marxism or Communism does not attach any importance to religion.** Karl Marx has criticised religion, and he has called it opium for the labourers. This is not true; Religion does not preach the exploitation of laborers by the capitalists. On the contrary, religion is against all types of exploitation and it lays special emphasis on the help to the poor, morality, benevolence and sympathy. That is why the Christian socialists condemned the capitalists for exploiting the workers. Anti-religious propaganda is carried on in Russia on a large scale. The Communists do not believe in God and spiritualism.
- 5) **Marxism ignores democracy.** Karl Marx emphasised the establishment of dictatorship in the transitory stage and completely ignored democracy after the communist revolution. That is why democracy could not be established in the countries in which Marxism was brought into force. This is the position in Soviet Russia, China, Bulgaria, Czechoslovakia, Poland and Hungary and Finland. Though all types of rights have been granted to the citizens in the constitutions of these countries, yet democracy has not been established there, because of the lack of independence of judiciary and freedom of speech and press. There is only one communist party which is the ruling party. Besides, that no other political party can be organised in these countries
- 6) **Marxism or Communism is opposed to nationalism.** Marx said, the proletariat has no fatherland. Communism is an international movement and the-communists want to bring in communism in the world. For this purpose they continue their violent activities in the countries where communism has not flourished as yet. They

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do not believe in patriotism. During Marx's life when a war broke out between France and Germany in 1870, his followers said that it was immaterial whether Germany or France won a victory, since the war was going on between two capitalist countries, thus, this slogan proved very unpopular in France and Germany. The Communists were branded as seditionists, and they were arrested. In our country, when in 1942 Mahatma Gandhi and the Congress started Quit India Movement, the Communists, who were then a part of the Congress, opposed this movement and supported the British. That is why they were expelled from the Congress as seditionists. When Jinnah demanded a separate homeland for the Muslims in the name of the right of self-determination, and the creation of Pakistan by dividing the country, the Communists justified this demand. When in 1962, China invaded India, the leftist communists, instead of taking India's side, supported the Chinese. Therefore, they were arrested for this anti-national attitude.

- 7) **Marx's principle of distribution is not practicable.** Karl Marx said that in the Communist society the principle 'from each according to one's ability and to each according to one's needs' should be adopted. This principle is impracticable. This principle has not been adopted even in the countries like Soviet Russia, China and other countries of Eastern Europe when communism has been brought about by force. It is difficult to determine the actual needs of the individual.
- 8) **Communism believes in sabotage and violence.** The Communists do not believe in parliamentary or non-violent methods for bringing about Communism. They want to overthrow the existing governments by conspiracy and sabotage, and establish communist governments in their place. North Vietnam took similar action South Vietnam with the help of China, and war broke out between North and South Vietnam which culminated in the victory of North Vietnam. During 1948-50 North Korea indulged in similar activities in order to overthrow the government of South Korea. In the past this type of conflicts also took place in Laos.
- 9) **Class war will undermine the social unity and national security.** Continuous conflict between the capitalists and the workers for gaining power would prove harmful for the country. It will spoil the social unity and there will be a danger to the national security.
- 10) **State has not withered away.** Marx prophesized that the state would wither away, but this has not proved true. Since the Russian revolution in 1917, the state has not withered away and instead it has consolidated its position.
- 11) **Revolution has not taken place in many countries as envisaged by Marx.** Marx prophesized that first of all there will be a communist revolution in the industrially advanced countries like Germany and England and later on it will come in agriculturist countries like Russia. Revolution did not take place in Germany and England before the Russian revolution in November 1917, while after Second World War communist revolution swept agriculturally backward countries like China and some countries of Eastern Europe.
- 12) **The functions of the state will increase too much and individual initiative will be killed.** Communism makes the state so powerful that it controls each and every sphere of the individual's life. This ruins individual freedom and increases

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the dependence of the individual on the state.

13) It kills individual initiative. Communism does not allow the investment of private property in the market. This kills the individual initiative and affects the production, because each individual works more and more only because of the motivating force of personal benefit.

14) Wrong conjectures about State's nature. The nature of state as defined by Marx has also been criticised. He declared that the state was a capitalist institution. It is a tool in the hands of capitalists for the exploitation of the labourers. But the reality is different. State is neither a bad institution nor a good one. The virtue and vice of the state depends on the way the administrator makes use of it. Marx himself said that after social revolution it should be used for the destruction of capitalism and through it, socialism should be consolidated.

Importance and influence of Communism. Though Marx's views have been bitterly criticised on the basis of the factors mentioned above, yet his views have a great influence on the present-day world. Marx was not only a great thinker and philosopher but also a great revolutionary. One may or may not agree with his ideology, but it cannot be denied that all ideologies of socialism have got inspiration from Marxism. Marx's views have given a great set-back to capitalism and imperialism and the labour movements in the world received inspiration from them. As a result of Marx's views, many countries have made laws for the welfare of the workers. Marx's views had a great influence over Russia, China and many countries of Eastern Europe like East Germany, Poland, and Hungary. Rumania, Bulgaria, Finland, Czechoslovakia and Yugoslavia. Communist revolutions have taken place in these countries and the entire social and governmental set-up has been shaped according to the teachings of Marx. In different countries of the world, the communist parties are carrying out revolutions. Marx's philosophy is also influencing these revolutions.

Philosopher Russel writes, "Marxist doctrines like those of other men are partly false. There is much that can be controverted but there are some points in theory that are of such importance as to prove him a man of supreme intelligence". Sabine says, "The economic interpretation of history was certainly one of the most important additions made to social theory in the 19th century. In the words of Weyl, "For the power of his message, for the inspiration of his teaching and for his effect upon future developments, Marx can be sure of his place in any collection of world's great masters of political thought".

7.4.2 LENIN (1870-1924)

Life and work: Karl Marx died in 1883 and Frederick Engels died in 1895. After their death, the development of communism continued unabated. Among the disciples of Karl Marx, Nikolai Lenin is the most popular figure. He was born on 9th April, 1870 in Ulyanovsk (Russia). He founded the Communist Party of Russia in 1890. That was the first Communist Party of the world. In 1892, he came to St. Petersburg and studied closely Marxism and watched with keen interest the changes which Russia was undergoing. After this he founded the 'League for Emancipation of Working Class'. During this time he became a serious student of the philosophy of Karl Marx and devoted himself to the revolutionary activities. In 1898, he was arrested by the Czar Nicholas II

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(1894-1917) on account of his objectionable and revolutionary activities and deported to Siberia. During the period of his exile, his thinking about Marxism became quite clear and he systematised his ideas. He also studied many foreign languages during this period. After sometime he was released from jail.

Lenin shot into prominence only after 1900 when he expounded clearly that his Communist party would not be satisfied with anything less than the proletariat dictatorship through the revolution. This resulted into the division of the communist party in two opposite camps, Bolsheviks and Mensheviks. While the Bolsheviks agreed with the ideas of Lenin, Mensheviks did not agree with them. Mensheviks held the view that Russia was not ripe for revolution and were satisfied with democratic government if that was established. Lenin, however, stuck to his old ideas. However, on one point both the groups agreed that the Czarist regime should be overthrown. Secondly, on another point also both the groups of the Communist Party differed. While Bolsheviks headed by Lenin maintained that the land should be snatched from the landlords and should be distributed amongst the peasants, the Mensheviks held the view that the land after being snatched from the capitalists should be nationalised and not be distributed amongst the peasants. It was at this stage that Lenin was again arrested for his revolutionary activities because of being associated with 'Socialist Democratic Workers Party'. After sometime he was released. Then he started publishing his revolutionary paper 'Iskare' (Sharks) and began to preach his creed vehemently.

Revolution of March, 1917. In 1904-5 there was a Russo-Japanese war in which Russia was defeated. The public put the whole blame on Czar Nicholas II, the Emperor of Russia. So there were big demonstrations against him and also revolts at several places which were put down by a strong hand. However, there was a persistent demand for political reforms. Consequently, to satisfy the demands of the public, first Duma (Parliament) was called and the Czar inaugurated it in 1906. Though in this Duma, the representatives mostly consisted of landlords, yet they demanded more political rights, so he dissolved first Duma after three months.

Compelled by the circumstances, the Czar had to call the second Duma in March 1907. In this Duma (Parliament) there was a majority of the representatives of the labourers and the farmers. The Czar, due to his reactionary policies could not pull off with this Duma, so he dissolved it on 3rd June, 1907. After this he restricted the franchise greatly and held the elections again. In this Duma, the majority consisted of the representatives of the landlords who were supporters of the Emperor, so it could work up till 1912. After this, the fourth Duma was called and it continued up to 1917. The First Great War raged in Europe furiously from 1914 to 1918. Russia was on the side of the Allies (England, France, Italy, Belgium, Holland, Japan and U.S.A. etc.) and it fought the Axis Powers (Germany, Austria, Hungary and Turkey). Russia was badly defeated by the German forces in 1916. Consequently, great discontent prevailed in Russia against Czar Nicholas II. There was serious shortage of supply of everything in Russia. The soldiers were sent on the war-front without adequate latest weapons and equipment. The capitalists stocked the food and sold at a heavy price in foreign countries and earned big profit. Consequently, the people began to starve and there were big demonstrations against the Czar in Petrograd, the capital. There was also a great discontent amongst the soldiers because of the worst conditions under which they had to continue

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demonstrators with a strong hand but the Generals refused to fire against the hungry demonstrators. It assumed the shape of revolt up till March 11, 1917 and they fully sympathised with the leaders of the revolt. Under these circumstances, the Duma organised a provisional government under Prince Lvov on March 12, 1917 and the Czar was forced to abdicate. Czar Nicholas II abdicated in favour of his brother who refused to accept the offer. After this, the Czar and his family members were arrested. This is called the revolution of March 1917 in the history of Russia.

Lenin and Revolution of November, 1917. This provisional government could not work well as the First Great War was going on and due to the defeat of Russia; it had to face tremendous difficulties. It could neither satisfy the starving people nor the badly equipped soldiers. Therefore Bolsheviks led by Lenin and Trotsky gave a stirring call to stop the war, establish peace, reform the condition of the labourers the peasants, abolish the Zamindar (Landlordism) and capitalism and give aid to the millions of people, the Bolsheviks (Communists) established their Soviets (workingmen's organisations) which occupied the factories. The former occupied the lands for the landlords forcibly. The soldiers and the people were ready to side with Lenin because the people were starving and the war was being carried out in the interest of the landlords and the capitalists. There was great discontent against the provisional government and on 6th November, 1917, a revolt erupted against it. It tried to suppress the revolt and issued warrant of Lenin but could not achieve success. So on 7th November, 1917, the provisional government was overthrown and its members were imprisoned by the followers of Lenin. This was the revolution of November but as the Russian calendar was defective, so it showed 25th October. Therefore, it is also called October revolution. This was in fact a proletarian revolution led by Lenin. After this Lenin fulfilled his promises. In order to check the counter-revolution, the Czar, his family members and thousands of capitalists and landlords were put to death. Therefore the communist revolution was complete and Lenin became the head of the government on 26th November, 1917. He nationalised the banks and gave land to the peasants.

He died on 21st January, 1924 and was succeeded by Stalin

Works: Some of the important works of Lenin includes

- What is to be done (1902).
- Two tactics of Social Democracy in the Democratic Revolution (1905).
- Materialism and Imperialism criticism.
- Imperialism, the Final Stage of Capitalism.
- State and Revolution

U.S.S.R. has printed the collected works of Lenin.

Leninism (Communism). Karl Marx died in 1883 and Frederick Engels died in 1893. After their death, the development of communism continued unabated. Among the disciples of Karl Marx, Lenin is the most popular figure as he was the founder of the first Communist Party and socialist state of the world. Lenin considered Marxism as a continuously progressive principle. He is known as a staunch Marxist because he considered Marxism in the changed circumstances in a new way and expressed his views on many subjects. His ideology is called Leninism. Stalin has himself explained

Leninism in this way, "Leninism is Marxism of the era of imperialism and of the proletariat revolution. To be more exact, Leninism is the theory and tactics of the dictatorship of the proletariat in particular". Marx expressed his views in the era when capitalism had not fully developed and proletariat revolution was yet away, but Lenin expressed his views at a time when capitalism had already been developed and the proletarian revolution had taken place at least in Soviet Russia. Therefore, in spite of originality both differed from one another. Sabine has said:

"Lenin's Marxism was in the last degree dogmatic and orthodox and designed in large part to provide a creed for fighting organisation of professional revolutionists. Yet it was responsible for the most considerable changes that any follower of Marx made in Master's teaching".

Lenin's Theory of Imperialism: Like Marx, Lenin was a bitter opponent of capitalism. The hard fact is that he criticised capitalism more than Marx did. In his book, *Imperialism-the Highest State of Capitalism*, he writes that imperialism is the last stage of capitalism. He says that modern imperialism is different from ancient and medieval imperialism. Ancient and medieval imperialism was the real form of the urges for victory of the emperors, while modern imperialism is mainly economic. In the words of Sydney, "Lenin gave a new orientation to the Marxist analysis of Imperialist capitalism".

Marx had said that with the spread of capitalism, the condition of the workers would worsen. Critics of Marx and particularly Revisionist leader Edward Burnstein (1850-1932) said that Marx's prophecy had not come true, because with the expansion of capitalism neither the condition of the workers had worsened nor the number of capitalists had decreased. The downfall of capitalism has also not occurred. To save the situation, Lenin however expounded the theory of Imperialism which he defined as "final stage of capitalism beyond which it could go no further". For him it was a monopoly stage and there were no chances of free competition in that. According to him, small scale industries are converted into very large scale ones. Free competition, however, exists side by side the monopoly conditions and is accompanied by cut-throat competition. In this power goes in the hands of a few bankers and the state affairs are run, controlled and managed only by a few industrialists. According to Lenin basic principles of imperialism were (a) the monopolistic conditions play a prominent role in the economic life of the people; (b) export of capital becomes unusually important and maximum stress is laid on that; (c) there is a tendency towards international monopoly; and (d) finance capital creates financial oligarchy. Lenin himself has defined imperialism in the following words, "Imperialism is capitalism in that stage of development in which the dominance of monopolies and finance capital has established itself, in which the export of capital has acquired pronounced importance, in which division of world among the international trusts has begun, in which division of all territories of the globe among the biggest capitalists powers has been completed".

According to Lenin, Marxian prophecies would certainly have come true, had not the economic conditions changed which Marx foresaw. After the death of Marx, industries have monopolised and the industrialists instead of looking for the national capital began to depend on the banks for financing their capital. The capitalists instead of depending on the local market began to depend on the national and international markets. According to Lenin, the capitalist countries faced their ruin and the condition of workers had worsened. But now they have explored new colonies and while exploiting the people in

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these colonies, they have not improved the condition of all the classes of society. In fact, the condition of these colonies is bad and they have full right to freedom. Therefore, Marx's views that with the increase of capitalism, the condition of the workers would worsen should be applied to the people of those colonies whose condition is worsening continuously. Lenin was of the view that there will be an increase in monopoly in modern capitalism and the capitalists' bank shall have a control over the industries. The capitalists will invest the money in foreign countries in order to earn wealth. After that there will be a great struggle among the capitalists in order to establish monopoly in international field and themselves. This process ultimately leads to World War. In the words of K. Kautsky, "Imperialism is a product of highly developed industrialism and capitalism. It consists in the striving of every industrial capitalist nation to bring under its control or to annex larger areas, of agrarian's territory, irrespective of what nations inhabit those regions". According to Lenin, imperialism will also lead to a conflict between imperialist nation and its dependent colonies. It will result in a class struggle between the dependent colony will fight for its independence against the imperialism and imperialism is bound to decline. Lenin's prophecy has come true because Britain was first class imperialist power at the time of the First Great War (1914-18) and after the Second World War (1939-45), its imperialist power began to decline. India, Burma, Sri Lanka and many other Asian and African countries gained independence. Like the British colonial empires, French and Portuguese colonial empires have come to an end. Thus, the political imperialism has come to an end but economic imperialism of U.S.A. continues.

Lenin on State. Lenin like Marx held the opinion that the State was a capitalist institution, so it was a capitalist institution and was an important instrument in the hands of the capitalists to crush the workers and peasants. Whenever the workers and the peasants rose in revolt against the oppressive state, then the State came to the rescue of the workers. In the words of Laski, Lenin believed that "State is a product and manifestation of irreconcilability of class antagonisms". He maintained that the capitalists directly or indirectly are in the majority in the legislatures, and as such minority cannot expect justice at their hands. He was of the opinion that the State helped the capitalists to control the means of production and distribution. The capitalists after controlling the means of production and distribution maintained their monopoly and fully exploited the workers. While the anarchists held the opinion that the State should be dispensed with at once to solve the problem, Lenin on the other hand maintained that "the workers needed the state in order to overcome the resistance of the exploiters after the revolution". As the justice is also managed by the capitalists through the agency of the state, so the present judicial institutions should also be dispensed with to impart justice to the workers and the peasants. Lenin was of the opinion that through these institutions the State maintains and perpetuates its control over the exploited, so there was no need of the capitalist state and its judicial institutions.

Lenin on Parliamentary form of Government or Democracy. Lenin, being a Marxist, did not believe at all in the parliamentary form of government because it represented the capitalist democracy. He thought that in this form of government, the representatives hardly mattered because the representatives of the ruling party were controlled by the Prime Minister who protected generally the interests of the bourgeoisie and the capitalists. Therefore, he wanted to replace the parliamentary institutions by the Soviets

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(Workingmen's organisations). In the words of Coker "A Soviet represents working man's constituencies-grouped in factories, workshops are unions-rather than in residence districts which correspond to no real units in the economic and social interests of working men". Lenin believed there was no need of the Upper House and the constitutional monarchies should be abolished. The whole power should be vested from top to bottom in the Soviets who are elected by the electorate to represent their cause and to protect their interests.

According to Lenin, pure democracy was the phrase of Liberal who wanted to dupe the working class. He condemned the writings of Kautsky for their attitude towards the so-called bourgeois democracy. He stood for the dictatorship of the proletariat. He had no faith in the democratic traditions as they exist in the world today because they represent the capitalists' interests. Lenin has observed:

"Dictatorship does not necessarily mean the abrogation of democracy for that class which wields it against the other class, but it necessarily means the abrogation or at least an essential restriction (which is one of the forms of abrogation) of democracy for that class against which the dictatorship is wielded. Dictatorship is an authority relying directly upon force, and not bound by any laws. The revolutionary dictatorship of the state is an authorized maintained by the proletariat by means of force over and against the bourgeoisie and not bound by any laws".

Time for Socialist Revolution according to Lenin

Marx was of the view that first of all revolution will take place in industrially advanced countries. Revolution will take place afterwards in backward countries. In the beginning, Lenin also endorsed this view, but later on he saw ripe conditions for revolution in Soviet Russia, and he brought about a revolution there. Many of Marx's staunch followers opposed this and said that the Russian Revolution was against Marx's principles. Lenin justified Russian Revolution. He said that for revolution Marx had analysed the state of capitalism in each country separately, but then capitalism had assumed a universal form. Therefore, socialist revolution could be brought in the countries where the chord of capitalism was weak, the position of the ruling class was not stable and most of the people were willing to support the revolutionaries. According to Lenin, all those conditions prevailed in Soviet Russia. Therefore, it was fully justified to bring about a revolution there, he said that it was not necessary to wait for the development of capitalism in any country and that revolution could be brought about in any backward country like China and India. Thus, we see a difference between the views of Lenin and Marx, but under the changed situations, Lenin justified his views.

Use of farmers in revolution by Lenin

Marx considered farmers as backward people. He considered the proletariat as the fore-runner of revolution. Though Lenin agreed with this view, yet there was a majority of farmers in Russia and they were ready to help Lenin in the overthrow of the government. Therefore, he considered them as one of the important factors in the revolution.

Lenin's view about the creation of socialistic ideology among the labourers

Marx and Engels were of the view that under capitalism, the labourers who worked in bad conditions would automatically became conscious and socialistic views would spread amongst them. Marx said that the laborer's salvation was in their own hands. On the

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other hand, Lenin said that the history of the world bore a solid testimony to the fact that the labourers were conscious enough to organise themselves into various organisations and they might snatch some facilities or get the laws passed for their own benefit from the government and from the capitalists. But socialist revolution could not originate among them. It could be brought from outside. Only communist party could infuse social consciousness among the labourers.

Dictatorship or Proletariat According to Lenin

Marx said, after revolution the first function of the working class would be to become administrators and to establish democracy. In 1891, Engels clearly wrote, "If anything is certain, that is only one thing that our party and working class can derive power only in the Democratic Republic, as has been made clear by the French Revolution". In fact, this is the real form of the dictatorship of the proletariat. After the revolution, the dictatorship of the proletariat established by Lenin was in fact the dictatorship of the Communist Party. He said that this party would lead the proletariat. Marx and Engels did not pay much heed to the organisation of the Communist Party. They thought that due to bad conditions under capitalism, the labourers themselves march towards revolution. The Communist Party could only give to the proletarian revolution. During Lenin's period certain Communist leaders wanted to organise the Communist party on the democratic lines of capitalist parties but Lenin opposed it bitterly. He sharply criticised the loose organisation of the Communist Party and he said that those who had only some sympathy for Communism should not be included in the party. Only the tried workers and those persons, who were ready to sacrifice everything for bringing about Communist revolution, should be included in the party. He laid a special emphasis on the Democratic Centralism within his party. It meant that the lower units of the Communist Party should elect the upper units and there should be a free debate among them for the formation of policy. The majority decisions should be imposed on the minority. However, ultimately, they will have to act according to the directions of the central leaders. It will help in the maintenance of strict discipline in the party. In his view such a party would be successful in bringing about the revolution. Russian revolution has proved the truth of his view.

Lenin's views About Withering away of the State

Marx was of the view that through the dictatorship of the proletariat, capitalism would perish and after that the state would wither away. In this context, Lenin said that Soviet Union was living in the midst of the most powerful capitalist countries of the world. Therefore, until and unless all the capitalist states of the world are not abolished, the Soviet Union would also not abolish its state.

Lenin's attitude towards Religion and Morality. Like Karl Marx, religion had no place in the philosophy of Lenin. He condemned the philosophy of Tolstoy. He called him as the "exhausted, hysterical, misery-mongering Russian intellectual". Lenin's attitude on religion can best be explained in his own words thus:

"We therefore reject every attempt to impose on us any moral dogma whatsoever as an eternal, ultimate and forever immutable moral law on the pretext that the moral world too has its permanent principles which transcend history and the difference between nations".

According to Lenin, "Religion helped the exploiters to exploit the poor. The party of the

Proletariat demands that the Government shall declare religion as a private matter but it does not for a moment regard the question of the fight against the opium of the people, the right against religious superstition as a private matter. We demand that religion be regarded as a private matter as far as the state is concerned, but under no circumstances can we regard it as private matter in our own party”.

Regarding morality Lenin says, “It is frequently asserted that we have no ethics, and very frequently the bourgeoisie says that we communists deny all morality. We say that our morality is wholly subordinated to the interests of the Proletariat. We deduce our morality from struggle of the Proletariat”.

LENIN’S CONTRIBUTION TO MARXISM (COMMUNISM)

One of the greatest contributions of Lenin was that he adapted Marxism to Russia. Lenin was a Russian and being an arch revolutionary very soon realized that revolution was possible in Russia only under certain circumstances. The Czar must be defeated in war and there must be a group of highly disciplined and professional revolutionaries who must be in a position to take over the Government of the country. Before the outbreak of the First Great War, Lenin was convinced that there would be world war and Russia would be defeated but the real problem before Lenin was how to train revolutionaries who could take over the government in the event of the defeat of Russia. However, Lenin had to face great difficulty because Marx predicted that a revolution could take place only in a country where there was full-fledged capitalism. There were no short-cuts to revolution. However, Russia was essentially an agricultural country and there was no full-fledged capitalism there. Therefore, the philosophy of Marx could not be applied to Russia. In spite of this difficulty, Lenin came to the firm conclusion that the revolution could take place in Russia if Czar, Nicholas II was defeated in the war and a most disciplined and secret cadre of the Communist Party was ready to take the reigns of the government.

Lenin on the role of professional revolutionaries: According to Willium Ebenstein, “Lenin’s most important single contribution to the theory of Marxism is his concept of the professed revolutionary. Marx thought that class-consciousness would develop in the working class spontaneously due to economic misery and the leadership would come from their ranks. Lenin on the other hand, considered that a disciplined Communist Party could only arouse political consciousness amongst the workers and lead Russia to revolution. For that purpose Lenin believed that first workers were to form labour organisations with primarily economic objectives, operating openly, legally and as publicly as conditions allow. Side by side with such organisations, there are to be small groups of professional revolutionaries, patterned after the army and the police, highly select and entirely-secret. Lenin said that the professional revolutionaries should guide and supervise the open communist-led economic associations-the trade unions, the co-operatives and the rest. Lenin advised these professional revolutionaries to form cells and infiltrate in social, economic and political bodies of the societies whether they are schools, churches, labour unions or political parties. But Lenin especially emphasised the active role of the professional revolutionaries when he advocated them to infiltrate into armed .forces, the police and the government. It should be particularly noted that with the help of these professional revolutionaries Lenin brought about the revolution and was able to throw off the most autocratic regime of the Czar (Russian Emperor).

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7.4.3 Lenin and Marx

It cannot be denied that Lenin was a staunch follower of Karl Marx but he was a dynamic and not an orthodox follower. He had to interpret Marxism in changed conditions and adapt them to Russia which was purely an agricultural country and where capitalism had not fully developed.

Lenin put emphasis on the revolutionary aspect and not the peaceful aspect of Marxism. He followed the teachings of Marxism as put-forth in the 'Communist Manifesto' and 'Das Capital' because he had unflinching faith only in the revolutionary methods. He thought rightly that the revolution in Russia could not be brought about by peaceful means because before him, Tolstoy had advocated peaceful means and nothing had been achieved by them. He firmly believed that transition from capitalism to communism could not be brought about by pacific means. That is why he condemned Kautsky and others of their way of thinking. He believed in a revolution and not in allowing the events to drift according to the sweet wishes of Czar Nicholas II (then Emperor of Russia). While Marx had emphasised the development of self-consciousness amongst the workers due to extreme economic misery, Lenin thought that revolution could be brought about in Russia only by the disciplined and secret cadre of the Communist Party which could infiltrate and arouse the strong political consciousness against the tyrannical regime of Czar amongst the peasants, workers, soldiers, the police, the students and government servants. By using all these methods, Lenin was able to overthrow the Czarist regime and establish first socialist state of the world in Russia. Stalin consolidated it and was able to help Mao-tse-Tung, Communist leader of China in bringing about the revolution in 1949 and overthrow the reactionary regime of Chiang Kai-Shek. After the Second World War (1939-45), Russia was able to extend communism to most of the countries of Eastern Europe (Poland, Hungary, Rumania, Bulgaria, Czechoslovakia and East Germany). Communism has also spread to Yugoslavia, Vietnam and North Korea. So nearly half of the world has become communist due to the teachings of Marxism-Leninism.

7.5 COLLECTIVISM OR STATE SOCIALISM OR DEMOCRATIC SOCIALISM

Definition of Collectivism: Collectivism is also called state socialism. In the Encyclopedia Britannica Collectivism has been defined as under: "Collectivism is that policy or theory which aims at securing by the action of central democratic authority a better distribution and in due subordination thereto, a better production of wealth".

Collectivism is a branch of socialism, it developed in Europe as a reaction against Individualism.

Development of State Socialism: In England, collectivism rose in the name of Fabian Socialism. In 1884, Fabian Society was established in England. George Bernard Shaw, H.G. Wells, Sidney Webb and his wife Beatrice Webb, Mrs. Anni Besant and Ramsay MacDonald became its members. Later on Graham Wallas, Tawney, Laski and G.D.H. Cole preached its principles in their books. Today the Labour Party of England has its faith in state socialism. In Germany, Roberts (1805-1875), Ferdinand Lassalle (1825-1864) and Edward Burnstine (1850-1932) played an eminent role in its development. In India, Mr. Nehru was an ardent supporter of Democratic Socialism.

PRINCIPLES OR CHARACTERISTICS OF THE COLLECTIVISM

Ideologies

1. **Opposition to capitalism and imperialism and full support for democratic socialism.** Collectivists are severe opponents of capitalism, because it creates economic inequality in society and the labourers are exploited. Maximum national income is concentrated in the hands of a few persons and common people starve. The Collectivists are also against imperialism.
2. **Attitude towards state.** They do not want to abolish the state, but they want to change its form. So far the state has been a capitalist institution. They want to control the government by winning elections and then make such laws for the benefit of the labourers as may help in putting an end to their exploitation. In short, instead of abolishing the state, they want to utilise it for the establishment of a socialistic system and for the abolition of the capitalist system. For this purpose, they want to nationalize the production of many things and limit the investment of private capital.

The Collectivists do not agree with the view of the individualists that state is a necessary evil. They also do not agree with the Anarchists that the state is an unnecessary evil. They consider the state a good institution and want to increase its functions for the welfare of the people. They want to make the state a welfare institution and they want to increase its functions to the maximum. On the other hand, they also want to safeguard maximum freedom of the individual. The Collectivists are not in favour of the centralisation of the powers of the state. They maintain that there should be decentralisation of the powers of the state. It means that except those functions which are absolutely essential for the Central Government, the rest of the functions should be performed either by the provincial governments or by the local institutions. They say that local governments should be given maximum autonomy in the administration of their affairs.

3. **Abiding faith in Democracy.** The Collectivists have full faith in democracy. They were in favour of giving voting rights to all men and women. A complete explanation of the programme and aim of the Collectivists was given in the England Labour Party's pamphlet 'Labour and New Social Order' published in 1919. The Collectivists would nationalize big industries from the point of view of people's welfare. The government would pay compensation for the factories taken over by it. Besides, the private ownership of small industries would remain intact, but laws would be made to improve the condition of the workers in these industries.

The Collectivists are also supporters of social security. They want to give aid to unemployed, invalid, old and ailing persons. They are also in favour of free education so that every individual should get equal opportunity of advancement.

4. **Opposition to Individualism.** The Collectivists condemn Individualism and say that open competition between the capitalist and the worker is not desirable. They say that an individual cannot achieve real freedom by starving himself. Poverty is a great hindrance to freedom. Man can achieve real freedom only in socialism, which, after abolishing capitalism, gives opportunity to the workers for their progress.
5. **Opposition to Marxism or difference between Communism and Socialism.** The Collectivists are not uncritical followers of Marx. Besides, Marx, they have also been influenced by T.H. Green, Rousseau and Kant. They agree with Marx that capitalism is a bad thing and it exploits the labourers. Therefore, it must be abolished. As the manner of its abolition, both hold different views. Marxists want

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to abolish capitalism by violent and revolutionary means while the Collectivists want to abolish it by parliamentary means, i.e. by winning elections against the Capitalists and by making laws to abolish capitalism. They want to bring about socialism by slow degrees and through peaceful means. They do not want to give power into the hands of labourers but to the entire society. They also do not agree with Marx's Theory of Surplus Value. They are of the belief that wealth is produced not by the labourers only, but by the entire society. They also do not agree with Marx's Theory of Class-struggle, because it creates conflicts in the society and destroys its unity. They also do not agree with Marx's theory of the Dictatorship of the Proletariat and the withering away of the State. Another difference between the Marxists and the democratic socialists is that Marx completely ignored democracy, religion and nationalism, while state 'socialists are staunch supporters of nationalism and democracy and they are neutral in religious matters.

CRITICISM OF COLLECTIVISM (STATE SOCIALISM OR DEMOCRATIC SOCIALISM)

Collectivism has been criticised as under

(1) With the socialisation of industries individual incentive and inspiration will die. (2) Each individual works for his own interest. There is no individual interest in socialism and thus the production will fall. (3) The Opponents of Socialism, particularly Mill and Spencer, were of the view that individual liberty is curtailed in socialism. (4) Mellock was of the view that in the absence of individual interest of the collecting personal property, the people will have to be coerced to do work, which will bring about the downfall of the individual character, (5) Sir Irk son has said that natural influence of socialistic theory has resulted in the suppression of the powers of human race. (6) The Communists have bitterly criticised collectivism. They say that collectivism ignores the scientific principles of Marxism; therefore, socialism cannot be brought about by the constitutional means. Socialism has been established in Soviet Russia, China and countries of Eastern Europe through evolution. There is no country in the world where socialism has come through peaceful means. Though the Communist Party remained in power in Australia for many years and Congress is in power in India since 1947, yet they have not been able to bring about socialism. Several times labour government was established in England, but socialism has not come any nearer there. (7) It will be difficult to nationalise the industries by payment of compensation. (8) The functions of the state will increase manifold, and it will result in inefficiency.

IMPORTANCE OF COLLECTIVISM

Though Collectivism has also been criticised like other isms, yet there is no truth in this criticism. It is difficult, no doubt, to bring about socialism by constitutional means, and this ideal has not been given a practical shape in any country, yet it is true that according to the ideals of collectivism, a welfare state has been established in India, England and in many other countries. Efforts have been made to control the profit of the capitalists and condition of the workers has been improved through laws. Many important industries have been nationalised in England and India. The abolition of zamindari system and fixation of the limit of agricultural land has taken place in a peaceful manner in India. Therefore, though constitutional method may cause some delay in bringing about socialism, yet bloodshed is not at all desirable. It is desirable to abolish capitalism by constitutional means, even if it causes delay.

7.6 ANARCHISM, SYNDICALISM, GUILD SOCIALISM, FASCISM AND NAZISM

7.6.1 ANARCHISM

Coker says, "Anarchism is the doctrine that political authority, in any of its forms, is unnecessary and undesirable". According to Prince Kropotkin, "Anarchism is principle or theory of the conduct under which society is conceived without a government-harmony in such a society being obtained not by submission to law or by obedience to an authority but by free agreements conducted between the various groups, territorial and professional, freely constituted for the sake of production and consumption, as also for the satisfaction of the infinite variety of needs and aspirations of a civilised being". Huxley says, "Anarchism is a state of society in which the rule of each individual by himself is the only government". According to G.D.H. Cole, "Anarchism as a philosophic doctrine sets out from a root and branch opposition to all forms of society which rest on the basis of coercive authority. Anarchism, as an ideal, means a free society from which the coercive elements have disappeared".

On the basis of the definitions given above, the state and government will not be there in any form of Anarchism. A free society will be established in Anarchism, which will be based on co-operation. All the people will lead a life based on mutual love and there will be no exploitation in this society.

The Theories of Anarchism Anarchism means the absence of government or state in any form. Anarchists say that state is a capitalist institution and it is based on force. State always sides with the capitalists. It is an unnecessary evil. Thus, it should be completely eliminated and in its place voluntary institutions should be formed. These institutions would perform all functions with mutual co-operation.

There will be a social control over land and the means of production. The abolition of state would mean the abolition of all political limits. The anarchists also oppose religion and private property. Anarchists contend that there is no fear of anarchy even after the abolition of the state, because the motive for all crimes is the unequal division of property. With the abolition of the institution of private property, equality, liberty and fraternity would be established, and the occurrence of crimes would automatically be stopped. With the spread of education, there would be no crimes and a feeling of co-operation would be inculcated in the minds of the people.

Supporters of this theory The supporters of this theory are: William Godwin (1756-1836), Thomas Hodgskin (1787-1869), Proudhon (1809-1865), Henry Thoreau (1817-1862), Mikhail Bakunin (1814-1876), Leo Tolstoy (1828-1910) and Prince Kropotkin (1842-1921).

Joseph Proudhon (1809-1865) was probably the first philosopher who called himself an anarchist. His first book 'What is Property'? His reply was that it is a theft. He criticised the state because this institution came into being with the system of private property. He also criticised the state, because in the state there was an influence of passion and justice and intelligence. It destroyed individual liberty. He bitterly criticised the exploitation and tyranny and said, "Government of many and by many was in every form an oppression. The highest perfection of society is found in the union of order and

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anarchy". Proudhon also made an assumption of a society which would be based on mutual co-operation and there would be no place for the state or any type, of exploitation in it. Institutions established on voluntary basis would increase production.

Thoreau (1817-1862) also opposed the state. He said that the individual is wise. Therefore, it is proper to leave him free. Thoreau says, "That government is the best which governs not at all".

Bakunin (1814-1876) bitterly opposed the state, private property and capitalism, because all these are the causes of the exploitation of the workers. Bakunin said that the state was based on force and it provided shelter to private property. Therefore, it should not be tolerated in any form. Private property is a bad institution, because it creates economic inequality and the labourers are exploited. He also criticised religion because it is the supporter of both the state and private property.

Bakunin also proposed the future set-up after the abolition of the state. He gave his new social set-up the name of federalism. According to it, "there will be free union of individuals into communes, of communes into provinces, of provinces into nation and finally of nation into the United States of Europe and later of the whole World". In this federalism the entire work will depend on mutual will and the individual will not be compelled for any work.

Kropotkin (1842-1921) was also a Russian Communist who expanded the views of Bakunin and presented them in a systematic manner. He criticised the state and said that it had no natural or historical justification. It is against the cooperative feeling of human beings and it is based on the theory that the nature of man is not social and there is always a competition among them. The laws are either dangerous or useless. Kropotkin said that the state was unnecessary from historical point of view because it can neither protect the labourers and farmers from the exploitation by the capitalists and big landlords, nor could it create jobs for the poor and the labourers. Private property was an evil, because it created economic disparity. Most of the wealth of the country was concentrated in the hands of a few persons and majority of people starved. What would be the set-up of the society after the abolition of the state? Kropotkin's outlines are similar to those of Bakunin. He said that after the abolition of the state, the people would live in society, but they would be free from any control of the government. Autonomous institutions shall exist and they will be based on voluntary agreements. The people who do not perform their duties towards the society, will be boycotted. The disputes will be settled by voluntary courts. The number of disputes will be reduced, because the evils of capitalism will come to an end, proper education will spread in the society. From the economic point of view, the new set-up shall be of complete communism. Like Bakunin, Kropotkin was against religion.

Means of Anarchists There were two kinds of anarchists-philosophical and revolutionary. Anarchists like Tolstoy were philosophical anarchists, who were in favour of adopting non-violent means, while others like Kropotkin were ready to adopt violent means for the achievement of their aim.

Criticism of Anarchism Anarchism has been criticised for the following reasons: (1) Anarchism has considered the state an unnecessary evil and criticised it bitterly. But this is totally wrong because today the state has become a welfare institution; (2) the anarchists

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have a blind faith in the goodness of human nature. Most of the people are selfish and they do not care for the interests of the society; (3) The Anarchists believe that in a stateless and classless society there will be an end to the crimes and all the functions will be performed on the basis of mutual cooperation, but this does not seem to be practical; (4) The anarchists are in favour of adopting violent means in order to achieve their aims, which is to be condemned; (5) The anarchists have given much importance to the voluntary institutions after the abolition of the state, but they will not be able to perform all the functions of the state efficiently; (6) The abolition of the state will not solve all the problems; on the contrary, many new problems will crop up; (7) The anarchists' viewpoint, that each law is made for the protection of the rights of the individual, is wrong. In modern age, many laws are made for the welfare of the labourers; (8) after the abolition of the state, the plan of the anarchists will not be practicable.

Bertrand Russell writes, "The anarchist ideal for a community in which no acts are forbidden by laws is not, at any rate for the present, compatible with the stability of such a world as the anarchist's desire. The state in some form, whatever may be said in criticism of its mistakes, its inefficiency and its abuse of power, is and always will be an absolute necessity among civilised men".

Importance Though the anarchists have been bitterly criticised, yet they have condemned the capitalist system and private property. Their arguments are not wholly devoid of truth.

7.6.2 Distinction Between Communism and Anarchism

The following is the difference between the two

1) Communism and anarchism have identical aim, i.e., the establishment of 'Stateless and classless society', but the difference is that this is the ultimate aim of the communists, while the anarchists want it to be achieved immediately. The Communists want to establish the dictatorship of the proletariat during the transitional period, but the anarchists do not have any such idea; (2) The anarchists do not believe in the Dialectic Materialism, while the communists have full faith in it; (3) The anarchists have placed before us a complete picture of the set-up of the society after the abolition of the state, but the communist have not given us any particular view about it; (4) The communists believe only in violent means, while the anarchists believe in both; (5) The anarchists are against big industries and they support small-scale industries, while the communists believe that big industries are essential for the progress of the society.

7.6.3 Syndicalism

In the last decade of the nineteenth century a new communist ideology, named Syndicalism, took birth in France. It adopted the views of the class struggle preached by the communists, and confront ration with the state by the anarchists. Then it mingled some of its own views in them. The word syndicalism has its root in syndicate or federation. It is used for syndicate in French language.

Definition of Syndicalism

1) F.W. Coker has defined it as under "Syndicalism, loosely defined, holds that the workers alone must control the conditions under which they work and live, the social changes they need can be achieved by their own efforts, by direct action in

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their own associations, and through means suited to their peculiar needs”.

- 2) G.V. Hooper writes, “As now employed, Syndicalism means the theories and programmes of those revolutionists who would utilize the economic power of industrial unions and destroy capitalism and organise a socialist society”.
- 3) C.E.M. load says, “Syndicalism may be defined as that form of social theory which regards the Trade Union Organisations as at once the foundation of the new society and the instrument whereby it is to be brought into being”.

MAIN TENTS OF SYNDICALISM

The following are the principles of Syndicalism

- 1) **Condemnation of Capitalism:** Like other socialism and Marx, the Syndicalists also bitterly condemn capitalism. They say that through capitalism, a great economic disparity arises and the wealth of the country is concentrated in the hands of a few capitalists.
- 2) **Inevitability of the class struggle:** like other Socialists and Marx the Syndicalists believe that the world has been divided into two parts, i.e., the capitalists and the working class. Their interests are conflicting, one class is the exploiter and the other is the exploited. The capitalists become millionaire by constant exploitation of the workers. Therefore, a clash between the interests of the two is inevitable and they cannot reconcile with each other. That is why the Syndicalists do not demand any reforms from the capitalists, but they want to abolish capitalism after a bitter struggle.
- 3) **Ending the state:** The Syndicalists want the abolition of the state completely, because the state has always supported the capitalists and the capitalists have not protected the interests of the labourers.
- 4) **Opposition to Middle class:** The Syndicalists, like the communists, have criticised the middle class because the middle class generally takes sides with the capitalists. At the most they can become the reformists but not the socialists. Certain middle-class intellectuals support syndicalism. But they do this in order to become leaders and not because they want to protect the interests of the labourers.
- 5) **No faith in nationalism:** Marx said that the proletariats have no fatherland. He did not give any place to nationalism and patriotism in his philosophy. The Syndicalists also agree with this theory of Marx.
- 6) **No faith In Democracy and Parliamentary Government:** Syndicalists say that instead of absolute monarchy, there has been no difference in the condition of the labourers in the establishment of democracy and parliamentary government. They are of the view that the influence of capitalism is the same as before in democracy and the condition of the workers is still causing anxiety. With the advent of democracy, socialism has not been established and the workers are being exploited continuously.
- 7) **Attitudes towards Array and Wan:** the Syndicalists are of the view that main reason of war is the clash among the capitalists of different countries. Therefore, wars become inevitable among them. The interests of the workers are the same in all the countries. Therefore, they do not want to fight with the workers of other countries. The capitalists encourage wars for their selfish motives and patriotism.

Therefore, the workers of the world should not have any concern with such wars and they should oppose their own government. Marx and Lenin did this during their life-time. Therefore, the Syndicalists also lay a special emphasis on it. With regard to the army, they say that it is not necessary because it is maintained for the capitalists' wars and it is employed to suppress the labour movements.

- 8) **Opposition to the dictatorship of the proletariat and state socialism:** Marx laid emphasis on the dictatorship of the proletariat after the revolution, but the Syndicalists have no faith in it. They feel that the dictatorship of the proletariat, first of all, becomes the dictatorship of one party and later on it becomes the dictatorship of one leader. They also bitterly criticise state socialism because the influence of the government officials is increased on the production, and their attitude does not prove helpful to the procedures. The Syndicalists want the control of labour union instead of state control on production.
- 9) **Future shape of the society after the revolution:** Most of the Syndicalists have not expressed their views about the proposed future set-up of the society after the abolition of the state. They say that first of all it is necessary to bring about revolution. The question as to what would the social set-up can be decided after that. But certain Syndicalists did express their views in this regard. They say that there will be no need for an army after the revolution. Different syndicates will have their own militia, which will be responsible for the maintenance of law and order and, in case of necessity; they will be utilised over & much wider area. In this way, they differ from the anarchists, who do not want any type of use of force after revolution. According to Syndicalists, country-wide utility services like Railways, Post and Telegraph, etc. will be the central organisations of the workers. Other services will also be controlled by different labour organisations.
- 10) **No confidence in the utility of elections and political parties:** the Syndicalists have no faith in the utility of elections and political parties. They say that the capitalists spend lakhs of rupees in elections and they bribe the press. Thus, it is difficult for the workers to win elections against them. Even if some workers win the election, they will not be in a position to have much say in the parliament, because the capitalists will be in majority there.

PROGRAMME AND MEANS OF SYNDICALISTS

The chief supporters of Syndicalism were Pollontier, Sorel, Pouget, Lager-Lelle and Edward Berth, Emile Patand, etc. but Sorel is the most popular among them. The Syndicalists" believe in sabotage, general strike, boycott, and label to achieve their end. Sabotage means the destruction of machinery by the workers. It also includes production of goods of poor quality and slow work. General strike means strike in all government offices, in police and military and in factories all over the country, so that the capitalist government may find it difficult to function and workers may be able to control the administration. Boycott means, the propaganda by the labourers against the purchase of goods of the capitalists. When there is no sale of goods, the capitalists will definitely suffer. Label means propaganda by the workers regarding manufacture of goods in the factories under the workers control. A separate label will be fixed on such goods and the people will purchase only those goods, and not the goods. manufactured in the factories owned by the capitalists.

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Criticism of Syndicalism

Syndicalism has been criticised as under : (1) Syndicalism encourages class struggle, which results in low production. Social unity is weakened and the country is ruined. (2) The Syndicalists have criticised democracy, party system and parliamentary government. This is not desirable, because the working class can get power by winning the elections and it can improve its position just as the labour party has done in England. (3) The Syndicalists' enmity against the state is condemnable. Probably state has been supporting the capitalists in the past but today it is a welfare institution. Therefore, it is necessary to maintain it. (4) The state can defend the people against foreign aggression and can also maintain internal law and order. In the absence of the state, the labour organisations will not be in a position to perform this function. (5) The Syndicalists have adopted the system of sabotage which is not appreciated. It creates conflicts. It will spoil the nature of the workers and the production will definitely fall. If the machines are put out of order, crores of rupees will have to be spent to repair them. (6) The government will never tolerate general strike and it will adopt every possible measure to curb it. (7) The Syndicalists attach importance only to the interests of the producers, and ignore the interests of the consumers. It will result in the increase of the prices of commodities by the producers in an arbitrary manner and thus the consumers will be exploited. (8) Lack of faith in nationalism is a seditious act.

7.6.4 Guild Socialism

Guild socialism is a Compromise between Syndicalism and Collectivism. Guild

Socialism, which was the intellectual child of English Fabianism and syndicalism, took birth in the first and second decades of the twentieth century. This is a middle way between collectivism and syndicalism. Syndicalism, in which there was no place for the state, did not fit in with the mental attitude of the British people, because the English people have strong faith in democracy and parliamentary government. On the other hand, collectivism establishes total control of the government officials instead of the capitalist control and it creates such a situation in which the labourers can improve their own plight. It means that the labourers cannot achieve self-government in industries. In this way, Guild socialism is a via media, between syndicalism and collectivism. It assimilates the qualities of the both and leaves out their drawbacks.

Exponents of Guild Socialism The chief supporters of Guild socialism were A.J. Penty (1875-1935), A.R. Orange (1873-1934), S.G. Hobson (1894-1940) G.D.H. Cole (1880-1959), Burtrand Russell and R.H. Tauney.

S.G. Hobson and A.R. Orange proved in their essays that there should be a self-government in industries and in other professions of the workers. Their control and administration should be in the hands of the workers. G.D.H. Cole was the chief philosophic apostle of this new movement. His books, "Self-Government i.e., Industries", was published in 1917 and his other books, "Guild Socialism Restated", and "Social Theory", were published in 1920. G.D.H. Cole supported Pluralism in his books and accepted that the state was an ordinary institution like other numerous institutions. He refused to accept the state as a sovereign institution. Hobson accepted the state as a sovereign association.

Basic Tenets of Guild Socialism Like Marx, Guild Socialism opposes capitalism.

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They want to abolish capitalism and vest the control and management of the factories in the hands of the Guilds. Like Collectivists, they are not in favour of state control over the industries. They criticise the present representative system, which has been established on territorial basis. They argue that a government by representatives elected on a territorial basis is incapable of understanding and solving the complex problems of an industrial society they maintain that a system of functional representation based upon industrial unions will be best suited to a modern community. They are not in favour of abolishing the system of territorial representation as, according to them, only territorial representation system can solve problems of law and order, defence, education and currency.

The Guild Socialists want a Guild Congress to control and organise economic functions. For the anagement of national and common interests, they want a parliament. For the solution of local problems they want local institutions. They are not in favour of making the state omnipotent; they want to limit its functions. All Guild Socialists agree that the state should not interfere in economic matters, because they want to place the management of economic matters of the society in the hands of the Guilds.

The Guild Socialists condemned the surplus value and undesirable guilds. Each profession will have a separate guild, which will elect an executive committee in order to function smoothly. Above them will be a central or national organisation, which will be called Guild Congress. The Guild Congress will decide all the labour disputes. In case the Guild Congress is unable to decide the mutual disputes of the guilds, these will be decided according to the plan propounded by Hobson.

The Guild Socialists condemned the surplus value and undesirable profit of the capitalists. They also bitterly criticise the institution of private property, because it results in the concentration of national income in the hands of a few capitalists and consequently the workers starve. They also condemn the system of machines, which has destroyed the freedom of the workers, and given a set-back to their skill. The workers have become the slaves of the capitalists on daily wage. Therefore, they have criticised the wage system and have strongly supported the self-government in the industries. The Guild Socialists are in favour of giving the workers an honourable place in the society. They want to improve the position of the producers as well as give protection to the consumers' interests. They want a joint committee of the supreme classes of the producers and the consumers, which will create a co-ordination between the two. The Guild Socialists want that without the approval of the consumers, the producers should not be given the right to fix the rates of the commodities arbitrarily. But should fix the rates by a joint decision. Therefore, in the opinion of G.D.H. Cole, the consumers will be in a position to protect themselves against the guilds of the producers.

Regarding the place of the state in a Guild socialist system, G.D.H. Cole and 'have advocated different views. Hobson wants to keep the sovereign state, be wants to limit its powers. He wants minimum interference of the state in gnomonic functions and wants maximum economic functions to be performed by the workers' guilds. But in certain matters he wants to place ultimate control in the hands of the state. He says that the state shall be the owner of the machines and will give those machines to the guilds on lease. The state will establish economic justice in the society and decide mutual disputes of the guilds, if the Guild Congress is unable to do so. The state will impose taxes on the guilds. G.D.H. Cole is unwilling to make the state sovereign. He is ready to hand over

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defence, suppression of crimes, welfare of the destitutes and the invalid to the state, but he is not ready to give more functions to the state. He considers it an association like other ordinary associations. He has named it Democratic Supreme Court of Fundamental Equity. The institution will have complete control over law and order and it will have the right to decide disputes between various institutions. Therefore, they differ from syndicalism in so far as the abolition of the state is concerned, but they want to limit its economic functions and want to transfer those functions to the guilds of the workers.

Means In order to achieve their ends the guild socialists believe neither in constitutional means nor in violent means; they believe in the trade union means. They say that though capitalism will disappear by and by, yet in order to finish it earlier, the workers' guilds should organise themselves fully and they should snatch facilities from the capitalists by and by, so that many of the functions of the capitalists be performed by the elected representatives of the workers. They are not in favour of revolution, strike and sabotage. Thus, here the views of Communists, Anarchists and Guild Socialists are different.

Criticism (1) This theory is not practicable. The capitalists will not be ready to give numerous facilities to the workers and to withdraw their control by and by. In this way, capitalism cannot be abolished without struggle and socialism cannot be established. (2) It is not fair to limit the functions of the state, because many of the functions cannot be performed by guilds and only state can perform these functions according to its plan. The state has now become a welfare institution and it takes up many plans in its hands to enhance production. Therefore, the state control is being increased in every sphere. (3) The plan of functional representation is not proper because there are numerous professions in the state and it is not fair to give representation to each one of them. This system was adopted in Soviet Russia after the revolution of 1917 but later on it was given up due to practical difficulties. (4) It is impossible to separate economic and political difficulties. (5) The Guild Socialists want to organise each profession into a separate free guild and want to transfer their control in their own hands. The guilds have neither sufficient capital to purchase the machines nor do they have the capability to organise them. Therefore, in doing this, there will be great disorder in the professional field and the production will fall.

Importance Though Guild Socialism has been bitterly criticised, yet the plan relating to the improvement of economic democracy and the condition of the workers and the protection of the interests of the consumers and the producers, is very important. It has warned against the growing powers of the state and has taken special steps to check this process.

7.6.5 FASCISM

Causes of the rise of Fascism in Italy

Italy was on the side of England and France during the World War 1 (1914-18). Therefore, she had to suffer a great loss at the hands of Germany and Austria. Under the Secret Treaty of London, England agreed to give Italy sufficient money and a large territory, but when England became victorious in the war, she completely ignored the claims of Italy. Italy faced a great loss in the First World War. Therefore, there was a great resentment among its people. Secondly, there was a widespread discontentment in Italy because after the war, retrenchment took place in the army. Production was falling because the

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Communists were instigating the workers to resort to strike in order to bring in Communism. Thirdly, there was indiscipline in all walks of life in Italy. Fourthly, the democratic government, which was established in Italy after the First World War, could not solve any of her problems satisfactorily. In such a situation, Mussolini established his Fascist Party in March, 1919. The principles of the Fascist Party are called Fascism. This party gained a great power till 1929. In 1922, its session took place in the famous Italian city of Naples, which was attended by 80,000 armed volunteers. In the open session Mussolini declared, "Either the administration of Italy would come in our hand automatically, or we would have to march toward Rome". After that Mussolini arranged a large-scale demonstration against the government of Rome. The result was that under the compulsion of the prevailing circumstances, the then Prime Minister Giolitti had to tender his resignation on October 27, 1922. After that the King of Italy appointed Mussolini the Prime Minister and announced a Council of Ministers with his consent. Mussolini acquired all the powers of the government and the king was left with only nominal powers.

DOCTRINES OF FASCISM

The term Fascism has been derived from Italian word Fascio which means a bundle of wood. In ancient times the national symbol of Roman Empire was a bundle of wood and an axe. The bundle of the wood was the symbol of unity and axe was the symbol of strength. Therefore, in order to exhibit national unity, Mussolini used the word 'Fascio'.

The following are the principles of Fascism.

- 1) **Facism is not based on doctrines but reality.** What is Facism? It is difficult to answer this question because it is not a political theory. Mussolini very often repeated, "My programme is action. Fascism is not nursing of a doctrine worked beforehand with detailed elaboration. It was born of the need for action and was from beginning practical rather than theoretical". He repeated several times that he hated abstract thinking. He said, "Fascism is based on reality, Bolshevism is based on theory. We want to be definite and real. We want to come out of the cloud of discussion and theory. My programme is action and not talk", On another occasion, he said, "Fascism is a great combination of material and moral forces. It aims at governing the nation".

The Fascists do not want to enter into any discussion regarding any theory. They change themselves according to the needs and interests of the country and work accordingly. Mussolini himself said, "We permit ourselves the luxury of being aristocrats and democrats, conservatives and progressive, reactionaries and revolutionaries and legalitarians, according to circumstances of time, place and environment". That is why Sabine has said, "Fascism is a body of ideas taken from different sources put together to fit exigencies of the situation".

- 2) **Fascism believed in dictatorship of one national leader and repudiated democracy.** Mussolini said that democracy is not suitable for Italy. He had no belief in three main bases of democracy, liberty, equality and fraternity. He declared that freedom is not the right of the people; it is the kindness of the state. It depends upon the sweet will of the state whether to give rights to the people or not. The people should care more for the performance of their duties than for launching a struggle for their rights. According to the Fascists, equality is useless, because

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nature has not made everybody equal and, therefore, the capable and incapable people cannot be considered equals. Mussolini had no faith in universal brotherhood.

Mussolini had a blind faith in dictatorship, because he believed that the Italians were not so capable as to guide their leaders. But the need was that the national leaders should guide them by performing their duties selflessly. Mussolini imposed restrictions on all political parties except on his own Fascist party. He controlled the press also. In this way, he stopped all criticism of the government. Mussolini emphasised on three elements of dictatorship i.e., responsibility, obedience to one leader and discipline.

- 3) **It is opposed to Individualism.** The Individualists believed that individual is an end and the state is a means to an end. Contrary to this, Fascism says individual as a means and the state is end. The Fascists believed that state is a Spiritual Organism. Therefore, according to them, the individual will have the same place in the state as the organs in the body. According to them the individuals cannot have any spiritual or moral life apart from the state. Mussolini said that every individual should work for the welfare of nation without any selfish motive and he should seek his interest in the interest of the nation. A famous Fascist writer Rocco says, "We do not, however, accept a Bill of Rights which tends to make individual superior to the state and empowers him to act in opposition to society. Our concept of freedom is that the individual must be allowed to develop his personality on behalf of the State."
- 4) **Fascism believes in Totalitarian State** According to Fascism, state has the right to control all spheres of the state. The state is considered Supreme in social, economic and political fields. Mussolini's interference and leadership was seen in all walks of life. He established discipline in all the spheres-economic, administrative and educational. He said, "All within the state, nothing outside the state."
- 5) **It believes in violence, force and imperialism.** The Fascists believe that the solution of international disputes through peaceful means is not possible. Therefore, they believe in violence and force. Mano Carli writes, "Fascism is from war and in war it must find its outlet." Mussolini was a firm believer in imperialism. He conquered Ethiopia in order to enhance the power, reputation and prestige of his country.
- 6) **Fascism opposes internationalism tooth and nail.** Mussolini had no faith in universal brotherhood. He said that no co-ordination was possible in the interest of all the nations. That was why he gave up the membership of the League of Nations and adopted the policy of military alliance and victory, as a result of this policy, the Second World War broke out in which there was a heavy loss of men and material.
- 7) **Fascism believes in the National State.** Fascism believed that sovereignty lay with the national state and not with the individual and it had the right to utilise it without any restriction. The Fascists lay special emphasis on patriotism and nationalism. They believed that war was essential for the enhancement of nations Prestige and power.
- 8) **Fascists supported the corporate state.** The Fascists said that the state was not a collection of people but it consisted of many corporations, which could be considered a unit of social and political life. That is why the Fascists were in favour of forming a separate organisation of different professions. However, they said that all of them should be under the state control and they should function according

the will of the state. Joad is of the view, “Corporations should be subordinate of the whole which is the state specialised channels through which the State’s will is canalised and diffused for special purpose.”

- 9) **Opposition of socialism and Communism.** The Fascists are bitter opponents of Socialism and Communism. They do not believe in Marx’s materialistic interpretation, class struggle and the Theory of Surplus Value, on the contrary, they say that the capitalists and the labourers should give up their selfish interests and should work in the interest of the nation. They are not in favour of the abolition of capitalism and private property completely, but instead they want a system in which the profits of the capitalists are controlled, and the wages of the workers are fixed by the state. The disputes between the capitalists and the labourers should be decided by Industrial Courts.
- 10) **New Economic System.** The Fascists neither liked the individualists’ contention that the state should not interfere in the economic affairs of the individual nor believed in the socialist’s policy of the socialisation of industries. They wanted to nationalise only a few important industries for the society. As regards the rest, they allowed private ownership. In the larger interest of the country, they wanted to control and regulate it. They said that neither the capitalists nor the workers would be allowed to work against the national interest, because their interests were not above the interests of the nation.

Criticism of Fascism Fascism has been bitterly criticised because it encourages violence, dictatorship and bloodshed. It is a symbol of imperialism. It destroys world peace. Because of the Fascists policies of Hitler and Mussolini, the Second World War broke out in which there was a great loss of men and material.

The Fascists’ opposition to democracy is also not proper. Because of their actions, every type of freedom is destroyed. There is no scope of debate in Fascism and complete development of individual is not possible. Everybody has to obey the orders of one leader blindly, whether one likes him or not.

Importance of Fascism It orders to evaluate a theory properly, it is essential to keep in view its good and bad aspects. Therefore, we have to take into consideration its importance side by side with its criticism. If there were no good features in it, it would not have appealed to the people of Italy so much, Fascism laid emphasis on patriotism, discipline and national unity in place of class-struggle. It enhanced the national prestige in the international field by establishing industrial peace and increased production. This enhanced the Prestige of the people of Italy. Italy was defeated during the Second World War, Mussolini was killed and Fascism came to an end.

7.7 NAZISM

After the First World War (1914-18) the principles preached by Hitler are known as Nazism. There is no need to give details of Nazism, because its principles are identical to those of Fascism.

The reasons for the rise of Nazism. Germany faced a defeat in the First World War. Heavy war reparations were imposed on her. Many of her parts were given away to the

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neighbouring states and the German armed forces were reduced considerably. Many types of restrictions were imposed on their increase or the manufacture of various types of weapons of war. Germany suffered a severe loss in the war and its treasury lay empty. She had no money to give to the allies i.e., England, France and U.S.A., etc.; but the allies wanted to realize the money from Germany by force. Thus, the economic condition of Germany deteriorated considerably.

After World War I, Weimar Constitution of Germany was framed. According to it, democracy was established. This democracy continued till 1919-1933. The democratic government of Germany could not solve the problems which had arisen owing to World War I and the Treaty of Versailles. Hitler took undue advantage of this situation. He preached against communism and democracy and laid emphasis on the obedience to one leader. Hitler's principles and programs became very popular in Germany. In 1933 he was elected the Chancellor (Prime Minister) of Germany.

Theory of Hitler or Nazism Like Mussolini, Hitler condemned communism and democracy and supported his personal dictatorship. He raised the slogan of turning the Jews out of Germany for their seditious activities and for the restoration of the parts of Germany to German mainland. He laid special emphasis on the renunciation of rights, liberty and equality, and on dutifulness, discipline and sacrifice. He too, wanted to make the state omnipotent and considered it his duty to control and regulate economic spheres in the national interest. He also supported the view that war was inevitable and believed in violent means to achieve his ends. He believed in racialism and imperialism and said that the Germans were connected with the Aryan race and they had the right to rule over the whole world.

In order to achieve his purposes, Hitler invaded Austria, Czechoslovakia, Poland, Belgium and France. It resulted in the outbreak of the Second World War. Germany was defeated in 1945 and Hitler committed suicide. In this way, Nazism came to an end in Germany after World War II and once again democracy was established there.

Criticism Though Hitler made efforts to consolidate the unity of his country, to infuse patriotism among the people, and to increase the production, yet his imperialist wars and the use of force is condemnable. The propaganda of racialism is also not desirable. His propaganda against democracy and in favor of dictatorship was totally unfair.

7.8 GANDHISM AND SARVODAYA

A brief life sketch of Gandhiji and his contribution, Mahatma Gandhi was a great leader of our country. He was born on October 2, 1869. His name was Mohan Das Gandhi and his father was Karam Chand Gandhi. He was called to the Bar in England. After that he started legal practice in India. On the invitation of Gokhale, he went to South Africa in 1893. He started legal practice there and resorted to many Satyagrahas in order to improve the condition of the Indians living there. In January, 1915 he came back to India. He organised a Satyagraha in Champaran (Bihar) and in Kheda (Gujarat) to protect the interests of the farmers. In 1920 he started Non-Co-operation and Khilafat Movement. This movement continued till 1922. After that he remained in prison till 1924. On release from the prison, he became the President of Indian National Congress. From 1924 to January 30, 1948 he remained the leader of the Congress and he provided leadership to all the activities and movements of the Congress. In 1930, in order to achieve full freedom,

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he started Civil Disobedience Movement, and in 1942, the Quit India Movement. The grant of independence to India. He made efforts to bring about Hindu-Muslim unity, Harijan uplift, rural reconstruction, Khadi, Charkha and propagation of entity Harijan uplift, rural reconstruction, Khadi, Charkha and propagation of Hindi, prohibition, the improvement in the condition of the farmers, workers and women. Therefore, the period from 1920 till his death (January 30, 1948) is called the Gandhian era. Mahatma Gandhi was really an epoch maker. He dedicated his entire life to the service of his country and brought his country out of the darkness of slavery and brought light into it. There is no such sphere of life in the twentieth century as is free from the impact of Gandhi's philosophy and teachings. His influence is seen all the world over. Thus, it is essential to study his views on various aspects concerning human life and activity.

Meaning of Gandhism.

Mahatma Gandhi did not start any ism. He only expressed his views on political, social, economic and religious matters from time to time, according to the need of the occasion and political situation. Later on different people collected these views and gave them the name of Gandhism. Certain people gave the example of lecture of Gandhiji, which he delivered after Gandhi-Irwin Pact and before the 1931 session of the Congress at Karachi. In this lecture he probably declared that Gandhi might die but Gandhism would live forever! Gandhiji said it per chance and he gave no indication that he wanted to start a new ism. By Gandhism he meant his ideology of truth and non-violence. In March, 1936 in his speech at Gandhi Sangh of Saoli, he very clearly said, "There is no such thing as 'Gandhism and I do not want to leave any doctrine after me. I do not claim to have propounded any new principle or doctrine. I have simply tried in my own.

7.9 SUMMARY

On the basis of these arguments, we can say that individualism is based on wrong notions. Laski also says, "Individualism means poor health, undeveloped intelligence, miserable homes and work in which broadly speaking the majority can find no source of human interests". Though there are many drawbacks in individualism, yet there is some truth in it. It condemned maximum interference in individual matters of state and laid special stress on self-reliance and self-help.

The theory of utilitarianism has been bitterly criticized and many difficulties will crop up, if it is given a practical shape. However, the main advantage of this theory was that many speculative theories regarding the state received a severe set-back. The utility became the criterion for the test of the values of state and institutions.

Some of the definitions given above are comprehensive while others are narrow. According to one view, socialism is a movement; the other view considers it an economic system. It has also been called a philosophy. In spite of a great disparity among the definitions, it is clear that socialism is a bitter enemy of capitalism. It wants to destroy capitalism, because it creates economic disparity in society. Socialism wants to establish social control over the means of production (land, industries, etc.). It wants to abolish private property and investment, so that economic disparity should end and both the rich and the poor should get equal opportunity for their progress.

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7.10 KEYWORDS

Individualism: The principle of individualism is also called Laissez Faire in French language, which means, 'leave the individual alone' and there should be minimum interference, in his functions, By the government. It should be left to the will of the individual to do what he desires.

Utilitarianism: The original basis of this theory was Hedonism, a psychological theory. According to Hedonism, the main aim of life is the achievement of maximum pleasure. According to this theory, the value of an act is to be assessed on the basis of pleasure and pain which it gives. The act which gives maximum pleasure is good and the act which gives pain, is bad. Therefore, the criterion of each act is pleasure and pain.

Socialism: It is difficult to say what socialism is, because socialism emerged as sharp reaction to individualism. It is a political philosophy as well as a great movement. In socialism, economic principles and logic have amalgamated with the political principles in such a manner that it has become extremely difficult to separate them Secondly, the supporters of socialism hold similar views, regarding many thing and because of many contradictory definitions of this subject, it has become difficult to decide which of the definitions is correct. Thirdly, the term socialism also used for a particular set-up and way of life.

Anarchism: Coker says, "Anarchism is the doctrine that political authority, in any of its forms, is unnecessary and undesirable". According to Prince Kropotkin, "Anarchism is principle or theory of the conduct under which society is conceived without a government-harmony in such a society being obtained not by submission to law or by obedience to an authority but by free agreements conducted between the various groups, territorial and professional, freely constituted for the sake of production and consumption, as also for the satisfaction of the infinite variety of needs and aspirations of a civilised being". Huxley says, "Anarchism is a state of society in which the rule of each individual by himself is the only government".

Syndicalism: F.W. Coker has defined "Syndicalism, loosely defined, holds that the workers alone must control the conditions under which they work and live, the social changes they need can be achieved by their own efforts, by direct action in their own associations, and through means suited to their peculiar needs".

G.V. Hooper writes, "As now employed, Syndicalism means the theories and programmes of those revolutionists who would utilize the economic power of industrial unions and destroy capitalism and organise a socialist society".

Guild Socialism: Guild socialism is a compromise between syndicalism and collectivism. Guild Socialism, which was the intellectual child of English Fabianism and syndicalism, took birth in the first and second decades of the twentieth century. This is a middle way between collectivism and syndicalism. Syndicalism, in which there was no place for the state, did not fit in with the mental attitude of the British people, because the English people have strong faith in democracy and parliamentary government. On the other hand, collectivism establishes total control of the government officials instead of the capitalist control and it creates such a situation in which the labourers can improve their own plight. It means that the laborers cannot achieve self-government in industries. In

this way. Guild socialism is a via media, between syndicalism and collectivism. It assimilates the qualities of the both and leaves out their drawbacks.

Fascism: The term Fascism has been derived from Italian word Fascio which means a bundle of wood. In ancient times the national symbol of Roman Empire was a bundle of wood and an axe. The bundle of the wood was the symbol of unity and axe was the symbol of strength. Therefore, in order to exhibit national unity. Mussolini used the word 'Fascio'.

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7.11 REVIEW QUESTIONS

1. Utilitarianism is primarily an ethical theory based upon the psychological theory known as Hedonism". Discuss.

or

What is the relationship between Utilitarianism and Individualism?

or

Do you regard "the greatest happiness of the greatest number" as a satisfactory principle of state activity?

or

State the fundamental point of Utilitarianism.

2. Discuss the Marxian conception of Society and State.

or

What is Communism? What can be said for and against it?

or

Marx is the first socialist whose work can be termed scientific. He not only sketched the kind of society be desired but spoke in detail of the stages through which it must evolve (Jaod). Discuss.

3. "Imperialism is the last stage of Capitalism" (Lenin). Discuss. "Leninism is the Marxism of the epoch of Imperialism". Discuss the essential principles of Marxism and show how Lenin has re-interpreted them.
4. Discuss the aims and policies of collectivism.
5. State briefly the basic principles of Marxism.
6. Differentiate between State Socialism and Communism.
7. Examine the arguments for and against State Socialism.
8. Write short notes on any two of the following:
(a) Syndicalism, (b) Guild Socialism, (c) Anarchsim, (d) Fascism.
9. Compare Communism and Fascism. Which of them is better in your Opinion?
10. "Guild Socialism is a half way house between Collectivism and Syndicalism."- Substantiate this statement.
11. Give a critical estimate of the theory of Anarchism. How does it differ from Communism?

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12. Although inspired by Marxism and Anarchism, Syndicalism is different from the both. Elucidate
13. “State is a necessary evil’. Discuss.
14. Discuss the views of the Individualists regarding the functions of state.
15. What are the factors which helped the growth of Modern Individualism? Differentiate between Modern Individualism and 19th century Individualism.

7.12 SUGGESTED READINGS

1. A.C.Kapoor - Principles of Political Science.
2. V.P.Joshi, - Political science.
3. E.Barker - The Politics of Aristotle.
4. G.H.Sabhine - Political Theory.
5. George.E.G. Catlin - Political Theory.
6. Houser and Stevenson - Political Science.
7. Pennock and Smith - Political Science – An Introduction.

Lesson 8

FORMS OF GOVERNMENT

Structure

- 8.0 Aims and Objectives
- 8.1 Introduction
- 8.2 Democracy
 - 8.2.1 Concepts of Democracy and its Development
 - 8.2.2 Conditions for Success of Democracy
 - 8.2.3 Kinds of Democracy
 - 8.2.4 Criticism
- 8.3 Unitary and Federal
 - 8.3.1 Unitary Government
 - 8.3.2 Federal Government
 - 8.3.3 Difference between Unitary and Federal form of Governments
- 8.4 Parliamentary Form of Government
- 8.5 Presidential Form of Government
 - 8.5.1 Difference between Parliamentary and Presidential forms of Government
- 8.6 Summary
- 8.7 Keywords
- 8.8 Review Question
- 8.9 Suggested Readings

8.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Understand the concept, meaning and definitions of democracy.
- Know about the advantages and disadvantages of democracy.
- Explain different kinds of democracy.
- Describe the Unitary and Federal Governments.
- Discuss the Features of Unitary and Federal Governments.

8.1 INTRODUCTION

The modern age is an age of democracy. All the modern states are following the democracy system. The contemporary world has developed a belief that through

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democracy is in practice, as a form of government, acquiring the support and acceptance of the majority of the people.

In political theory, democracy describes a small number of related forms of government and also a political philosophy. Even though there is no specific, universally accepted definition of 'democracy', there are two principles that any definition of democracy includes, equality and freedom. These principles are reflected by all citizens being equal before the law, and having equal access to power. Additionally, all citizens are able to enjoy legitimized freedoms and liberties, which are usually protected by a constitution. Governments have been classified on the basis of relationship between the political executive and the legislature. If the executive is immediately responsible to the legislature, is tenure and actions are subject to the approval of the parliamentary it is known as Parliamentary or cabinet Form of the government.

The form of Government in which there is complete separation between the executive and the legislature, the executive powers are vested in one single man who is not responsible for the legislature is known as Presidential Form of Government.

8.2 DEMOCRACY

The term is derived from the Greek '**demokratia**' means "popular government" which was coined from '**demos**' means "people" and '**kratia**' means "power", in the middle of the fifth-fourth century BC to denote the political systems then existing in some Greek city-states, notably Athens following a popular uprising in 508 BC.

Sartori defined it as a hypocrisy signifying nothing. Therefore, it will be a futile exercise if we endeavour to search for universally acceptable definition of democracy. Every political system likes to be called democracy. Even Hitler liked the National Socialist Government of Germany to be called as German Democratic Government. Democracy is made sacrosanct to day, no one ever wills to be termed as undemocratic. Roughly, democracy may be defined as a form of government in which the authority lies among all in the society not in a particular segment of the society. Some of the important definitions of democracy are as follows:

Definitions

Some of the definitions are given by the political prominent thinkers as discussed below:

1. **Gettell**, "Democracy is that form of the government in which the mass of the population possesses the right to share in the exercise of the sovereign power."
2. **Bryce, Lord**, "Democracy really means nothing more nor less than the rule of the whole people, expressing their sovereign will by their votes."
3. **Seeley**, "Democracy is a government in which everyone has a share."
4. **Hall**, "Democracy is that form of political organisation in which public opinion has control."
5. **Dicey, A.V.**, "Democracy is a form of government in which the governing body is a comparatively large fraction of the entire nation."
6. **Lincoln, Abraham**, the former president of America defined the democracy as "Democracy is a government of the people, by the people and for the people."
7. **Mayo**, "A democratic political system is one in which public policies are made, on a majority basis, by representatives subject to an effective political control at periodic elections which are conducted on the principle of political equality and under conditions of political freedom."

8. **Sartori**, “.....a democratic political system is one that makes the government responsive and accountable and its effectiveness depends first and foremost on the efficiency and skill of its leadership.”
9. **Lipset**, “Democracy may be denned as a political system which supplies regular constitutional opportunities for changing the government officials, and a social mechanism which permits the largest possible part of the population to influence the major decisions by choosing among contenders for public office.”

Origin

In 1574, from M.Fr. democratie, from M.L. democratia from Gk. demokratia, from demos “common people,” originally “district” + kratos “rule, strength”. Democratic for one of the two major U.S. political parties is 1829, though members of the Democratic-Republican party had been called Democrats since 1798; though colloquial abbrev. Demo dates to 1793.

8.2.1 Concept of Democracy and its Development

The history of democracy is spread over three thousand years. The earliest known history of democracy goes back to the Greek city states. In the Greek city states a system for people’s (Demos) participation in the government was devised. The people exercised control over the officials of the state by participating in political processes. They directly participated in the decision making and policy planning.

The citizens in the Greek city states were a privileged class. They were separate from the slaves and aliens in regard to the exercise of political rights. They were intimate and freely participated in the political discussions. They were republica in true sense of the term and were socially equal as there existed no higher or lower class among the citizens. Direct democracy was the accepted constitutional system in almost all the city states. According to Soltau, “The Greek city states were indeed democritic in the participation of all the citizens, not only in the election of officials but in the daily routine of administration and justice; they pushed their belief in equality to the extreme of filling many posts by drawing lots, on the assumption that one man was on the whole as good as another. But they only applied their principles to a small number of citizens excluding aliens and slaves; and no Greek philosopher ever accepted democracy as desirable; it was at best only less objectionable than tyranny”.

In the writings of Plato and Aristotle we find that democracy was a hated political system. Plato termed it as ‘the government of fools’ and Aristotle, in his classification of states depicted it as the perverted form of polity which ultimately results in the establishment of monarchy. Democracy, in the latter years, in the Greek city states became mobocracy. It rejected the individual worth.

The most significant stage in the development of the concept of democracy was the seventeenth century which was characterised by a conflict between the people and the king. The people resisted the arbitrary powers of the king and demanded more and more participation in the political processes. The Glorious Revolution (1688); the French Revolution (1689) and the American Revolution highlighted the popular aspirations like equality, popular sovereignty, liberty and fraternity. It now became a creed that the people are the source of all authority and that all men are created equal. From seventeenth century onwards, the history is the account of democratic states.

Features of Democracy

There are many features of democratic system. Those are discussed below

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1. Rule by Discussions
2. Rule by Majority
3. Rule as per the constitution
4. Protection of the rights of the Minorities
5. Responsible Government
6. Changing the power through elections as per the schedule

Advantages of Democracy: In monarchies and aristocracies the powers of the government are exercised in the interest of a particular class which is a ruling class. The common man is deprived of the right of participation in the political processes. Democracy was evolved to remove this defect of these systems. It provided for more participation of the people and accountability of the government to the people. Some of the important advantages of democracy are as follows:

1. **CO Welfare of all:** The representatives elected by the people for a definite period rule in a democracy. They are well aware of the aspirations of the people and know sufficiently well that their right to rule is directly dependent Upon people's mandate. Since the rulers in democracy are responsible to the people, they always endeavour to promote common interests and try to achieve common objectives.
2. **Most efficient Government:** According to Garner, "Popular election, popular control and popular responsibility, are more likely to ensure a greater degree of efficiency than other system of government". It is the only form of the government in which the responsibility of the rulers towards the ruled can be effectively ensured and enforced.
3. **Training School for Good Citizenship:** Democracy is not only a form of the government; it is always a state, social and economic system. Obviously, it imparts to the people administrative, political and social training. While in monarchy and aristocracy people are uninterested in political processes, in democracy the universal adult suffrage and popular control involve the people in the political processes. According to Bnrns, "All government is a method of education but the best education is self education therefore, the best government is self government which is democracy".
4. **It elevates Moral character:** The most important merit of democracy is that it elevates the character of man. With the provision of political rights it fills among men self-confidence and self reliance. Bryce says, "The manhood of the individual is dignified by the political enfranchisement and he is usually raised to a higher level of the sense of duty, which it throws upon him". John Stuart Mill says, "It promotes a better and higher form of national character than any other polity whatsoever".
5. **Source of Patriotism:** The elaborate political rights to the people in a democratic system encourage the people to identify themselves with the nation. Mill rightly says that, "democracy strengthens the love of country because citizens feel that the government is their own creation and the magistrates are their servants rather than masters". Laveley also affirms that the French people started loving France more in the post revolution era because of their participation in the government.
6. **It Minimizes Chances of Revolution:** Revolutions generally occur in a system which provides for no mechanism to replace the administrators, Democracy, on the contrary, respects the public opinion. Special attention is paid to the welfare of the people and everybody gets equal opportunity for self development. Electrons

are held periodically for the expression of accountability and for people's mandate. All the parties are given the right to project their objectives, programmes and plans. The government, if found wanting may be replaced. Gilchrist rightly says, "Popular government is a government by common consent from its very nature, therefore, it is not likely to be revolutionary".

7. **It Upholds the Principle of Equality:** Democracy is based on the principle of equality. It provides for equal rights irrespective of different social status of the individuals. In democracy everyone is equal before law and receives equal protection of law. Democracy is not confined to the political scheme only it extends to social and economic spheres also. Therefore, democracy presupposes absence of discrimination. However, equality in democracy would mean equal opportunities.
8. **Protects the Liberties of the People:** In democracy liberties are regarded as the inalienable rights of the individual. It believes that the people should be provided with freedom of association and freedom of assembly. These liberties are considered as essential for the development of human personality.
9. **Based on the Principle of rule of Law:** In democracy no body is treated above the law and everybody is equal before the law. Laws are not arbitrary commands; instead they are the reflection of social morality aimed at the development of human personality.
10. **Government is the representative of All:** In democracy majority has a right to rule but minorities have a right to say. The government is not a class government; it represents all. According to Lowell. "In a democracy no one complains that he is denied the opportunity of expressing his opinion".

Disadvantages of Democracy

The critics of democracy, like their counter-parts, are equally vocal in condemning this institution as an 'aristocracy of black guards', or that it carries towards death. They have criticised democracy on the following grounds:

1. **Lays More Emphasis on Quantity:** Democracy puts more emphasis on quantity than on quality. The democratic process of recognising that all men possess the same merit and intelligence is absurd. In this the votes are counted not weighed. An intelligent man with the experience of life time is equivalent to an ordinary manual worker mentally to the level of a dunce.
2. **Rule of Ignorance:** The Greek political thinkers like Plato and Aristotle regarded democracy as the most perverted form of the government in which the decisions are taken by the majority which is mostly constituted of fools. It is a rule of ignorance because wiser people are always in minority. Lecky is right when he says that democracy is "the government of the poorest, the most ignorant, most incapable who are necessarily the most numerous." Moreover, the democratic processes are so devised that they favour the demagogues, incompetent and amateurs. No wise-man would ever involve himself in the game of electoral politics. Obviously, the government is constituted of fools and wise men are isolated.
3. **It favours the Rich:** In democracy the institutions like political parties, legislatures and other groups require enormous funds for carrying out their functions. They survive on the donations by the rich class. Obviously, the administrators, press, and political parties become an instrument to promote the interests of the rich class at the expense of the poor. Therefore, an ordinary man can neither contest an election

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nor express his views against the system. Even the highest courts become like five star hotels where you have a right of entry provided you can pay for it.

4. **Government by Majority is a Myth:** The critics contend that democracy has ceased to be a government by majority. In a multi-party system there are generally multi cornered elections. As a result the candidate securing only 20 to 30 percent of the total votes cast is elected. Even the party commanding majority in the Parliament has the support of 30 to 40 percent of the votes. It means to say that democracy in practice is never a government by majority. That is why Cartyle terms it as the government by 'wind bags and charlatans'.
5. **Questionable Representation:** Territorial representation is universally accepted principle in almost all democracies. Territorial representation means that a representative represents all the classes of people living in an area. It is absurd and farcical as a representative can represent only his class or profession. He can not represent all classes in entirety.
6. **Equality is Abused:** In democracy equality implies that all men are equal and have equal rights to participate in the government. It is very unreal and unsound. Men are unequal in their intelligence and expertise. Therefore, participation of ordinary men instead of experts in the government proves detrimental to the interest of the society.
7. **It is a process of False Education:** It is contended by the critics that democracy imparts false education. The general election is the channel through which it educates the people. The process of elections, false propaganda, twisted lies, exaggerated facts and over blown incidences change the atmosphere with lies. People are hoodwinked by damagogues and charlatans. Therefore, democracy can not be regarded as the process of right education.
8. **Impedes Scientific Progress:** Masses are generally conservative and averse to novel experiments. They lack scientific temper and oppose any progressive idea. Therefore, democracy in its history has never been conducive to scientific and literary progress. According to Burns, "The civilization which a democracy produces is said to be banal, mediocre or dull."
9. **It is Unethical:** Theoretically democracy may appear as an ideal form of the government but in practice, it debases the masses. It helps unscrupulous politicians to acquire the position of power. It criminalises politics. The politicians are generally involved in vilification campaigns to sustain themselves in power.
10. **Liberty remains an Unachievable Objective:** It is said that democracy is characterised with individual liberty. It is wrong. Democracy never percolates down to the social and economic level; it remains confined to political level only. Liberty, in the absence of social and economic equality remains an unachievable objective.

8.2.2 Conditions for Success of Democracy

The success of democracy depends on favourable social conditions. If the society is unjust and unequal, there is an erosion of moral values; democracy will not be a success. In fact the demerits of democracy are the short comings of the people who participate in the political processes. Therefore, social reform and establishment of certain values in the society is necessary for the success of democracy. Apart from this a conducive environment for the development of human personality is also necessary. Following are the necessary conditions for the success of democracy.

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1. **High Moral Character:** High moral character of the people is indispensable factor for the success of democracy. According to Hearnshaw, "The democratic principle is essentially religious in character." It means that democracy is based in the high moral character of the people. The citizens are expected to be honest and dutiful. They should have the moral courage to resist the temptations offered by the unscrupulous politicians.
2. **Proper Education:** Democratic government is based on public opinion. Therefore, educated and vigilant public is of imperative necessity for the success of democracy. Education means that the people should have the capacity to use their discretion in electing the representatives and identifying the needs of the country. In the words of Mahatma Gandhi, "Democracy is not a state in which people act like sheep, the public is to be alert".
3. **Economic Equality:** Mere declaration of equality does not create political equality in the society. For political equality economic equality is a precondition. According to G.D.H. Cole, "Political liberty in the absence of economic equality is a mere myth." A poor man can not be expected to exercise his political rights sincerely because he is, most of the time, busy in making provision for his necessities. He falls an easy prey to petty temptations offered by the rich. He sells his vote. Therefore, economic equality is necessary for the success of democracy.
4. **Civil Liberties:** Freedom of thought and expression, freedom of press and freedom to form association are the important rights in democracy. Without them democracy can not exist.
5. **Written Constitution and Democratic Traditions:** The written constitution with inviolable fundamental rights and defined governmental powers is a necessary condition for the success of democracy. It is necessary because a common man gets the information about his rights and duties. He becomes aware of his political obligations. Observance of certain democratic traditions like respect of party in opposition, speaker and judges is very necessary.
6. **Social Equality:** The social system should be based on justice and equality. There should be no discrimination on the bases of race, region, religion, caste and sex. According to Hearnshaw, "It demands equality both of a privileged nobility or a benefited clergy on the one side and an oppressed industrial proletariat or an enslaved peasantry on the other."
7. **Local Self Government:** In order to make democracy a success democratic institutions should also be established at local level. Local self governments generate interest among the common people regarding the issues of public importance. They also provide for basic training to the people and the leaders. According to Lord Bryce, "The best school of democracy and the best guarantee for its success is the practice of local self government."
8. **Wise Leadership:** The success of democracy depends greatly on the quality of leadership it is able to provide. The leaders in democracy must be men of sound judgment, unimpeachable character and out standing initiative. The people should have faith on such leaders and at the same time beware of personality.
9. **Free Press:** This is the most important condition because the free press creates an enlightened public opinion, highlights the wrong policies of the government and communicates the demands of the people to the government. Therefore, the press must be free. It should not be partisan, yellow and should not be controlled by the

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big business.

10. Sound and Strong Political Parties: Representative democracy functions through the political parties. They play a very important role. They are a link between the people and the government. They also perform the function of interest aggregation and articulation. Therefore, the political parties should be formed on the sound ideology rather than on religion, caste and region. They should not be much in number and must have the ability to provide for a strong opposition.

8.2.3 Kinds of Democracy

As a form of government, there are two types of democracies. They are: (1) Direct Democracy (2) Indirect Democracy

I. Direct Democracy : Direct democracy, classically termed pure democracy, comprises a form of democracy and theory of civics wherein sovereignty is lodged in the assembly of all citizens who choose to participate. Depending on the particular system, this assembly might pass executive motions, make laws, elect and dismiss officials, and conduct trials.

Direct democracy stands in contrast to representative democracy, where sovereignty is exercised by a subset of the people, usually on the basis of election. Deliberative democracy incorporates elements of both direct democracy and representative democracy.

Many countries that are representative democracies allow for three forms of political action that provide limited direct democracy: initiative, referendum (plebiscite) and recall. Referendums can include the ability to hold a binding referendum on whether a given law should be rejected. This effectively grants the populace which holds suffrage a veto on government legislation. Initiatives, usually put forward by the populace, force the consideration of laws or amendments (usually by a subsequent referendum), without the consent of the elected officials, or even in opposition to the will of said officials. Recalls give people the right to remove elected officials from office before the end of their term, although this is very rare in modern democracies.

In general, the term “direct democracy” usually refers to citizens making policy and law decisions in person, without going through representatives and legislatures. The classic example of this is the New England Town meeting where anyone from the town who wants to show up to debate and vote on town policy can do so. Until recently, this worked for scores of communities, but low attendance at many modern town meetings has raised questions about whether they are truly democratic.

More recent direct democracy proposals tend to focus on voting schemes (usually high tech) that would allow widespread, virtually continual voting by millions of citizens on whatever proposals surfaced. While useful in building up a buffet of voting methodologies for possible use in other contexts, the lack of organized public deliberation about the issues in question makes such proposals look more like opinion polls than exercises of citizenship. Wise solutions to public problems won’t likely come off the top of a hundred million heads.

When the people themselves directly express their will on public affairs, the type of government is called pure or direct democracy. According to Hearnshaw, “A democratic form of government in the strict sense of the term is one in which the community as a whole directly or immediately without agents or representatives, performs the function of sovereignty”. A democracy is direct when the citizens themselves take part in the

affairs of the state, meet together in their general assemblies, pass laws, take steps to execute them, and formulate the will of the community on all questions referred to them, instead of leaving all such activities to be performed by their elected representatives.

The following methods were prescribed in direct democracy enabling the people to play their role properly

- 1) Referendum
- 2) Initiative
- 3) Plebiscite
- 4) Recall

1. Referendum: Literally, the term referendum means 'refer to.' It is a device through which the verdict of the people is sought on any issue constitutional or ordinary. According to Munro, "It is a device where by any law which has been enacted by the legislature may be withheld from going into force until it has been submitted to the people and has been accepted by them at polls." Referendum is of two types (i) compulsory or obligatory (ii) optional.

- i) Compulsory Referendum:** When referendum is necessary for the specific type of laws, it is known as compulsory referendum. In Switzerland and Australia it is applied to all constitutional amendments.
- ii) Optional Referendum:** When the law passed by the legislature is placed before the people on the demand of specified number of voters or Cantons it is known as optional referendum.

Advantages: Referendum as an instrument of direct democracy has the following characteristics

- i) It upholds the sovereignty of the people.
- ii) It provides a safeguard against the despotism of a majority party.
- iii) It reduces the influence of political parties in the democratic processes.
- iv) It imparts highest type of political education to the masses.
- v) People feel more involved and morally bound to obey the laws of the state.
- vi) Referendum "helps the legislature to keep in touch with the people at other time than at general elections and in some respects a better touch, for it gives the voters an opportunity of declaring their views on serious issues apart from the destructive or distorting influence of party spirit."

Disadvantages: Referendum has many serious disadvantages; some of them are as follows

- i) Referendum relegates legislature to the secondary status as people start having the final say in the legislation.
- ii) Referendum places in the hands of the people a power which they are not qualified to exercise in an intelligent manner.
- iii) It does not reflect the public views because frequent referendums are counter productive. People stop taking interest and avoid going to polling booths.
- iv) Referendum causes unnecessary delay in the passing of laws and their execution. In the words of Strong, "If used too frequently it could cause such delay in the promulgation of laws at. might deprive society of the benefits, they were designed to bestow, or permit the perpetuation of the evils, they were intended to remove."

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- v) It accentuates the evils of party system.
- 2. **Initiative:** While referendum is negative, it is a right of vote of the people on a bill passed by the legislature, the initiative on the other hand, is a positive right. It empowers the voters to propose legislation themselves. In initiative a fixed number of voters proposes to the legislature to make a specific type of law. The legislature prepares the draft of the bill and it is again placed before the people in due course. Initiative is of two types: Formulated and Unformulated.
 - i) **Formulated Initiative:** It is a fully prepared bill. In this case the legislature is bound to accept the bill or place it before the people for decision.
 - ii) **Unformulated Initiative:** In such type of initiative the people propose general demands not drafted in a bill. If the legislature approves the demands it drafts the bill. Such demands are known as unformulated initiative.
- 3. **Plebiscite:** This method was first used by Napoleon in the year 1804. Plebiscite means ascertaining public opinion on certain important aspects. This is not applicable to the laws and the constitution. Peoples verdict is sought answer on certain public problems and policies of the government.
- 4. **Recall:** Recall means to call back. Recall is a direct democratic device which empowers the people to call back any elected representative who has failed and is found incompetent. In the words of Leacock. "The system means that all persons who hold office, must do so only so long as their tenure of office is sanctioned by the people; at any time, when the majority of voters desire it, the office holder is removed from his function." The device of recall has following advantages:
 - a) **Advantages**
 - i) Recall is a device which enables citizens to exercise control over the legislature. It is the expression of people's sovereignty.
 - ii) Recall lays a restraining influence on the elected representatives. It restrains them from abusing their authority.
 - iii) The legislators and other elected officers are checked against the temptation of corruption. They realise that their one wrong act can result in their recall.
Sometimes some unscrupulous politicians get elected. They continue for full tenure in the representative democracy but in Direct democracy such undesirable elements are weeded out.
 - b) **Disadvantages:** Recall has the following Disadvantages:
 - i) Sometimes an honest legislator who does not relent before the vested interests is eased out of the legislature by the system of recall.
 - ii) The elected officers are always scared of recall as they know that their actions may displease some persons who may conspire to their recall. Obviously, the administration becomes lax and progressive measures can not be adopted by it.
 - iii) The elected officers are so demoralised that they fail to take an independent judgment fearing recall.
 - iv) The device of recall has a demoralising influence on the judiciary. The judges may become servile and may be compelled to deliver perverse judgement.
 - v) Some capitalists or other powerful sections may conspire for the recall of an honest legislator due to personal grudge.

- vi) The device of recall reduces the representatives to the status of delegates having no will of their own.

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II. Indirect Democracy

Indirect democracy sounds like it might be an exact synonym for representative democracy, but usually it is not. Instead, it is representative democracy taken a step further. With indirect democracy the voters elect representatives who in turn elect representatives who then make the actual decisions.

Today most Americans do not think well of indirect democracy. It just does not seem very democratic to us. In practice also, it has not usually worked very well. It has been too vulnerable to corruption or to control from the top.

In the modern age, the size of the states has become very big. The population is also very large and diverse. It is not possible for the population to assemble at one place to decide the affairs of the state. Moreover, the population is constituted of different, sometimes antagonistic classes who never cooperate. Therefore, democracy today is indirect or representative. In this system the will of the state is formulated and expressed not directly by the people themselves, but by their representatives to whom they delegate the power of discussion and decision making. Such a type of democracy rests on the principle that, though sovereignty belongs to the people, it is their representatives who exercise it. The representatives are elected by the people at periodical elections for a fixed tenure. They are responsible to the people who may oust them in the elections if they find them incompetent.

In a representative democracy the ultimate source of authority remains with the people. According to Mill, "Representative democracy is one in which the whole people or some numerous portion of them exercise the governing power through deputies periodically elected by them". Hobhons says, "Democracy means or may mean, two things which though allied in idea, are not necessarily found together in practice, viz., (i) direct participation of the mass of ordinary citizens in the public life of the community, (ii) ultimate popular sovereignty". According to Willoughby, "A representative government is that form of government which results where a legally sovereign electorate, instead of itself attempting to act as the directing head of the machinery of government, brings into existence an organ, or organs to represent and act for it in this capacity". The main characteristics of representative democracy are the following: (i) It is representative form of the government, (ii) The sovereignty is vested in the people, (iii) The people do not have direct share in government, (iv) They only control government through periodic elections, (v) The government is accountable to the people. For a representative government it is not necessary that all its functionaries are elected by the people. It is sufficient if the legislature is elected because the principle of representative government does not necessarily demand the election of the judges and the executive officials. It only requires that all adult citizens have a right to vote and right to be elected, periodical elections are held and freedom of speech, expression and association is granted to all without any discrimination.

8.2.4 Criticism

Economists since Milton Friedman have strongly criticized the efficiency of democracy. They base this on their premise of the irrational voter. Their argument is that voters are highly uninformed about many political issues, especially relating to economics, and have a strong bias about the few issues on which they are fairly knowledgeable.

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- 1) **Mob rule:** Plato's the Republic presents a critical view of democracy through the narration of Socrates: "Democracy, which is a charming form of government, full of variety and disorder, and dispensing a sort of equality to equals and unequaled alike.
- 2) **Moral decay:** Traditional Asian cultures, in particular that of Confucian and Islamic thought, believe that democracy results in the people's distrust and disrespect of governments or religious sanctity. The distrust and disrespect pervades to all parts of society whenever and wherever there is seniority and juniority, for example between a parent and a child, a teacher and a student.
- 3) **Political instability:** More recently, democracy is criticised for not offering enough political stability. As governments are frequently elected on and off there tends to be frequent changes in the policies of democratic countries both domestically and internationally.
- 4) **Slow governmental response:** Democratic institutions work on consensus to decide an issue, which usually takes longer than a unilateral decision.
- 5) **Vote Buying:** This is a simple form of appealing to the short term interests of the voters. This tactic has been known to be heavily used in north and north-east region of Thailand. Another form is commonly called Pork barrel where local areas or political sectors are given special benefits but whose costs are spread among all taxpayers.

8.3 UNITARY AND FEDERAL

On the basis of the distribution of powers between the Central government and the State governments, the governments are classified into two types: Unitary government and Federal government. In the same way, on the basis of the variation in powers of the executive, the governments are divided into two namely: Parliamentary form of government and Presidential form of government. These four types of governments can be explained in the following way.

Definitions

Some of the definitions are given below

- 1) According to Finer, the unitary state is one in which all authority and powers are lodged in single centre, whose will agents are legally omnipotent over the state area.
- 2) C.F. Strong defined the Unitary Government as, "A Unitary Government in one organised under a single centre government, that is to say whatever powers are possessed by the various districts with in the area administered as a whole by the central government.

8.3.1 Unitary Government

On the basis of the distribution of powers between the central and State governments, governments can be classified as unitary and federal. In the unitary government, the entire power of the government is vested with the central government only. Even though the central government holds complete power, for a proper implementation of the activities of the government some of the powers are delegated to the local governments at regional level. The Central government can withdraw such powers at any time. The central government has complete freedom either to increase or reduce the quantum of powers

given to the local governments at regional level. The local governments at the regional level are created only for administrative convenience; but they are not creatures of the constitution. These local governments at regional level do not have any independent status. They exercise their powers remaining subservient to the central government.

Features of Unitary Government

The unitary government has the following features

1. In the unitary government, there will be only one powerful Central government. The central legislature enjoys highest legislative power.
2. The local regional governments may exist or may not exist. Their existence depends upon the central government. They represent the Central government; but seldom have any independent status.
3. The people elect the Central government either directly or indirectly. The local regional governments are constituted by the central government. But in some cases the people elect the local regional governments by themselves.
4. The State will have only one flexible constitution either in a written or unwritten form.
5. The citizens have single citizenship.
6. There will be a unified or integrated judiciary for the entire State.
7. The Central government only has the complete right to amend the constitution.

Advantages

1. **Powerful Government:** As all the powers are vested with the Central government. Unitary government can have a stable and integrated rule. It can face the anti-social elements and chaos in the State.
2. **Efficient Rule:** There is no scope for cropping up of differences between the central and State governments. As all the regional or State governments strictly adhere to the instructions of the central government, there is scope for an efficient rule.
3. **Uniformity in Administration:** As the entire country is under the rule of a single government, only one type of administration and laws will be in force throughout the country. As such there is every scope for the development of all regions in the same way. There cannot be regional differences and inequalities.
4. **Less Expenditure:** As the government has to be constituted at the central level only and as there is no need for independent local regional governments, the expenditure on the formation of the government and running the government will be less.
5. **Quick Decisions:** As there is only one government for the entire State, there will be no delay in taking decisions. Quick decisions can be arrived at in case of exigencies to solve the problems.
6. **Single Citizenship:** All the citizens in the country will have single citizenship. It promotes unity among the citizens. There is more scope for national integration, unity and solidarity.
7. **Useful for Small Countries:** This form of a government is suitable to the small countries with limited population and less area.

Disadvantages

1. **Scope for Dictatorship:** As all the powers are vested with the Central government only, the administration may adopt dictatorial tendencies.

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2. **More stress on central government:** As there is no distribution of powers between the Central and State governments, only the Central government has to discharge all the functions. As a result, there is a scope for more stress on central government leading to negligence and delay,
3. **Growth of inefficiency:** As the local regional governments do not have much independence and as they have to depend upon the central government, the people lose political initiative at local levels. As a result, the governments cannot function efficiently.
4. **Not suitable for big countries:** Unitary government is not suitable to countries with large population, large territory, different cultures and religions for promoting, unity in diversity.
5. **Irresponsibility:** The Central government is not responsible to anybody. No other unit can dictate the Central government. As such, there is every scope for the Central government to behave irresponsibly.

8.3.2 Federal Government

The form of government in which the powers of the government and between the Central Government and the State governments, communicationally, is called as a federal government. The English word 'Federation' originated from the Latin word "Foedus" Foedus means agreement. Hence, it can be understood that a federation forms due to an agreement. Federation can form in two ways

1. Some small countries, which are economically and militarily weak, in a single geographical fold unite to become a single state for the common purposes, surrendering their sovereignty to it.
2. A big unitary State may be divided into different provinces for the administrative convenience. To achieve unity in diversity, the powers of the State will be distributed between the Central and the provincial governments by constitutional means giving rise to a federation.

Meaning and Definition

In Federal Government system, there will be two governments, one is central government and second one is state governments. These governments are created and administered by the written constitution.

These two governments will be obtained the powers and functions through written constitutions. The following different definitions were given by the various political thinkers as shown below.

- 1) "A Federal State is nothing but a political contrivance intended to reconcile national unity with the maintenance of State rights." - A.V. Dicey
- 2) "Federation is an association of States that forms a new ones". - Hamilton
- 3) "A federation is a form where in the central and State governments take decisions in their respective spheres and function independently as a result of the distribution of power between the regional governments and central governments."
- K.C. Where

Features of Federal Government

1. Governments at Two Levels

In the federation, governments exist at the central and the State levels. There is a

central government for the whole country with separate governments at the States. They function in their respective spheres of power.

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2. Division of Power

In a federation, the power will be divided between the Central and the State governments. The central government holds control on such matters like defence, foreign affairs, posts and telegraphs, transportation which have national significance. The matters with local significance like education, agriculture, health, irrigation are with the States. But the division of powers cannot be similar or identical in all the federations.

3. Written Constitution

In the federal system the central and State government systems are decided and defined by a written constitution.

4. Rigid Constitution

Generally, the constitutions in the federation cannot be amended easily. The central government or State governments cannot amend the constitution unilaterally.

5. Supremacy of the Constitution

In a federal system, constitution is the highest form of law. It is the basis for constituting the central and State governments and assigning their powers. Both the central and the State governments exercise their power within the ambit of the constitution.

6. Independent Judiciary

There is a scope for the difference of opinion at times in a federation due to the presence of two governments. There exists an independent judiciary with vast powers to protect the supremacy of the constitution and to solve the problems between governments in a federation.

7. Special Representation to the States in Central Legislature: In a federation, there is bicameralism at the national level. Equal representation is provided to all the states in the upper house of the central legislature in order to protect the interests of small States and prevent the domination of big states over them.

8. Dual Citizenship: In the federal states, the citizens have dual citizenship one at the national level and the other at the state level.

Besides the above features, in some of the federations, there is a scope for dual constitutions, right to separate from the federation and scope to participate in the amendment to the constitution etc.

Advantages

1. Achievement of Unity in Diversity

The federal government co-ordinates the issues of national integrity and liberty of regional governments. Federal system is much useful to the big countries with different races, religions communities and languages. Powerful Central government protects the sovereignty of a federal government and also regional integrity. It helps as a tool to achieve unity in diversity.

2. Prevents Dictatorship

The Central and State governments rule independently. Hence, there is no scope

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for them to behave with a dictatorial tendency. The constitutionalised government, decentralisation of power and democratic measures seldom give scope to dictatorial trends in federation.

3. Lesser Burden on the Centre

Due to the division of powers, the Central and State governments can discharge their functions efficiently. As the regional problems are solved by the provincial governments, the Central government can concentrate on important aspects. The burden of the centre will be lessened to that extent.

4. Scope for New Experiments

In this system, there is much scope to launch new experiments in the economic, political and administrative spheres. Development can be achieved in socio-economic spheres with special interest by adopting such type of techniques suitable to the varying conditions of different places. There is scope in the federation to extend a modality of solution in one region to the other regions in the context of such or similar or identical problems.

5. Political Training to Citizens

There is much scope for the citizens to get training in political activity in a federation. There is scope for them to participate in the political activities of the provinces and deliberate in that context which in turn helps the people to become responsible good citizens.

6. Helpful to Welfare State

Large number of the States, gives much scope for global unrest due to militarism. The formation of federations by unification promotes peace. That is why, most of the scholars think that federation paves way for a Welfare State.

Disadvantages

1. Scope for Central-State disputes

In the federal system, there is very little scope for the States and government at the centre to move on the same track. Disputes may often arise between these two units. There is also a scope for different political parties coming into power in the Centre and States. Political disputes crop up due to mutual criticism by rival political parties for their own ends. As a result, the federation may cause harm to national unity.

2. Expensive

The formation of a federation is very difficult and expensive. It is not so easy as in a unitary State. It is a complex problem to divide the powers between the Central and State governments. Similar political institutions are to be established at the State and Central level. It may not improve efficiency in administration but it certainly leads to increase in expenditure.

3. Lack of uniformity in Administration:

The State governments have independent status and special powers in a federal system. They develop the laws and administrative pattern as per their local needs. That is why the laws and administrative pattern differ from State to State. As a result, there cannot be a uniformity in administration.

4. Promotes Regionalism

The federal system promotes fanatic regionalism among the people and the leaders. The people of different States fight for their regional interests. The State governments

give priority to their problems and neglect the national interests. Disputes between Centre and States may give rise to agitations demanding separation from Federation thus destroying national integration.

5. Anti-Developmental

All the federal States will have rigid constitutions, in general. They can be amended only with the bilateral acceptance of the State and Central governments. At times, the State governments may not accept the constitutional amendment. As a result, the administration may not change as per the changing needs. That is why, some scholars view federation as anti-developmental.

6. Irresponsibility

In a federal system, concurrent powers of legislation are given to both the Central and State governments on certain items. It creates a competition and misunderstanding between the Central and State governments. It is difficult to identify the responsibility for such deadlock. The Central and State governments criticise each other.

7. Not good for small Countries

Federal system is not suitable for countries which are economically backward and also which have less population and less territory. Small countries cannot bear the expenses of this system.

Despite many drawbacks federal system is considered to be the best system for big countries with large population, different races, religions and languages.

8.3.3 Differences between Unitary - Federal Forms of Government

The differences between the unitary and federal forms can be detailed in the following schedule.

Unitary Government	Federal Government
1.This has one government at the central level.	1. There are two types of governments : one at the central or national level and one at the State or regional level.
2. Due to one government, there is no distribution of powers. All powers are vested with the Central government.	2. Powers are distributed between the central and State governments as per the constitution.
3. As there is no distribution of powers. There may or may not be a written constitution.	3. There must be a written constitution.
4. Central government constitutes the regional governments and hence they are obedient to the centre.	4.Regional governments function independently as they are formed by the constitution.
5. The powers of the local governments can be enhanced or reduced by the Central governments.	5. The powers of the local government cannot be enhanced or reduced by the central government as they are formed by the constitution.

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6. The constitution can be amended only by the central government.	6. Both the Central and State governments participate in the process of constitutional amendments.
7. Unicameralism or bicameralism can be at the national level.	7. There must be bicameralism at the national level. The upper houses are meant for giving representation to States.
8. There can be only one legislature for the entire country. There are no provincial legislatures.	8. There are separate legislatures for the central and State governments.
9. There is only one citizenship and the citizens are loyal to only one government.	9. There is generally dual citizenship
10. There is only one constitution.	10. There are two constitutions.
11. The role of judiciary is limited. There need not be separate judiciary.	11. The role for judiciary is paramount and there is a separate judiciary.
12. The formation of government is simple.	12. The formation of government is complex.
13. More scope for unity and integrity.	13. Equal scope for unity and Diversity.
14. No disputes between the Centre and States as all power is vested with the central government.	14. Scope for disputes between Central and State governments due to the division of powers.
15. Scope for dictatorship due to the centralisation of powers.	15. Limited scope for dictatorship due to division of powers between the Central and the State governments.
16. Uniformity in administration due to single government.	16. Less scope for uniformity in administration due to two types of government.
17. This is useful for small States with less territory and people.	17. This is useful for big countries with geographical and demographic diversity.
18. Easy to amend the constitution.	18. Not easy to amend the constitution.
19. More stability and integrity.	19. Less stability and integrity.

8.4 PARLIAMENTARY FORM OF GOVERNMENT

The governments can be classified as parliamentary and presidential forms based on their relations between legislature and executive.

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A parliamentary system is a system of government wherein the ministers of the executive branch are drawn from the legislature, and are accountable to that body such that the executive and legislature branches are intervened in such a system, the head of the government is both *defacto* chief-executive and chief-legislature.

Parliamentary form of government depends upon the co-ordination of the powers of both the legislature and executive. The presidential government depends upon the separation of the powers of the legislature and executive. In the presidential form of government the executive is not constituted by the legislature and it is neither responsible to the legislature nor functions under its control.

In the parliamentary form of government, there is a close relation between the legislature and the executive. The executive emanates from the legislature and responsible to it. Hence, this type of a government is called as 'cabinet government' and 'responsible government'

Features: Some national presidents are figure head "Heads of code, like constitutional monarchs, and not active executives of heads of government". In contrast, a full fledged presidential system, a president is chosen by the people to be the head of the executive branch.

Presidents, in presidential form of governments always active participate in the political process, though the extent of their relative power may be influenced by the political makeup of the legislature and whether their supporters or opponents have the dominant position therein.

1. **Two types of executive:** In parliamentary government, there are two types of executive. 1. Nominal executive and 2. Real executive. The king of Britain or the President of India are nominal executives. The Prime Minister with his council of ministers is the real executive. The place of the head of the State is nominal. All the governmental activity takes place in his name for legal purposes. The government under the Prime minister runs the day-to-day administration in reality.
2. **Ministers are members in legislature:** All the members of the council of ministers must be the members of legislature (Parliament). Actually the executive originates from the legislature. Ministers who are not members of the legislature, must become its members within a stipulated period. The ministers actively participate in the deliberations of the legislature. Generally the leader of the party which has absolute majority by itself in the legislature or the person who can muster the support of majority of members of the legislature in the case of a multiparty system, is appointed as the Prime Minister. All the other members of the council of ministers are appointed by the head of the State on the advice of the Prime Minister.
3. **All ministers belong to a single political party:** Generally, all the members of the Council of ministers belong to a single political party. They have similar political opinions and ideals. They run the government as a team. But now-a-days, coalition governments are formed.
4. **Collective responsibility of the council of ministers:** The council of ministers collectively stands responsible to the lower house of parliament which is the popular chamber for its political decisions, discussions, administration, success and failures. By collective responsibility, it is meant that, if the lower house of the parliament opposes the decisions of the council of ministers, it has to resign. In the same way if the lower house of parliament passes no-confidence motion or votes the important decisions of the council of ministers, it has to submit its resignation.

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5. No specific tenure for power to the council of ministers: There is no specific tenure of office for the council of ministers. It can continue to be in power as long as it enjoys the confidence of the lower house of parliament. The ministers have to resign when the council loses its confidence. In the same way, they can continue in power as long as the majority in the lower house of parliament supports. The council has to resign if the majority withdraws the support.

6. Leadership of the Prime Minister: The Head of the State appoints the leader of the majority party in the lower house of the legislature as the Prime Minister and on his advice, the other members of the council of Ministers.

The council of ministers work under the leadership of the Prime Minister alone has the authority to select his ministers; to distribute or change their portfolios and to dismiss them. The Head of the State has to accept the decisions of the Prime Minister in this regard.

Advantages

- 1. Co-ordination between the Legislature and the Executive:** There is co-operation and co-ordination between the legislature and the executive. Executive is a part of legislature both are under the control of the majority party. As such, the ministers frame the laws as per the opinion of the legislators. It means the legislators accept the bills proposed by the ministers. As a result, there is a less scope for disputes and conflicts between the two sections.
- 2. Less Scope for Dictatorship:** The council of ministers is responsible directly to the legislature and indirectly to the people. The legislature can control the council of ministers through questions and resolutions. The council of ministers can be removed from its office, through no-confidence motion in case of need. As such, there is very little scope for the government to be irresponsible and dictatorial in its rule.
- 3. Scope for Decentralisation of Power:** Parliamentary form promotes decentralisation of power. In this method, the executive power cannot be vested with anybody. The powers are distributed among the ministers.
- 4. Easy to have an Alternative Government:** There is no scope for political revolutions. Any changes can be easily introduced in the government. If the council of ministers is removed through the no-confidence motion, the opposition parties will be ready to form the government. If the opposition fails to form the government there is every scope to form a new government by conducting mid-term poll.
- 5. Wide Representation:** There is sufficient and suitable representation to the members of different sections and regions of the country in the council of ministers. The national spirit and national unity can develop among the people as representation is provided in the government to the members of all sections, regions and languages.
- 6. Political Dynamism:** Political consciousness develops among the people in a parliamentary system. The common people can also develop knowledge of political activity due to the discussions in the legislature on different programmes undertaken by the government. The people can understand the defects of the ruling party due to the criticism of the opposition. It improves the knowledge of the political activity among the people.

Disadvantages

- 1. Against the Theory of Separation of Powers:** This form is against the theory of

separation of powers. The ministers have membership in both the legislature and the executive and control both the organs. There is complete co-operation and understanding between these two. As the council of ministers is a part of legislature, the theory of separation of powers is undermined.

2. **Unstable Government:** There is no guarantee that a government can survive its tenure. This situation is more prevalent in countries with multi-party system. It is so because the councils of ministers depend upon the support of the legislators. So the differences in the supporting parties also decide the tenure. The government can be in power as long as it enjoys the confidence of the parliament. Defections from the ruling party to other parties may prove fatal to the government. That is why, there is no stability to the government.
3. **Dictatorship of the Council of Ministers:** The council of ministers may pave way to dictatorship. The council of ministers with majority in the legislature can exercise all powers. The scholars like Hewart and Ramsay Muir opined that countries adopting parliamentary form of government would give more scope for dictatorship of the cabinet.
4. **Difficult to form Council of Ministers:** It is not easy to form council of ministers. The Prime minister while selecting his ministers has to satisfy all the sections of the people taking into consideration the factors like caste, religion, language, region, administrative efficiency and obedience to the party.
5. **Not Good for Emergencies:** The decisions will be delayed as the executive powers are distributed among the ministers. Due to differences among the ministers, decisions cannot be taken unanimously. This type of council of ministers cannot be efficient to face the problems arising in emergencies.
6. **Priority to Party Interest:** Parliamentary government is basically party based. It uses governmental power keeping the interests of the party always in view. The problems of the country are analysed in terms of the party manifesto and solutions are suggested accordingly. The government always tries to keep up its majority in the parliament. For this purpose it encourages defections from other parties.

8.5 PRESIDENTIAL FORM OF GOVERNMENT

A presidential system is a system of government where an executive branch exists and presides separately from the legislature, to which it is not accountable and which cannot, in normal circumstances, dismiss it. Presidential government is based on separation of the legislative and the executive powers

Features

1. **Independence of legislature and executive:** In the presidential form of government the legislature and the executive are two independent units. Executive is not a part of the legislature.
2. **President is the real executive:** The President is the chief executive. In this method, there are no classifications like real executive and nominal executive. The President is the real executive. He exercises all the powers directly or through his secretaries.
3. **Specific tenure of the President:** The president is elected by the people directly or indirectly for a specific period. Only under some specific situations the president can be removed from office by impeachment. He cannot otherwise be removed from his position before the completion of his tenure.

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4. Appointment of Secretaries: For running the administration, the president can appoint his secretaries. They are not called ministers. They are all the followers of the president but not his equals. They can continue in power as long as the president believes them.

Advantages

1. Less Scope for Dictatorship: In presidential form, all the organs of the government are independent. They exercise mutual control. No organ can intervene in the affairs of the other organs. As such there is no scope for strengthening dictatorial trends.

2. Stable Government: The chief executive *i.e.*, the president is elected for a given time. His tenure is not dependent upon the whims and fancies of the legislature. Hence, he can continue in power till the end of his tenure. As the governments do not change often there can be a stable government.

3. No delay in Action: As the executive authority is centralised in a single person, he can take decisions quickly. There can not be any delay in solving the problems of the people as he can quickly take a decision without consulting his secretaries or the legislature.

4. Promotes Efficiency: The President rules with the help of the secretaries and advisers who are experienced and efficient. These persons do not have any ties with the legislature. They are not representatives of any constituency and hence they have no need to concentrate on the problems of constituencies. They devote their complete time in the administration. Hence, efficiency can be promoted.

5. Responsible Government: The president is responsible to the people. He owns complete responsibility for any lapse. He seldom transfers his responsibility to the others.

6. Suitable for Emergencies: The presidential form is suitable for emergencies. The president can face any untoward situation efficiently. He need not seek the approval of the legislature or the advice of his secretaries. He runs the administration keeping in view the welfare of the country.

Disadvantages

1. Scope for Disputes: As the legislature and executive are separated, there is often scope for disputes between the two.

2. Irresponsibility: There is scope for the president to rule irresponsibly. He is not responsible to the legislature. He ignores the criticisms of the opposition. Some times the country has to follow the directives of the president.

3. No Representation to Different Sections: There cannot be sufficient representation in the administration to the people of all sections and areas. As the president appoints only those whom he likes in different cadres, there is a scope for neglecting many. The secretaries may be appointed on the basis of obedience without giving prominence to experience and efficiency. In such a situation, there is scope for inefficient rule.

4. Public Opinion is not Reflected: There is no significance for legislature. All the discussions in legislature can be dry as the president or his secretaries are not members of the legislature and so they do not participate in its debates. As a result the discussions in legislature cannot have much significance and may not reflect public opinion.

5. Difficult to Remove Inefficient Presidents: As the president is elected for a fixed tenure, despite his immorality and inefficiency he cannot be easily replaced by another individual.

6. Anti-developmental Constitution: Generally presidential government is associated

with the rigid constitution. Hence it will be very much difficult to amend the constitution as per the changing needs and it will be anti-developmental in result.

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8.5.1 Differences between Parliamentary-Presidential Form of Governments

The differences between the parliamentary and presidential governments are detailed in the following table forms

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Parliamentary Government	Presidential Government
1. There are two executives: Nominal and real.	1. There is only one executive: It functions as both nominal and real.
2. The executive is a part of legislature. They must be members of legislature and take part in its deliberations. A non-member must become a member in given time.	2. The executive is not a part of legislature. They are not members of legislature and need not take part in its deliberations. Executive and legislature are independent.
3. Generally members of the council of ministers belong to a single party. They believe in the same ideology and hold the same views.	3. The Secretaries of the president need not be members of a single party. They may differ one another in ideology and aims.
4. The head of the State and head of the government are different. The king in Britain and President in India are heads of the State. The Prime Minister is the head of government.	4. Head of the State and head of the government are one and the same.
5. No distribution of power between the organs of government: Legislature, executive and judiciary. Power is undivided.	5. Distribution of power between the organs of governments viz., legislature, executive and judiciary takes place. Each organ is independent.

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5. No distribution of power between the organs of government: Legislature, executive and judiciary. Power is undivided.	5. Distribution of power between the organs of governments viz., legislature, executive and judiciary takes place. Each organ is independent.
6. Ministers are responsible to the head of the State in theory and in practice to the legislature collectively.	6. Ministers are responsible to the president; but not to the legislature. They can continue in power as long as the president believes them.
7. The tenure of their office is not fixed. They can be removed before the tenure by a no - confidence motion.	7. The tenure of the executive is fixed. They cannot be removed before the tenure. It is possible to remove the president only through impeachment.
8. Ministers have autonomy in their departments to take decisions.	8. The secretaries do not have autonomy to take decisions.
9. Representation to all sections and regions in the administration.	9. No representation to all section: and regions.
10. Discussions in legislatures are educative; promoting political consciousness among people.	10. Discussions in legislatures are dry and do not improve political consciousness of the people.
11. Less scope for disputes between the legislature and the executive due to cooperation and co-ordination.	11. Scope for conflicts between the legislature and the executive due to division of powers.
12. This is an unstable government,	12. This is a stable government.
13. Not suitable for emergencies. There is scope for difference of opinion among ministers	13. Very much suitable for emergencies as the decisions can be arrived at quickly.
14. Priority for party interests only can be seen. Ministers work for narrow party interests.	14. The president gives significance to national interests and is not pressurised by party interests.

8.6 SUMMARY

From the times of Plato to the end of eighteenth century democracy was most provocative and hated concept. Plato and Aristotle believed that it was the most perverted form of the government. From the beginning of nineteenth century only it gained some respectability which went on increasing. To day it enchants, fascinates every body, and is considered as a key political ideal. It is the most sought after political and social ideal.

There are two kinds of democracy such as direct democracy and indirect democracy which are more popular in ancient Greek as well as modern period. In the democratic system, the people of the nation will be elects their representatives by the election method. This is more popularised system at the global level.

In the modern world, the governments are classified based on the distribution of powers between central government and state governments. The powers are distributed as per the written constitution among the governments. The success of democracy depends upon the political education of people. The parliamentary form of government has more channels for importing political education to the people while the presidential form lacks all of them. In a parliamentary system, the deliberations in the legislature are lively. The parliamentary form of government is more popular than the presidential form of government. Only in the USA, and some Latin American countries the find the presidential system of government. In the rest of countries particularly in the newly emergent nations of Asia and Africa are the parliamentary form of government is popular. It is popular because, it is more democratic, responsible and flexible.

8.7 KEYWORDS

- **Democracy:** The modern age is an age of democracy. All the modern states are following the democracy system. The contemporary world as developed a belief that through democracy is in practice, as a form of government, acquiring the support and acceptance of the majority of the people.
- **Direct Democracy:** The people will elects directly their representatives by using their adult franchise vote in democratic system of government.
- **Indirect Democracy:** The people will elects indirectly their representatives by using their adult franchise vote in democratic system of government.
- **Recall:** Recall means call back. Peoples representatives who elected by the people, if they felt any corruption or misbehaviour, they will be removed by the people. Now it is in practice at Switzerland which is in practice direct democracy.
- **Plebiscite:** Some of the policies and issues prepared by the people and submitted to the government for made the laws by the government. The draft must be signed at least 50 people. It is more successful in Switzerland.
- **Federal Government:** Etymologically, the term federation is derived from a Latin word 'foedus', meaning treaty or agreement. A federation comes in to existence when two or more hitherto independent states agree to form a new state surrendering their sovereignty to the central government.
- **Unitary Government:** In Unitary Government, the entire power of the government is vested with the central government only. Even though the central government holds complete power, for a proper implementation of the activities

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of the government some of the powers are delegated to the local governments at regional level. The Central government can withdraw such powers at any time.

8.8 REVIEW QUESTIONS

Essay Type Questions

1. Define Democracy and discuss its Advantages and Disadvantages.
2. What is Direct Democracy? Discuss the various methods of Direct Democracy?
3. Explain the Features of Democracy?
4. Define the Unitary Government. Discuss its features, Advantages and Disadvantages.
5. What is Federal Government? Explain its Advantages and Disadvantages.
6. Define the meaning of Parliamentary Form of Government.
7. Discuss the Advantages and Disadvantages of Presidential form of Government

Short Type Questions

1. What is meant by Democracy?
2. What is meant by Indirect Democracy?
3. What is meant by Unitary Government?
4. What is meant by Federal Government?
5. Definitions of Federal Government?
6. Characteristics of Unitary Government?
7. Explain Parliamentary system.
8. Explain President system.
9. Describe features of Presidential form of Government.

8.9 SUGGESTED READINGS

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POLITICAL SCIENCE CONCEPTS, THEORIES AND INSTITUTIONS

B.A - POLITICAL SCIENCE

(First Year:Paper-I)

UNIT -V

Lesson - 9

Theory of Separation of Powers **219- 226**

Lesson - 10

Organs of Government

- a) Legislature:** i. Unicameral and Bi-cameral
ii. Powers and Functions
- b) Executive :** i. Powers and Functions.
- c) Judiciary :** i. Powers and Functions
ii. Independence of Judiciary and Judicial Review.

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Lesson 9

THEORY OF SEPARATION OF POWERS

Structure

- 9.0 Aims and Objectives
- 9.1 Introduction
- 9.2 Meaning
- 9.3 History of the Theory
- 9.4 Importance of the Theory
- 9.5 Theory of Separation of Powers—Montesquieu
- 9.6 Arguments in Favour of Separation of Powers
- 9.7 Criticism of the Theory
- 9.8 Summary
- 9.9 Keywords
- 9.10 Review Question
- 9.11 Suggested Readings

9.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Understand the theory of Separation of Powers
- Explain the importance of the Separation of Powers
- Know the Arguments in Favour of Separation of Powers.

9.1 INTRODUCTION

The government has three organs such as Legislature, Executive and Judiciary. What type of relationship among these organs of the government should be is a question that has vexed almost all the thinkers of the past and present. Different thinkers have suggested different theories of their relationship. Montesquieu's theory is the most important among them all.

'The Theory of Separation of Powers' is explained by Montesquieu in his famous book 'Spirit of Laws'. This theory is based on the assumption that power corrupts and absolute power corrupts absolutely. The concentration of all powers in a single person or institution paves the way for absolutism. According to Madison, "The accumulation of all powers legislative, executive and judicial in the same hands whether of one, a few or many and whether hereditary, self appointed or elective, may justly be pronounced the very definition of tyranny." Therefore, it is necessary that there should be separation of powers. The legislature should enact the laws, the executive should implement and the judiciary should adjudicate on the basis of the prevalent laws. Montesquieu has emphasised that concentrated power is dangerous and leads to despotism. It can be avoided by

separating these organs so that one may operate as a balance against another and thus, power should be check on power.

9.2 MEANING

The separation of powers also known as trias politica, is a model for the governance of democratic states. The model was first developed in ancient Greece and came into widespread use by the Roman Republic as part of the uncoded Constitution of the Roman Republic. Under this model, the state is divided into branches or estates, each with separate and independent powers and areas of responsibility. The normal division of estates is into an executive, a legislature and a judiciary.

The opposite of separation of powers is the fusion of powers, often a feature of parliamentary democracies. In this form the executive, which often consists of a prime minister and cabinet ("government"), is drawn from the legislature (parliament). This is the principle of responsible government. Although the legislative and executive branches are connected in parliamentary systems, there is often an independent judiciary. Also, the government's role in the parliament does not give them unlimited legislative influence.

9.3 HISTORY OF THE THEORY

Though the Theory of separation of powers has been rationally explained by Montesquieu, but the basic features of the theory are not new. Its origin can be traced back to Aristotle. Aristotle had described three branches of government-the deliberative, the executive and judicial. Aristotle described only their personnel and functions. He did not elaborate the theory of separation of powers. Various political philosophers, like Marsiglio of Padua gave some attention to the theory but it had no meaning to Political Science at that time because the question of political liberty was not at all urgent. In sixteenth century, the French philosopher Jean Bodin had suggested that the king should not act at the same time as law give and magistrate. The leaders of the Glorious Revolution had also said that the power making laws and the powers to execute them should not be in the same person or the same assembly as it paves the way for tyranny. John Locke's "Civil Government" contains some traces of the Theory of Separation of Powers. According to Locke there existed three powers, legislative and federative. By federative power he meant the power to conduct foreign affairs. While unity between executive and federative powers is inevitable but union of legislative and executive powers should be avoided. It should never be permitted.

9.4 IMPORTANCE OF THE THEORY

Critics have questioned the validity of the theory of separation of powers on many grounds, nevertheless there are some important elements in the theory. They are

- i) The criticism of Montesquieu's theory is the result of wrong interpretation of the theory. Montesquieu, never supported complete separation of powers; he only drew attention to the dangers of concentration of powers and to the necessity of providing adequate safeguards to secure individual liberty.
- ii) The theory of separation of powers can be rejected as unimportant as it is a device to secure individual liberty and check the possibility of a tyranny.
- iii) Theory of separation of powers is vital for the prevalence of the rule of law and independence of judiciary.
- iv) Theory of separation of powers is also important for the efficiency of the administration. When a department is involved in carrying out a specific type of

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task, it increases efficiency and specialisation.

- v) Montesquieu's theory was responsible for inspiring the French Revolution and Declaration of American independence. Both the revolutions have strengthened democracy.

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9.5 THEORY OF SEPARATION OF POWERS-MONTESQUIEU

In the tyrant ruling time of Louis XIV, all the three powers were combined in his person, it is words were law. He himself was over and above law. People were denied the individual and civil rights. There was nothing like political liberty. Montesquieu happened to visit England. He was tremendously influenced by the spirit of freedom, independence of judiciary etc. Montesquieu found that the main cause of spirit of freedom in Britain was 'Separation of Powers'. To Montesquieu it was a device to create a limited government, to make the government safe for the governed. Montesquieu expounded the theory of separation of powers in his famous book 'Spirit of Laws'. There he says, "When the legislative and executive powers are united in the same person or in the same body of magistrates, there can be no liberty because apprehension may arise, lest the same monarch or senate should tyrannical laws, and execute them in a tyrannical manner". Again there is no liberty if the judicial power be not separated from the legislative, the life and liberty of the subject would be exposed to arbitrary control, for the judge would then be the legislator. Were it joined to the executive power, the judge might behave with violence and oppression. There would be an end of everything, were the same man or the same body to exercise those three powers, that of enacting laws, that of executing the public resolutions, and of trying the cases of individuals."

Montesquieu explained that whoever has the absolute or unrestrained power would certainly abuse it. In such a situation there would be no liberty. If the legislative and executive powers are combined in one man or in a body of persons there would be no liberty because in that case the same man becomes the maker and executor of Laws. If the legislative and judicial powers are combined the legislator would become a judge. If the executive powers are combined with the judicial, the same agency would become the prosecutor and the judge. If all the powers are concentrated in one single hand there would be end of everything.

Montesquieu contemplated a limited separation of powers not complete separation of powers because complete separation of powers was not feasible and practical. He rather suggested modification of concentration of power. Montesquieu suggested that each organ of the government must have the power to check the other and thus create a balance. Blackstone has expressed the same view in his famous book Commentaries on the 'Laws of England'. He said, "Whenever the right of making and enforcing the law is vested in the same man or one and the same body of men, there can be no public liberty." The Magistrate may enact tyrannical laws and execute them in a tyrannical manner since he is possessed in his quality of dispenser of justice with all the power which he as legislator thinks proper to give himself where it (the judicial power) joined with the legislative, the life, liberty and property of the subject would be in the hands of arbitrary judges whose decisions would be regulated by their opinions and not by any fundamental principles of law which though legislators may depart from yet the judges are bound to observe were it joined with the executive this union might be an over balance of the legislative.

9.6 THE POSITIVENESS IN FAVOUR OF SEPARATION OF POWERS

Following are the arguments in favour of the theory of separation of powers

1. **Securing the Individual Liberty:** It is an admitted phenomenon that ‘power corrupts and absolute power corrupts absolutely’. If power is unchecked and allowed to concentrate it becomes a danger to the individual liberty. Therefore, concentration of powers should be checked or proper safeguards should be devised to prevent any abuse.
2. **Separation of Executive and Legislature:** In order to avoid tyranny or the enactment of arbitrary laws and harsh execution separation between executive and legislature is necessary.
3. **To Maintain Independence of Judiciary:** The theory of separation of powers is conceived to maintain the independence and impartiality of the judiciary. The assumption of judicial functions either by the executive or legislature is brought with danger as the administrator or legislator becomes the judge also is mischievous proposition.
4. **Every Organ of the Government requires different sets of People:** The executive and judicial functions require persons of different temperament and a quality. A judge ought to be cool-headed, cautious and impartial. A legislator has to be sociable and capable of feeling the pulse of the electorate and an administrator is required to be tough and capable of making quick decisions. Efficiency therefore, requires separation of powers.

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9.7 CRITICISM

Though the theory of separation of powers has influenced different political systems greatly but logically it can be established that the theory is unsound and unmaintainable. It is not the cornerstone of liberty. Following are the main points of criticism of Montesquieu’s theory of separation of powers:

1. Historically Untrue: According to Montesquieu the theory of separation of powers was expounded on the basis of British constitutional system of those times. The critics hold that Montesquieu had failed to assess the British political system correctly. The British constitutional system was never based on the theory of separation of powers. Since the times of Montesquieu the British constitutional system has been parliamentary and the basic attribute of such a system is close coordination between the legislature and executive. Concentration of responsibility instead of separation of powers is the hallmark of the British constitutional system. In fact, Montesquieu has failed in investigating the responsible factors for the essence of liberty. Liberty in Britain is not secure by separation of powers. It is safe and secure because of the British attitude towards the government and existence of rule of law.

2. Impracticable Theory: The government is an ‘organic unity’. The organs of the government are interdependent like different organs of a human body. Therefore, a complete and rigid separation between organs of the government is not possible.

Gettell rightly says. Government consists of a group of organs with differentiated functions but with a common task and their harmonious cooperation is essential to success. A strict line of separation can not be drawn between the several departments”.

Complete separation amounts to the tyranny of each organ which is not desirable. The existence of three sovereigns at the same time can not administer the state successfully. The idea of complete separation is intriguing. Therefore, the separation of powers, in spite of the best efforts, remains to be an impracticable ideal.

Impracticability of the theory of separation of powers becomes quite obvious when we observe the functioning of the American constitutional system. The framers of the American constitution were tremendously influenced by this theory but in the U.S.A.

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too complete separation between these organs has remained elusive. Congress, the federal legislature exercises control over presidential powers of executive appointments and treaties apart from the enactment of laws. It is also empowered to impeach president and the judges of the Supreme Court in case they over-step their jurisdiction. Thus the legislature (Congress) discharges the executive and judicial functions also. The President the executive head has the power of veto in regard to the congressional bills submitted for his assent. He has also the power of appointing the judges of the Supreme Court and right to pardon, reprieve and amnesty. Thus the president who is the executive head performs the legislative and judicial functions also. The American Supreme Court in like manner, is empowered to review the validity of the laws passed by the congress. If it finds them ultravires, it is empowered to declare them null and void. Thus the application of theory of separation of powers has not been possible even in the United States of America considered a classical example of application of the theory of separation of powers.

Today the functions of the government are of mixed type. The judiciary lays down precedences while adjudicating. These precedences have the status of a law. In order to handle a situation of emergent nature, the executive promulgates ordinances. They are as good as laws. In modern times, the scope of delegated legislation has increased tremendously. It has given immense power of rule making to the legislature.

Further, the industrialisation, economic planning and welfare state concept have made the application of separation of powers entirely difficult. The growth of political parties and existence of fascist political systems have further eroded the theory.

3. Separation of Powers is Unjust: Application of the theory of separation of powers is not only difficult but is unjust also. The government is like a living organism. Legislature, executive and Judiciary are its biological organs.

If the limbs of a living creature are completely separated or there remains no coordination among them, the living being would be as bad as dead. In the same manner, complete separation between the organs of the government would lead to dead-locks.

For the success of administration, coordination between legislature and executive is very necessary. Though the power of making laws is vested in the legislature, but the legislature is overworked. It fails to appreciate the complexities of administration and the practical difficulties which confound an administrator while executing the laws. Therefore, it becomes absolutely necessary that the legislature cooperates with the executive. The legislature has a direct communication through its members with the people in general. It represents the public opinion. The executive has to receive directions from the legislature to make the administration dedicated to the welfare of the people.

If the theory is strictly observed, it will do away with the efficiency and impartiality of the judiciary. It will imply that the judges are neither to be appointed by the executive nor by legislature; they will be elected by the people directly. The elected judges will certainly be incompetent damagogues of easy virtues. Moreover, an irresponsible executive is the best definition of tyranny. As Ogg had observed that the most important condition of a responsible government is control of legislature over the executive. In the absence of this responsibility democracy can not succeed.

4. Traditional Triad of Powers is Irrelevant today: Modern writers on government and constitutions feel that the traditional division of government in three organs is irrelevant and meaningless. We can not understand the functions of the government with the help of these three institutions because the legislature performs the executive as well as judicial functions apart from the legislative function. The same is true about the executive

and judiciary also. Therefore, the modern writers have adopted functional basis instead of structural to understand the governmental activities.

5. Definition of the area of Activity of Organs is difficult: According to Laski, it is not possible to define the area of these three organs in such a manner that each remains independent and supreme in its allotted territory. For each of the three departments separate elections and tenure will be required. The executive and the judiciary will have to apply the laws passed by the legislature. Therefore, there will be no guarantee of individual liberty.

6. Inequality in the Powers of the Three Organs: The theory of separation of powers is based on the assumption that all the three organs of the government are equal in power and influence. This is not correct assumption. Among the executive, judiciary and legislature, the legislature has a higher and more important status. The executive and judiciary apply the laws passed by the legislature and they have to run the administration on the guidelines specified in the legislative resolutions. According to Laski, "The powers both of the executive and judiciary find their limit in the declared will of the legislative organ". Therefore, the theory appears to be incorrect in its basic assumptions; hence unworkable.

7. Lack of Leadership: In modern age an able, competent and strong leadership is required to handle the complexities of administration but the separation of powers divides the leadership of executive and legislature. It is the greatest short-coming of the theory in practice.

8. Separation of Powers is not Necessary for Liberty: It is a misconception, that separation of powers is necessary for liberty. In modern times the system of rule of law and a constitutional declaration of rights are more important for the liberty in a state. Moreover, liberty consists in eternal vigilance not in the theory of separation of powers.

9.8 SUMMARY

Theory of separation of powers is propounded by the French philosopher Montesquieu. He proposed his theory in his work entitled "**The Spirit of Laws**". Montesquieu focussed on mainly powers. He strongly recommended that the three organs of government i.e. Legislature, Executive and Judiciary should be enjoyed their powers separately without intervention of each branch of government as per the constitution. So, the democracy will be successful. Presently, the United States of America is following this kind of separation of powers system.

The government has three organs—Legislature, Executive and Judiciary. What type of relationship among these organs of the government should be? is a question that has vexed almost all the thinkers of the past and present. This theory is based on the assumption that power corrupts and absolute power corrupts absolutely. The concentration of all powers in a single person or institution paves the way for absolutism.

Montesquieu has emphasised that concentrated power is dangerous and leads to despotism. It can be avoided by separating these organs so that one may operate as a balance against another and thus, power should be check on power.

9.9 KEYWORDS

- **Separation of Powers:** The separation of powers, also known as trias politica, is a model for the governance of democratic states. The model was first developed in ancient Greece and came into widespread use by the Roman Republic as part of

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the uncodified Constitution of the Roman Republic. Under this model, the state is divided into branches or estates, each with separate and independent powers and areas of responsibility. The normal division of estates is into an executive, a legislature, and a judiciary.

- **Montesquieu is a French Philosopher.** He proposed the Theory of Separation of Powers. He proposed his theory in his book 'The Spirit of Laws' which was published in 1215. The main aim of the theory is that the powers must be independent among the government organs such as Legislature, Executive and Judiciary. Any organ should not be interfere in an other organ of government it shows that the independent status of the organ of government. Then the democracy will be success and the people of the nation will be enjoyed liberty, equality and fraternity. This theory is most popularised in the world especially in USA.
- **Spirit of Laws:** When the legislative and executive powers are united in the same person or in the same body of Magistrates, there can be no liberty because apprehension may arise lest same monarch or senate should enact tyrannical laws and executive them in the tyrannical man. Again there is no liberty if the judicial power is not separated from the legislative and executive were it joined with legislative the life and liberty of the subject would be exposed to arbitrary control, for the judge would then be legislator were it joined to the executive power, the judge might behave with violence and oppression.

9.10 QUESTIONS FOR DISCUSSION

Essay Type Questions

1. Explain the Theory of Separation of Powers?
2. Critically analyse the theory of separation of powers?
3. What is the theory of separation of powers? Explain its importance.

Short Type Questions

4. Montesquieu
5. Separation of powers
6. The Spirit of Laws

9.11 SUGGESTED READINGS

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Lesson 10

ORGANS OF GOVERNMENT

Structure

- 10.0 Aims and Objectives
- 10.1 Introduction
- 10.2 Legislature
 - 10.2.1 Structure of Legislature
 - 10.2.2 Committee System
 - 10.2.2.1 Types of Committees
 - 10.2.3 Functions of Legislature
 - 10.2.3.1 Decline of Importance of Legislature
- 10.3 Executive
 - 10.3.1 Types of Executive
 - 10.3.2 Functions and Powers of Executive
 - 10.3.3 Growth and Significance of Executive
 - 10.3.4 Role of Executives in Modern States
- 10.4 Judiciary
 - 10.4.1 Structure of Judiciary
 - 10.4.2 Functions of Judiciary
 - 10.4.3 Judicial Review
 - 10.4.4 Rule of Law
 - 10.4.5 Role of Judiciary in Democracy
 - 10.4.6 Independence of Democracy
- 10.5 Summary
- 10.6 Keywords
- 10.7 Review Questions
- 10.8 Suggested Readings

10.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Describe types of organs of Government.
- Explain the Structure and Functions of Legislature.
- Understanding about the committee system.
- Explain the Structure and Functions of Executive and Judiciary.

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10.1 INTRODUCTION

A **legislature** is a type of deliberative assembly with the power to pass, amend and repeal laws. The law created by a legislature is called legislation or statutory law. Legislatures are known by many names, the most common being parliament and congress, although these terms also have more specific meanings. In parliamentary systems of government, the legislature is formally supreme and appoints a member from its house as the prime minister which acts as the executive. In separation of powers doctrine, the legislature in a presidential system is considered a power branch which is coequal to and independent of the both the judiciary and the executive. In addition to enacting laws, legislatures usually have exclusive authority to raise taxes and adopt the budget and other money bills.

The primary components of a legislature are one or more *chambers* or *houses*: assemblies that debate and vote upon bills. A legislature with only one house is called unicameral. A bicameral legislature possesses two separate chambers, usually described as an upper house and a lower house, which often differ in duties, powers, and the methods used for the selection of members. Much rarer have been tricameral legislatures; the most recent existed in the waning years of white-minority rule in South Africa.

In most parliamentary systems, the lower house is the more powerful house while the upper house is merely a chamber of advice or review. However, in presidential systems, the powers of the two houses are often similar or equal. In federations, it is typical for the upper house to represent the component states; the same applies to the supranational legislature of the European Union. For this purpose, the upper house may either contain the delegates of state governments, as is the case in the European Union and in Germany and was the case in the United States before 1913, or be elected according to a formula that grants equal representation to states with smaller populations, as is the case in Australia and the modern United States.

Generally, the power exercised by any government is of three types: 1) Legislative Power; 2) Executive Power and 3) Judicial Power. The State can enact by the legislative power. This is done by the legislature. Executive power is to implement the laws. This is done by the executive. The courts of law examine and decide the constitutional validity of the laws enacted by the legislature and also the executive actions, when they are challenged before them. This is called judicial power.

If these three organs of the government-legislature, executive and judiciary, function independently, there will be no scope for misuse of power. This is called as the theory of separation of powers. This theory was proposed by Montesquieu, the French theorist.

10.2 LEGISLATURE

Legislature is generally of two parts: (1) Upper House (2) Lower House. Of all the organs of government the legislature acquired the most prominent place. The legislature in the democratic government provides equilibrium to thoughts, discussions and different opinions. They represent the opinions and interests of different sections. The method of representation has developed considerably during the modern times. The method of representation to the people in legislature varies from country to country. The country is divided into geographical constituencies in the method of territorial representation. The

people of the respective constituencies elect their representatives to the legislature. Representation is provided to all the sections in proportional representation system. There are other methods of election like transferable vote system and list system. By and large, throughout the world the method of territorial representation is in vogue.

10.2.1 Structure of the Legislature

The structure of the legislature is not uniform in all the countries. The major problem in this context is whether to have unilateralism or bicameralism. In unilateralism, the legislature consists of a single house. On the other hand in bicameralism, the legislature is divided into two houses. Most of the countries have bicameral legislature.

I.Bi-Cameral Legislature

S. No.	Name of the Country	Upper House	Lower House	Name of the Legislature
1	England	House of Lords	House of commons	Parliament
2	United States of America	Senate	House of Representatives	Congress
3	India	Rajyasabha	Lok Sabha	Union Parliament
4	Former U.S.S.R.	Soviet of Nationalities.	Soviet of Union	Supreme Soviet
5	Switzerland	Council of States	National Council	Federal Assembly
6	Canada	Senate	House of commons	Parliament

The structure of the upper house varies from country to country. The following are the principles generally followed to form the Upper House in different countries.

1. In some countries, the membership of the Upper House is hereditary.
2. In some countries, the members of the Upper House are appointed by the executive for a specific period.
3. In some countries, the members of the Upper House are elected by the people.
4. In some countries, the members of the Upper House are indirectly elected.

In the federal States, the members of the Upper House are elected from the component States. These members represent their respective States in the Central Government.

The structure of the lower house is similar in almost all the countries. The people directly elect the members of the lower house through universal franchise. The representatives directly elected by the people are given great prominence. The structure and particulars of the lower house in some countries is indicated in the following table.

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Name of the Country	Name of the Lower House	Number of the members	Tenure	Dissolution	Minimum Age of Contesting
England	House of commons	630	5 years	Before the tenure	21 years
France	National assembly	627	5 years	Before the tenure	23 years
U.S.A.	House of representatives	438	2 years	Not before the tenure	25 years
Switzerland	National council	196	4 years	Not before the tenure.	21 years
India	Lok Sabha	543	5 years	Before the tenure.	25 years

II. Unicameralism Legislature

Whether the legislature should have a single house or two houses is a moot point. Some argue in favour of unicameralism and some others support bicameralism. Bicameral legislature gives more scope to enact carefully. The hasty decisions of the lower house will be checked by the Upper House. In unicameralism, the legislature may become tyrannical. Hence, it is argued that bicameralism is more beneficial. But, there are certain advantages and disadvantages in both bicameralism and unicameralism.

Advantages

1. The upper house can control the activity of the lower house.
2. The hasty acts made in the lower house can be made more purposeful through long discussions. The upper house gives additional security to legislation.
3. There is a scope to provide representation to all sections in the Upper house.
4. The Upper house can provide representation to the intellectuals and social servants and their services can be made use of. It protects the liberty of the individuals and the interests of the minorities.

Disadvantages

1. One house is sufficient to express the public opinion. Unicameralism is simple and clear.
2. The Upper house cannot come in the way of sweeping powers of the lower house. Bicameralism leads to delay and more expenditure. It is undemocratic to provide representation to special categories of people in the name of the house.

10.2.2 Committee System

The most vexing problem that confounds the legislatures is to create an institutional device for the best legislation. The legislators are today over burdened with the legislative work. The fear of bad legislation due to haste also looms large. To resolve that twin problem committee system evolved in Britain. New committee system as universal prevalence.

10.2.2.1 Types of Committees

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There are three main types of committees

1. Standing Committee
2. Select Committee
3. Joint Committee
4. Sub Committees
5. Delegated Legislation

1. **Standing Committee:** Standing Committees are permanent panels identified as such in chamber rules. Because they have legislative jurisdiction, standing committees consider bills and issues and recommend measures for consideration by their respective chambers. They also have oversight responsibility to monitor agencies, programs, and activities within their jurisdictions, and in some cases in areas that cut across committee jurisdictions.

Most standing committees recommend funding levels—authorizations—for government operations and for new and existing programs. A few have other functions. For example, the Appropriations Committees recommend legislation to provide budget authority for federal agencies and programs. The Budget Committees establish aggregate levels for total spending and revenue that serve as guidelines for the work of the authorizing and appropriating panels.

2. **Select Committee:** Select or special committees are established generally by a separate resolution of the chamber, sometimes to conduct investigations and studies, and, on other occasions, also to consider measures. Often, select committees examine emerging issues that don't fit clearly within existing standing committee jurisdictions, or which cut across jurisdictional boundaries. A select committee may be permanent or temporary. Instead of Select, the Senate sometimes uses the term special committee
3. **Joint Committee:** Joint committees are permanent panels that include members from both chambers, which generally conduct studies or perform housekeeping tasks rather than consider measures. For instance, the Joint Committee on Printing oversees the functions of the Government Printing Office and general printing procedures of the federal government. The chairmanship of joint committees usually alternates between the House and Senate. A conference committee is a temporary joint committee formed to resolve differences between competing House and Senate versions of a measure. Conference committees draft compromises between the positions of the two chambers, which are then submitted to the full House and Senate for approval.
4. **Sub Committees:** Subcommittees are formed by most committees to share specific tasks within the jurisdiction of the full committee. Subcommittees are responsible to, and work within the guidelines established by, their parent committees. In particular, standing committees usually create subcommittees with legislative jurisdiction to consider and report bills. They may assign their subcommittees such specific tasks as the initial consideration of measures and oversight of laws and programs in the subcommittees' areas.

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5. **Delegated Legislation:** This may be defined as the system of legislation in which broad outlines of a laws are determined by the legislature and the work of making by laws is transferred to the subordinate agencies. Though the power of making laws is the executive right of the legislature but unfamiliarity with the operational part of the law and paucity of time compels the legislature the delegate the power of making laws to the subordinate authority which is, most cases, the executive

10.2.3 Functions of Legislature

The basic function of the legislature people. The legislature in modern times to enact laws as per the will of the bargaining certain administrative and judicial duties besides forming the laws. The functions of the legislature also depend upon the form of the government. The role of the legislature is limited in a presidential form of government. But, it has an extensive role in the parliamentary government. The functions of the legislature can be analysed under different heads like: Legislative functions, Executive functions, Financial functions, Judicial functions, Constitutional functions and other functions.

1. **Legislative Functions:** To frame the laws is the basic function of the legislature. It is the important duty of the legislature to pass laws as per the will of the people. The legislature has powers to frame new laws and also to change, revise or cancel the laws which are outdated. The legislature not only makes laws but also conducts detailed discussions and consultations on different subjects. The legislature discusses extensively every bill before it becomes law.
2. **Functions to Control Executive:** In the parliamentary government, the council of ministers is responsible to the legislature. The legislature exercises control on the council of ministers in dealing with the problems cropping up in the country, and their solutions through different resolutions and questions. It can also pull down the government through a no confidence motion if such a need arises.
3. **Financial Functions:** The financial functions of the legislature are of much importance in democratic countries. The legislature has to approve the income and expenditure under different heads shown in the budget. The legislature can decide the amount of expenditure under different heads. Levying new taxes or abolishing already existing taxes can be taken up with the consent of the legislature only.
4. **Judicial Functions:** The legislature, especially the upper house performs some judicial functions. The House of Lords in England functions as the highest court of justice. In U.S.A. and India, the legislature has to try impeachment cases against the president or the Justices of Supreme Court and High Courts. Some times the legislature conducts enquiry through separate committees on the allegations against the government. The legislature has the authority to punish anybody who commits breach of privileges of members and those who violate the rules of the house.
5. **Constitutional Functions:** The legislature has the right to amend the constitution besides framing the laws. It can amend the constitution as per the needs and requirements of the country which change from time to time.
6. **Other Functions:** Besides the above functions, the legislature has some more functions like, accepting or rejecting the ordinances declared by the government; electing the Speaker, appointing necessary committees to enquire into the lapses

of the government and to formulate rules and procedures of the legislative business.

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10.2.3.1 Decline of the Importance of the Legislature

The political thinkers opine that the legislature, which has wide powers theoretically is losing its significance gradually in the democratic countries. There are many reasons for this. The executive acquired a lot of constitutional and legal powers to achieve comprehensive Socio-economic development. The legislature has to depend on the executive as it does not possess even the fundamental capacity to understand the novel measures introduced in the administrative system due to advancement of science and technology.

Since the highest political offices are filled in through direct elections, the government gained importance by directly influencing the people. It could develop direct relations with the people lessening the importance of the legislature. Another reason for the reduction of the importance of the legislature is delegated legislation. The legislature, possess a law in a skeleton form and delegates power to the executive to fill in the details of it in the shape of rules and regulations. This is called 'delegated Legislation'. This power is used by the executive to implement plans and welfare schemes.

The political thinkers are worried about the fact that the significance of the legislature is further reduced due to certain reasons like lack of a powerful opposition, less duration of the sessions of the parliament, the irresponsible behaviour of the ruling party and also the misbehaviour of the legislators.

10.3 EXECUTIVE

In the study of political science the executive branch of government has sole authority and responsibility for the daily administration of the state bureaucracy. The division of power into separate branches of government is central to the democratic idea of the separation of powers.

In many countries the term "government" connotes only the executive branch. However, this ambiguity fails to differentiate between despotic and democratic forms of government. In authoritarian systems the executive branch ceases to exist since there is no other branch with which to share separate but equal governmental powers.

The executive is the next important organ in the government. The Head of the State and the council of ministers under the leadership of prime minister is called as the executive. Some scholars take into account the permanent employees also as a part of the executive. In the opinion of Garner, *"In a broad and collective sense the executive organ embraces the aggregate or totality of all the functionaries which are concerned with the execution of the will of the State as that will has been formulated and expressed in terms of law"*. Legislature frames laws. The executive implements all the laws and policies passed by the legislature That is why the executive is identified with government in modern times. Broadly speaking, the executive has three parts: 1) the head of the State, 2) the Council of ministers and 3) the employees.

10.3.1 Types of Executive

The executive is found to be of eight types: Nominal, Real, Singular Plural, Parliamentary,

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Presidential, Hereditary and Elective.

1. **Nominal Executive:** He is the head of the State for nominal purpose:. The king in Britain, the President in India are the best examples.
2. **Real Executive:** All the powers of the executive are vested with a single person. He is the head of the State and government in countries like U.S.A. On the other hand the prime minister acts as the head of the government in countries like India and Britain.
3. **Single Executive:** All the powers are vested with a single person as in U.S.A.
4. **Plural Executive:** All the powers are vested with more than one person like the council of ministers. Federal council in Switzerland, Presidium in former U.S.S.R. etc. This system is found in States with parliamentary form of government and some past federations with a variation.
5. **Parliamentary Executive:** The executive is a part of the parliament and is responsible to H as in India.
6. **Presidential Executive:** All the power is vested with the president. Neither he is the member of the legislature nor he is responsible to it.
7. **Hereditary Executive:** In this case, the head of the State inherits that position from the parent as in the case of property. In this method, he continues to be the head of the State through out his life.
8. **Elective Executive:** In this method, the executive is elected either directly or indirectly. He can continue in power only for a given period of time.

The name of the Head of the State varies from State to State. He is called as the king in England and President in India and United States of America. The powers of the Head of the State are not identical in all States. There is a vast difference in the powers and duties of the president in India and United States of America.

The appointment of the Head of the State is also in dissimilar pattern. The following major four methods are in vogue.

1. **Inheritance Pattern:** The Head of the State acquires that position through inheritance. He continues through out his life in that position.
2. **Direct method:** The Head of the State is elected by the people for a stipulated period.
3. **Indirect method:** The Head of the State is elected for a given period through an judicial college.
4. **Election through legislature:** The Head of the State is elected by the nation legislature.

The Head of the State will have different powers and functions. The entire administration is run in his name. The duties of the Head of the State include implementation of laws, appointment of employees, issuing necessary regulations for rule, issuing ordinances temporarily times of emergency and to formulate and implement the national and the international policies in different spheres.

The other important unit in executive, after the Head of the State, is the council of

ministers. It is of three types: 1. Presidential council of ministers 2. Parliamentary council of ministers 3. Multi party council of ministers (Coalition Ministry).

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The third part in the executive is the employees. They are generally selected to discharge different functions on the basis of their personal abilities and skills. Generally, the employees are un-biased and neutral towards the political affairs. They are loyal to the ruling political party in spite of their personal inclinations.

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10.3.2 Powers and Functions of the Executive

The executive enjoys vast powers and performs many functions in modern states. It is the government-in-action. It is the supreme policy-making body. It is the key of governmental machinery. It is gaining importance, from time to time. Garner and Strong listed out the following powers and functions of the executive.

1. **Administration:** The main task of the executive is administration of the state. For this purpose, it appoints the personnel in various departments. It makes rules regarding supervision, direction, control, promotion, transfer, emoluments and training of the personnel. It sets up new departments and organizations to meet the growing needs of people.
2. **Legislation:** The executive in some countries summons and prorogues the meetings of legislature. It can also dissolve the lower house of legislature. It nominates the members of legislature. It issues ordinances when legislature is not in session. It permits the legislators to introduce money bills. It also initiates and pilots bills in the legislature and causes the passage of said bills.
3. **Delegated Legislation:** One of the causes for the growing importance of the executive is delegated legislation. Under this, executive is authorized by legislature to fill up the gaps and the details in the laws framed by the legislature. While the major policy frame is enacted by the legislature, the filling up of other items is entrusted to the executive.
4. **Financial Administration:** Executive also discharges some financial functions. It prepares the annual financial statement, that is, the budget and presents it to the legislature. Subject to the approval of the legislature, the executive imposes and collects taxes and appropriates the proceeds for various programs. It looks after the affairs of the financial institutions in the country. It can borrow loans from the people and institutions in and abroad. It takes steps for getting the public accounts properly audited. The whole gamut of financial administration is vested in the executive.
5. **Military Administration:** The chief executive acts as the supreme commander of the defense forces. In that capacity he commissions and dismisses the military personnel. The executive can declare war or concludes peace. It safeguards the sovereignty, independence, unity and integrity of the nation. The management of army and the command of the armed forces are some of the functions of the executive.
6. **Organisation of Judiciary:** The executive appoints the judges of the higher courts and the Supreme Court. It ensures dispensation of justice. It has the power to remove judges basing on an address of the legislature. It grants pardon, reprieves

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or remissions the punishments. It also appoints the commission of enquiry and organizes specially constituted courts in consultation with the judiciary.

7. **Diplomacy:** The executive maintains friendly relations with various countries. It appoints the diplomats to head its embassies in other countries. It receives the credentials of the ambassadors of foreign countries in the country. It participates in various international forums like the United Nations, GATT (General Agreement on Trade and Tariff), SAARC (South Asian Association of Re-Agreement on Trade and Tariff), SAARC (South Asian Association of Regional Cooperation), NAAM (Non-Aligned Association Meet) etc. It recognizes the foreign states or snaps relations with unfriendly states. It signs the treaties with foreign states in matters of commerce, trade, education, telecommunications, culture etc.
8. **General Administration:** The executive looks after the administration of the diversified programs and activities in the modern states. From womb to tomb, the executive pervades its influence in the life of the citizens. Its functions include the management of the matters relating to education, employment, economic upliftment, environment, emergency relief, health, social security, transport and communications, law and order, disaster mitigation, rehabilitation, price control, international relations etc. It also confers honors and titles on the persons who render laudable service in different fields of public life. In brief, executive is the life-breath of the whole governmental functioning.

10.3.3 Growth of the Significance of the Executive

In the modern times, the scope of powers and functions of the executive is gradually increasing. The ushering in of democratic governments by decaying monarchies and growing importance of new values in political life broadened the scope of the government. The government has to protect the interests of all the sections of the society. The people also often look at the executive for their benefits. As a result, the significance of the executive is gradually increasing. The following reasons have been contributing for this process.

1. **Idea of Welfare State:** It is found that the welfare activities are gradually increasing. Consequently industries, production, distribution, social security, labour welfare, education and health have come within the purview of the executive. The scope of the executive is expanding in discharging these functions efficiently.
2. **Industrialisation:** The expansion of industrialisation increased the role of the executive. The executive plays a key role in nationalising the primary and heavy industries and maintaining the nationalised industries, thus widening the scope of the executive.
3. **Delegated Legislation:** It is the prerogative of the legislature to enact laws. But the legislature passes laws in skeleton form only as it does not possess the required expertise and time to give them a complete shape. The duty of providing details of laws in the form of rules and regulation is cast upon the executive. This function of the executive is called Delegated or Secondary legislation. This is, in effect, quasi-legislation. Gradually, in this way the scope of the government is increasing. This has led to the widening of its responsibilities.

4. **Activities of the Political Parties:** As the political parties are functioning for the narrow interests of their parties at the cost of national interests, the executive has the responsibility to save national interests.
5. **Planning:** All the States now a days are embarking on planned development. It is the duty of the executive to draw and implement plans for development from the regional to the national levels. This has widened the scope of executive powers.

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10.3.4 Role of the Executive in Modern States

In modern states executive plays a significant and dominant role. It has vast powers and innumerable functions. Its powers and functions are expanding from day-to-day. Education, employment, health, environment, communications, science and technology, welfare, law and order etc., are some spheres in which the executive owes much responsibility. We cannot imagine the working and existence of government in the absence of executive. Several factors like industrial revolution, two World Wars, urbanisation, population growth, welfare state, inflation, poverty etc., are responsible for the increase in the functions of the executive.

Until the Second World War, the executive functions were limited to responsibilities only. But due to the changes in the social, economic and political conditions, executive was forced to undertake many socio-economic welfare programs. It formulates and implements policies for removing poverty, economic inequalities, concentration of economic power, social evils and unemployment. It has to eradicate poverty, ill health, ignorance and unemployment. It has to ensure proper supply of essential commodities, drinking water and electricity. It has to safeguard the independence, integrity and sovereignty of nation from internal revolts and external aggressions by maintaining well trained police and military personnel. It has to create harmonious conditions for promoting agriculture, industry, trade, business, commerce, communications and technology. It has to check inflation and scarcity of essential commodities. It has to prepare a sound budget for achieving the goals of economic planning and development. It has to nationalize vital means of production for achieving social justice and economic equality. It has to implement the programs of labor, women and child welfare. It is in this context that Earnest Barker described the executive as a multi-functioning organ.

10.4 JUDICIARY

The judiciary is the system of courts which interprets and applies the law in the name of the sovereign or state. The judiciary also provides a mechanism for the resolution of disputes. Under the doctrine of the separation of powers, the judiciary generally does not make law, but rather interprets law and applies it to the facts of each case. This branch of government is often tasked with ensuring equal justice under law. It usually consists of a court of final appeal (called the “supreme court” or “constitutional court”), together with lower courts. The judicial branch has the power to change laws.

Meaning

The term “**judiciary**” is also used to refer collectively to the personnel, such as judges, magistrates and other adjudicators, who form the core of a judiciary, as well as the staffs who keep the system running smoothly.

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The judiciary is the third important organ of the government. Legislature enacts the laws. The executive implements them. But it is the judiciary which decides the constitutional validity of these laws both in theory and practice. The judiciary keeps the democratic government within the constitutional limits. The judiciary also has to protect the law abiding citizens and punish the criminals. According to **Lord Bryce**, *“the welfare of the country and the efficiency of the government are based on providing justice to the people in an un-biased way”*.

History

After the French Revolution, lawmakers prohibited any interpretation of law by judges, and the legislature was the only body permitted to interpret the law; this prohibition was later overturned by the Code Napoleon.

In France, along with other countries that Napoleon had conquered, or where there was a reception of the Civil Code approach, judges once again assumed an important role, like their English counterparts. In civil law jurisdictions at present, judges interpret the law to about the same extent as in common law jurisdictions though it may be acknowledged in theory in a different manner than in the common law tradition which directly recognizes the limited power of judges to make law. For instance, in France, the jurisprudence constant of the Court of Cassation or the Council of State is equivalent in practice with case law.

In theory, in the French civil law tradition, a judge does not make new law; he or she merely interprets the intents of “the Legislator.” The role of interpretation is traditionally approached more conservatively in civil law jurisdictions than in common law jurisdictions. When the law fails to deal with a situation, doctrinal writers and not judges call for legislative reform, though these legal scholars sometimes influence judicial decision-making.

Importance of the Judiciary

In the monarchy, only one person is vested with the legislative, executive and judicial powers. Many times this led to tyranny. Gradually, the theory to separate these three powers and vest them in three different institutions came into practice. It is strongly believed that the separation of powers can protect the liberty and independence of the individuals. It has become a political convention to separate judiciary from the legislative and the executive. Thus the legislature and the executive cannot misuse their power as per their wishes.

The judiciary is based on certain basic principles. Every citizen must be law abiding. The justice must be based on laws. A person is punishable only when he violates or transgresses the law. All citizens are equal before law. The courts of law protect all equally. In the federal States, judiciary safeguards the constitution. Some of the important functions of the judiciary are interpreting the constitution, defining the scope of the departmental powers and to solve the disputes of law. The judiciary appoints its concerned officers. In some cases where there is ambiguity of laws the judiciary explains their meaning and spirit. Such explanations give scope to frame new laws. The lawyers while arguing in the cases before them cite the judgements of the courts as precedents. The judgements of courts become a part and parcel of law. The judiciary solves the disputes not only between the citizens but also between the government and the citizens and awards punishment to the guilty after due trial.

10.4.1 Structure of Judiciary

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The structure of the judiciary is not similar in all the countries. In England, the House of Lords is the highest court of justice. A legal committee of this house with nine members functions as the highest court of justice. In some countries, the legislature elects the judges. In Switzerland, the legislature elects the judges for a given tenure. In the former Union of Soviet Socialist Republics (U.S.S.R.) the people used to elect the judges of the Supreme Court. This method was in practice in some cantons of Switzerland and France. Napoleon abolished this method in France.

In the United States of America, the judges are appointed by the President. These appointments are to be ratified by the Senate. But, they can be removed only through impeachment by the legislature. There is no time tenure for the judges in the United States of America. They can be in their position throughout their life.

In India, the President appoints the judges. The constitution has specified the rules and regulations and qualifications for their appointment. The judges can continue till the end of the tenure. Only the Parliament can remove them through impeachment. The House of Lords in England is the highest court of justice for civil and criminal disputes. The Supreme Court is the highest court in India and United States of America.

Independence of the Judiciary: To ensure independence and impartiality of the Judiciary it should have no relation with the legislature and the executive. Those two must not intervene in the functions of judiciary. The independence of judiciary will be protected when the judges are appointed without any political bias. The judges must be efficient, talented, effective, creative and duly qualified. The conditions of job must be attractive to keep the judges independent. They must have sufficient protection both in the period of their service and after retirement. They must not join in any service after retirement. There must be a rule that the judges must not join in any government service after their retirement. Only then they will not succumb to any inducement.

There must be no criticism on the judgements. These are all the measures that can ensure the independent behaviour of the judiciary in discharging its functions.

10.4.2 Functions of Judiciary

A proper rule based on justice is the foundation for democracy. The judiciary has to discharge many functions besides dispensing justice. The basic functions can be detailed as:

1. **Dispensing Justice:** It has to solve the disputes between the citizens, the citizens and the government and different governments. It punishes the criminals after due trial.
2. **Protection of Civil rights:** The courts of law protect the fundamental rights given to the citizens by the constitution. The citizens can approach the court of law when their fundamental rights are violated. The courts issue writs for enforcement of these rights. The citizens can obtain stay orders from courts in advance when they apprehend violation of their rights. In order to protect the rights of the individuals, the courts of law can issue writs like Habeas Corpus, Mandamus, Prohibition etc.
3. **Constitutional Protection:** The Judiciary safeguards the constitution in the

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democratic countries. The Judiciary annuls the unconstitutional decisions of the legislature and the executive. By interpreting the constitution and laws it reviews the laws of the legislature and the actions of the executive and strikes down unconstitutional measures. This authority of the judiciary is called as 'Judicial Review'.

4. **Protection of equilibrium in Federal System:** Judiciary plays a key role in the federal system. The courts of law solve the disputes between the provinces and the central government and also between one province and another. It supervises to see that neither the central government nor the provinces cross constitutional limits. It solves the disputes between the central and provincial governments that arise due to matters relating to the division and distribution of powers.
5. **Advisory Functions:** The highest court of justice provides advice to the head of the State on request. For instance in India, the President takes the advice of the Supreme Court on certain problems of constitutional applications.
6. **Appellate Jurisdiction:** The highest court of justice has to provide justice on the appeals made against the judgements of the lower courts. At times, it ratifies the judgements given in the lower courts and some other times, such judgements are reversed.
7. **Protection of records:** The judiciary has to preserve all the cases along with their judgements. These records will help lawyers and judges in the trial of similar cases in future.
8. **Providing service regulations:** The courts of justice prescribe service regulations of employees working in courts of law.
9. **Functioning as the Head of State:** In some countries and under certain conditions, as identified in India, the Chief Justice of the Supreme Court can function as acting Head of the State when there is no Vice-President in office.
10. **Safeguards of Judiciary:** The Judiciary must not depend upon the legislature and the executive if it is to discharge its functions without fear and favour. The judiciary has to protect its independence from legislative and executive pressures. The conditions mentioned below contribute towards that end.
 1. Laws must conform with moral and customary principles which are traditionally practised.
 2. The principles of law must be stable.
 3. One type of punishment must be awarded for crimes of the same type.
 4. A criminal must undergo punishment only once.
 5. The courts of law must be free from political influence.
 6. All are to be treated equal before law.
 7. Any criminal must have the opportunity to appeal to the higher courts of law.

10.4.3 Judicial Review

Judicial Review means reviewing the laws made by the legislatures. The laws of the legislatures (parliament, assemblies, Councils, Parishades etc.) must not be

unconstitutional. The courts of law can nullify all laws which are unconstitutional. This is the Judicial Review. The Judicial Review is not limited only to laws. It is applicable to all the activities of the executive at different levels of central, State and local government institutions. Every State will have a constitution. It is its basic law and all the laws must be within the limits of the constitution. The constitution provides the courts of law with the right to see that all laws and activities conform to the constitution. Judicial Review is not found in all the countries.

The Judicial Review first originated in United States of America in the context of the judgement given by the Supreme Court in the Marbury-Madison dispute in the beginning of the nineteenth century. The courts of law follow different theories, principles and views in reviewing the constitutional viability of the laws. The Judicial Review is based on the following theories which can be studied in detail in higher classes.

1. Theory of the efficiency of law
2. Theory of separation of powers.
3. Theory of constitutional dynamism.
4. Theory of activity.
5. Theory of decision by experience.
6. Theory of constitutional development.

Of late, there is a question regarding applicability of the Judicial Review to constitutional amendments. All the constitutional amendments, which are made by the legislature can be reviewed by the courts of law unless the constitutional amendment itself specifically States to the contrary. It is the parliament which can decide the scope of judicial review. But in recent times there is a controversy over the powers of parliament in this regard i.e. whether the parliament can exempt the constitutional amendments from Judicial Review.

10.4.4 Rule of Law

Rule of Law is one of the important features of the democratic States. Rule of Law indicates that the law is supreme. The government is commanded not by the individuals but only by the law. The individual must be subservient to law. All the activities of the government must have the recognition of law.

As per the Rule of Law, any individual is punishable only in case of violation of law. It must be proved in the court of law that a person 'violated a law. Then only, he can be punished.

All are equal before law. The law provides protection equally to all. There is no discrimination on the basis of status like rich, poor, officers, citizens etc., in providing protection. The laws are equally applicable to all. There cannot be liberty or independence in a society without the supremacy of law. A society devoid of liberty and independence cannot be democratic.

But there are certain factors which hinder the proper implementation of the Rule of Law. They are: 1) The increasing measures of the Welfare State are contributing for enhancement of the power of the bureaucrats. The common citizens do not have it. 2) With the increased delegated legislation, many discriminatory powers are acquired by

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the officers. The delegated legislation though meant for easy implementation of laws, is often misused. As a result, the ordinary citizens are losing opportunities to have their rights protected in the courts of law. 3) Administrative adjudication limits the scope of the courts of law. Administrative tribunals are given authority to deliver judgements. These tribunals do not follow the modalities of the courts of law. Hence, the rule of law becomes limited in practice. 4) one cannot see in practice, the application of the theory that all are equal before law. The poor cannot have socio-economic capacity to approach the court of law to get the protection of their rights. Only the rich can have easy access to the courts of law. More over, it is very much costly to get the services of the advocates. 5) Liberty cannot be provided only through decisions of the courts of law. The constitutional law provides fundamental rights to the people. For instance the British parliament provided basic rights through the acts like Magna Carta, Bill of Rights and Petition Rights, there by promoting liberty and freedom of the citizens. 6) The Rule of Law alone cannot give liberty to the people. The people themselves must have the desire, interest, perseverance and persistent effort to achieve it. It is often not possible for others to fight for the rights of the poor.

10.4.5 Role of Judiciary in Democracy

Judiciary plays a significant role in democracy. The success of democracy depends on the efficiency of the judiciary. Judiciary maintains balance in the relations between the government and the people. It protects the people's rights and freedom against the despotism of the government. It invalidates the acts and policies of the legislature and the executive when they are found unconstitutional. It upholds the rights of individuals against the arbitrary exercise of powers. It can call for any document or summon any officer or party in the process of hearing a case.

Judiciary is described as the third and last organ of the government. Lord Bryce opined that the welfare of the nation and the supremacy of the government largely depends on the provision of proper justice to the people. Judiciary can perform its functions properly when it is armed with the powers of independence and supremacy in its functioning. From Plato to Pandit Nehru, many scholars opposed concentration of executive and judicial powers in a single person or a body of persons. The ethical progress of a nation largely depends on the efficient administration of justice. Further, it is the moral backbone of a living nation. There have been occasional onslaughts on the judiciary by the other organs. It is highly unfortunate that there are several allegations against the sitting judges in respect of both private and public life. In fact, the moral and material prosperity of the people by and large depends on the proper and efficient organisation of judiciary free from the pressures and pulls from their legislative and executive branches. John Locke's warning holds good in this connection when he said: "Where law ends, tyranny begins." To conclude, in the words of Lord Bryce: "There is no better test of excellence of a government than the efficiency of its judicial system if the lamp of justice goes out in darkness, how great is the darkness?"

10.4.6 Independence of Judiciary

Independent judiciary is a prerequisite for the successful working of democracy. Provision of mere powers in the constitution is not enough for the efficient functioning of judiciary. Judges deliver judgments freely, impartially and fairly only when they are given

independence in their functioning. Independence of judiciary implies the provision of conditions favourable for the efficient functioning of the judges.

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Independence of judges may be secured by the following conditions:

1. Mode of appointment
2. Qualifications
3. Tenure of judges
4. Adequate salaries
5. Security of service
6. Removal of judges
7. Separation of judiciary.

Let us discuss these conditions.

I. Mode of appointment: Independence of judiciary in the first instance is secured by the method of appointing judges having highest expertise apart from personal integrity and ability. Three methods are followed in regard to the appointment of judges. They are:

- (a) Election by the people
- (b) Appointment by the executive, and
- (c) Election by the legislature.

The first method, that is, election by the people, is prevalent in some cantons of Switzerland and some states of America. But under this method, the judges may become puppets in the hands of the political leaders and people. They find it difficult to deliver justice in an impartial manner. The second method, that is, appointment by the executive, is prevalent in some countries like England and India. Judges nominated or appointed by the executive are not carried away by popular passions and political pressures. The third method that is, election of judges by the legislature, is prevalent in Switzerland. But this method violates the principle of separation of powers. It may lead to the election of party candidates as the judges. Moreover, incompetent and inefficient persons may become judges. Of the above three methods, the second method, that is, appointment of judges by the executive is relatively better.

2. Qualifications: Only those persons who possess proficiency in law, academics and personal integrity and non-sectarian outlook have to be appointed as judges. Then only people are confident about the proper functioning of the judiciary.

3. Tenure of Judges: The tenure of the judges shall neither be too long nor too short. A long tenure may tend the judges develop strong attachment with the places and persons and might have made them corrupt. As against this a short tenure creates uncertainty, partiality and lack of duty-sense. So the judges must have a reasonable tenure devoid of fear and insecurity.

4. Adequate Salaries: Reasonable and adequate salaries and allowances must be paid to the judges so that they will not be tempted to unethical pursuits to meet their ends. Payment of decent emoluments promotes courage, confidence, self-contentment and firmness among the judges. The salaries cannot be changed to their detriment

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during their tenure.

5. Security of Service: Independence of judiciary is also secured by creating favorable service conditions. Judges shall not be subjected to frequent transfers and harassment by the executive. Adequate pension shall be paid to them after the retirement. Social security measures shall be implemented for their welfare. Secretarial assistance shall be provided. It must be ensured that no pressure political or social shall be built against the judges for seeking favorable judgments. It must also be ensured that the judges enjoy higher status in public life and they deserve fairly higher remuneration to maintain reasonable standard of life.

6. Removal of Judges. Independence of judiciary is secured when judges are not removed on flimsy grounds. Judges should be allowed to discharge their obligations without the fear of removal. However, they shall be removed in exceptional conditions by the executive on the grounds of proved misbehavior or incapacity and on an address of the legislature.

7. Separation from Executive. Independence of judiciary is possible only when the functions of judiciary are separated from the executive and the legislature. Provision of judicial powers to legislature and executive will negate individual liberty and sow the seeds of dictatorship. That is why many states including India have separated judiciary from executive.

10.5 SUMMARY

The political power is divided among legislature, executive and judiciary. The legislature formulates and expresses the will of the state, executive enforces the laws and sees to that infringement of the law takes place and judiciary determines whatever the laws are applicable in a particular case or not. Among these three organs of the government, legislature has superior place. Since it acts, laws and reflects the public opinion, the executive and judiciary become dependent on it.

10.6 KEYWORDS

- **Legislature:** Legislature is the first organ of the government. These members are elected by the people directly or indirectly for the tenure as mentioned in the constitution.
- **Executive:** It is the second organ of the government. It implements the programmes and policies which are acted by the legislature.
- **Judiciary:** It is the third organ of the government which interprets laws and punishes the guilty for violating the law.
- **Judicial Review:** Judicial Review is the most significant power of the Supreme Court. It is the guardian of the constitution. Judicial review is a term to describe the power of the courts to declare acts of legislature or executive of no effect and consequently invalid if they are found in conflict with the constitution.
- **Rule of Law:** Rule of Law is one of the important features of the democratic States. Rule of Law indicates that the law is supreme. The government is commanded not by the individuals but only by the law. The individual must be

subservient to law. All the activities of the government must have the recognition of law.

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10.7 QUESTIONS FOR DISCUSSION

Essay Type Questions

- 1) Explain the structure of bicameralism and the functions of the legislature.
- 2) What is executive? What are its functions?
- 3) Discuss judiciary and its functions.

Short Type Questions

- 1) What are the reasons for the decline of the significance of legislature?
- 2) Discuss the reasons for the growth of importance of the executive.
- 3) Discuss judicial review.
- 4) Write about the rule of law.
- 5) How many organs of government are there? What are they?
- 6) What is meant by plural executive?
- 7) What is independence of the judiciary?

10.8 SUGGESTED READINGS

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రచయితలు

డా॥ బి. అశోక్

తెలుగు విభాగం

ఎస్. వి. విశ్వ విద్యాలయం

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విజయోస్తు

మమ్మీ అన్న మాటలో మమకారం కన్న
అమ్మ! అన్న మాటలో మాధుర్యం మిన్న
అమ్మ నుండి అలవడే అమృత భాష
ఆత్మీయతను పెంచే ఆంధ్ర భాష

మాధుర్యాన్ని పెంచే మాన్యభాష
రాగసుధలను రంగరించే రాష్ట్ర భాష
మమకారాన్ని పంచే మాతృభాష
తేనెలొలుకు భాష మన తెలుగు భాష

తెలుగు భాషను గౌరవిద్దాం
తెలుగు భాషలో మాట్లాడుదాం
తెలుగు జాతికి వన్నెతెద్దాం
ఇదే తెలుగుతల్లికి మనమిచ్చే నీరాజనాలు

- రచయితలు

జనరల్ తెలుగు / సెమిస్టర్ - 1

ప్రాచీన తెలుగు కవిత్వం

ఈ కోర్సు విజయవంతంగా ముగించాక, విద్యార్థులు క్రింది అభ్యసన ఫలితాలను పొందగలరు.

1. ప్రాచీన తెలుగుసాహిత్యం యొక్క ప్రాచీనతను, విశిష్టతను గుర్తిస్తారు. తెలుగు సాహిత్యంలో ఆదికవి నన్నయ కాలంనాటి భాషానంకృతులను, ఇతిహాసకాలంనాటి రాజనీతి విషయాలపట్ల పరిజ్ఞానాన్ని సంపాదించగలరు.
2. శివకవుల కాలంనాటి మతపరిస్థితులను, భాషావిశేషాలను గ్రహిస్తారు. తెలుగు సుడికారం, సామెతలు, లోకోక్తులు మొదలైన భాషాంశాల పట్ల పరిజ్ఞానాన్ని పొందగలరు.
3. తిక్కన భారతంనాటి మత, ధార్మిక పరిస్థితులను, తిక్కన కవితాశిల్పాన్ని, నాటకీయతను అవగాహన చేసుకోగలరు.
4. ఎఱ్ఱన సూక్తివైచిత్రిని, ఇతిహాస కవిత్వంలోని విభిన్న రీతులపట్ల అభిరుచిని పొందగలరు. శ్రీనాథుని కాలం నాటి కవితావిశేషాలను, మొల్ల కవితా విశిష్టతను గుర్తించగలరు.
5. తెలుగు పద్యం స్వరూప-స్వభావాలను, సాహిత్యాభిరుచిని పెంపొందించుకుంటారు. ప్రాచీన కావ్యభాషలోని వ్యాకరణాంశాలను అధ్యయనం చేయడం ద్వారా భాషాసామర్థ్యాన్ని, రచనలో మెళకువలను గ్రహించగలరు.

పాఠ్య ప్రణాళిక

యునిట్ - I

రాజనీతి

-

నన్నయ

మహాభారతం - సభాపర్వం - ప్రథమాశ్వాసం - (26-57 పద్యాలు)

యునిట్ - II

దక్షయజ్ఞం - నన్నెచోడుడు

కుమారసంభవం - ద్వితీయాశ్వాసం - (49 - 86 పద్యాలు)

యూనిట్ - III

ధామ్య ధర్మోపదేశము - తిక్కన

మహాభారతం - విరాటపర్వం - ప్రథమాశ్వాసం - (116 - 146) పద్యాలు

యూనిట్ - IV

పలనాటి బెబ్బులి - శ్రీనాథుడు (పలనాటి వీరచరిత్ర - ద్విపద కావ్యం పుట 108 - 112 'బాలచంద్రుడు భీమంబగు సంగ్రామం జొనర్చుట.. (108)...

వెతిగంది కుంది' (112) సం. అక్కిరాజు ఉమాకాంతం ముద్రణ. వి. కె. స్వామి, బెజవాడ 1911.

యూనిట్ - V

సీతారావణ సంవాదం - మొల్ల

రామాయణము - సుందరకాండము - (40 - 87 పద్యాలు)

వ్యాకరణం

సంధులు: ఉత్ప, త్రిక, ద్రుతప్రకృతిక, నుగాగమ, ద్విరుక్తటకారాదేశ, యణాదేశ, వృద్ధి, శ్చుత్వ, జశ్వ, అనునాసిక సంధులు.

సమాసాలు: అవ్యయిభావ, తత్పురుష, కర్మధారయ, ద్వంద్వ, ద్విగు, బహువ్రీహి.

అలంకారాలు:

అర్థాలంకారాలు: ఉపమ, ఉత్పేక్ష, రూపక, స్వభావోక్తి, అర్థాంతరవ్యాస, అతిశయోక్తి.

శబ్దాలంకారాలు: అనుప్రాస (వృత్త్యనుప్రాస, ఛేకామప్రాస లాటానుప్రాస, అంత్యానుప్రాస) ఛందస్సు

వృత్తాలు: ఉత్పలమాల, చంపకమాల, శార్దూలము, మత్తేభము;

జాతులు: కందం, ద్విపద; ఉపజాతులు: ఆటవెలది, తేటగీతి, సీసం మరియు ముత్తాలసరాలు

విషయ సూచిక

ప్రాచీన తెలుగు కవిత్వం

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1.4	పాఠ్యభాగం	2
1.5	పాఠ్యభాగ పరిచయం	7
1.6	కఠిన పదాలకు అర్థాలు	7
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యూనిట్ - 1

రాజనీతి

సన్నయ్య

1.1 ఉద్దేశం

ప్రజలను పరిపాలించు ప్రభువు ఎలాంటి రాజనీతిని అవలంబించ వలసి ఉంటుందో ఈ పాఠ్యాంశము ద్వారా తెలుసుకోవచ్చు.

1.2 కవి పరిచయం

నన్నయ క్రీ.శ. 11 వ శతాబ్దికి చెందిన కవి. చాళుక్య ప్రభువైన రాజరాజనరేంద్రుని ఆస్థానంలో ఉండేవాడు. ఈయన ఆదికవి, వాగానుశాసనుడు, శబ్దశాసనుడు అనే బిరుదులతో విరాజిల్లినాడు. నన్నయ ఆంధ్ర మహాభారతం ఆది, నభా, అరణ్యపర్వంలోని చతుర్దాశ్వాసంలోని 142 వ పద్యం వరకు ఆంధ్రీకరించాడు. ఈయన ఆంధ్రశబ్ద చింతామణి వ్యాకరణ గ్రంథాన్ని రచించాడు. “చాముండికా విలాసము”, “ఇంద్ర విజయము”, “లక్షణసారము”, “రాఘవాభ్యుదయము” అనే గ్రంథాలను రచించినాడని అంటారు. ఇవి అలభ్యాలు. భారత రచనలో నన్నయకు నారాయణభట్టు సహాయకుడిగా ఉన్నట్టు, ఈయన సంస్కృత, పైశాచిక, కర్ణాటాంధ్ర భాషలలో కవిశేఖరగా ఖ్యాతినొందినట్టు ప్రతీతి. ఈ పాఠ్యభాగం నన్నయ రచించిన ఆంధ్ర మహాభారతం సభాపర్వం - ప్రథమాశ్వాసం నుండి గ్రహించబడింది.

నన్నయ కవిత్వంలో ప్రసన్న కథా కలితార్థయుక్తి, అక్షర రమ్యత, నానారుచిరార్థ సూక్తి నిధిత్వమువంటి లక్షణాలున్నాయి.

1.3 మహాభారత ప్రాశస్త్యము

ఇది భారతీయుల ఇతిహాసం, మానవజీవన వికాసం, (యదిహాస్తితదన్యత్ర యన్నేహస్తి నతత్కవ్వచిత్) ధర్మార్థ, కామ, మోక్షాల గురించి భారతంలో ఉన్నదే లోకంలో ఉన్నది.

ఇందులో లేనిది ఎక్కడా లేదు. సంస్కృతంలో వేదవ్యాసుడు 'జయమ్' అనే పేరుతో సకల పురాణాల, నాలుగు వేదాల సారాన్ని ప్రతిపాదిస్తూ మహాభారతాన్ని రచించడం జరిగింది. దీనిని పంచమ వేదంగా కూడా భావిస్తారు.

పాఠ్యభాగ సందర్భం: శ్రీకృష్ణుని కోరికపై ధర్మరాజు రాజసూమయాగం చేస్తాడు. మయుడు నిర్మించి ఇచ్చిన అపూర్వమైన సభాభవనంలో వైభవంగా ప్రవేశిస్తాడు. ఆ సమయంలో వచ్చిన నారదుడు ధర్మరాజుకు 'రాజనీతి'ని బోధిస్తాడు.

1.4 పాఠ్యభాగం

సీ॥ మీ వంశమున నర దేవోత్తములదైన
సద్ధర్మమార్గంబు సలుపుదయ్య?
ధర్మ విదుండవై ధర్మార్థకామంబు
లోండొంటి బాధింపకుండ నుచిత
కాల విభక్తముల్ గా లీల సేవితె?
ధర్మపునంద చిత్తంబు నిలిపి
యిమ్ముల నపరరాత్రమ్ములం దెప్పుడు
జింతితె నిజబుద్ధి జేయందగిన

ఆ రాజకృత్యములం? దిరంబుగా నిఖిల ని
యోగ వృత్తులందు యోగ్యులయిన
వారిం గరము గారవమ్మునం బంచితె
నీవు వారిదైన నేర్పెఱింగి

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క. అనఘుల శాస్త్ర విధిజ్ఞుల
ననురక్తులం బితృపితామహాక్రమమున వ
చ్చిన విప్రుల మంత్రులంగా
నొనరించితె కార్య సంప్రయోగము పొంటెన్

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క. రాజునకు విజయమూలము
రాజిత మంత్రంబు; సుస్థిరంబుగ దానిన్
రాజాస్వయ రక్షితె ధ
రాజనులకుం గర్హగోచరము గాకుండన్

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- క. ధీరుడు ధర్మాధర్మవి
శారదుడు బహుశ్రుతుండు సమచిత్తుడు వా
ణీ రమణీ శ్రిత వదన స
రోరుహుఁ డనఁ జనునె నీ పురోహితుఁ డధిపా! 29
- క. జనవర! నీ యజ్ఞములం
దనవరతనియుక్తుఁడయిన యాజ్ఞకుఁడు ప్రయో
గ నిపుణుఁడై యేమ అకుం
డునె నిజకృత్యముల నెప్పుడును సమబుద్ధిన్ 30
- క. నానావిధరణ విజయమ
హానిపుణు లవార్యవీర్య లనఁదగువారిన్
సేనాధ్యక్షులఁ జేసితె
నీ నమ్మిన వారి మాననీయుల హితులన్ 31
- చ. కడుఁజనువాఁడునై పురుషకారియు దక్షుడునైన మంత్రి పెం
పడరఁగ రాజపుత్రుల మహాధనవంతులఁజేసి వారితో
నొడబడి పక్ష మేర్పడఁగ నుండఁడుగా, ధనమెట్టి వారికిం
గడుకొని సేయకుండునె జగన్నుత! గర్వము దుర్విమోహమున్ 32
- క. క్షితినాథ! శాస్త్రదృష్టి
ప్రతిభను దివ్యాంతరిక్ష భౌమోత్పాత
ప్రతికారులగుచు సన్యా
నితులయి వర్తింతురయ్య నీదైవజ్ఞుల్ 33
- క. అనిశము సేవించురె ని
న్ననఘా! యష్టాంగమైన యాయుర్వేదం
బున దక్షులైన వైద్యులు
ఘనముగ ననురక్తులై జగద్ధితబుద్ధిన్ 34
- క. సారమతిఁజేసి మానస
శారీర రుజావళులకు సతతంబుఁబ్రతీ
కారములు సేయుచుండుదె
యారఁగ వృద్ధోపసేవ నౌషధసేవన్ 35

- క. ఉపధాశుద్ధులఁబాప
వ్యపగత బుద్ధుల వినీతివర్తుల సములన్
సుపరీక్ష నియోగించితె
నిపుణుల నర్థార్జనాదినృపకార్యములన్ 36
- ఉ. ఉత్తమ మధ్యమాధమ నియోగ్యత బుద్ధి నెఱింగి వారి న
యుత్తమ మధ్యమాధమ నియోగములన్ నియమించితే నరేం
ద్రోత్తమ! భృత్యకోటికి ననూనముగాఁ దగుజీవితంబు లా
యత్తము సేసియితైదయ నయ్యయికాలము దప్పకుండఁగన్ 37
- క. తమతమ కనియెడె తఱి జీ
తము గానక నవయు భటుల దౌర్గత్య విషా
దము లేలనివాని కవ
శ్యము నెగ్గొనరించు నతఁడు శక్రుండైనన్ 38
- క. కులపుత్రులైన నద్భు
త్యులకును సత్కారమర్థితోఁ జేయుదె? వా
రలు నీ ప్రస్తవమున ని
మ్ములఁ గృతము దలంచి ప్రాణములు విడుతు రనిన్ 39
- క. అనఘా! నీ ప్రస్తవమున
నని నీల్గినవీరభటుల యనుపోప్పుల నె
ల్లను బ్రోతె భోజనాచ్చా
దానముల వారలకు నెమ్మి దఱుఁగక యుండన్ 40
- క. ధనలుబ్ధుల మ్రుచ్చులఁ గూ
ర్పని వారలఁ బగఱవలని వారల ధృతి చా
లని వారల దుర్జనులం
బనుపవుగా రాజకార్యభారము దాల్చన్ 41
- క. చోరభయవర్జితముగా
ధారుణిఁ బాలింతె, యధికధనలోభమునం
జోరుల రక్షింపరుగా
వారలచే ధనముగొని భవద్భృత్యవరుల్ 42

- క. ధరణీనాథ! భవద్భుజ
పరిపాలితయైన వసుధఁ బరిపూర్ణములై
కరమొప్పుచున్నె చెఱువులు
ధరణీ కవగ్రహభయంబు దనుకక యుండన్ 43
- క. హీనులగు కర్షకులకును
భూసుత! ధాన్యంబు బీజములు, వణిజులకున్
మానుగ శతైకవృద్ధి న
నూనముగా బుణము లితై యుత్తమబుద్ధిన్ 44
- క. పంగుల మూకాంధులవిక
లాంగులను నబాంధవుల దయంబ్రోతె? భయా
ర్తుం గడిచి శత్రునైనను
సంగరరంగమునఁ గాతె శరణంబనినన్ 45
- క. కృత మెఱిఁగి కర్త నుత్తమ
మతుల సభల సంస్తుతించిమఱవక తగు న
తృప్తి సేయదె? కృతమెఱిఁగెడు
పతియె జగజ్జనుల నెల్లఁ బరిపాలించున్ 46
- సీ. ఆయంబునందు నాలవ భాగముండె మూఁ
డవ భాగమొండె, సం దర్భమొండె
గాని మిక్కిలి సేయఁగాదు వ్యయంబని
యవధరించితె బుద్ధి నవనినాథ!
యాయుధాగారధనాధ్యక్షములయందు
పరవాజివారణావకులయందు
బండారములయందుఁ బరమవిశ్వాసుల
భక్తుల దక్షులఁ బంచితయ్య?
- ఆ. గురులవృద్ధ శిల్పివరవణిగ్నాంధవ
జనుల నాశ్రితులను సాధుజనులఁ
గరుణఁ బేదఱికము వొరయకుండఁగఁ బ్రోతె
సకల జనులు నిన్ను సంస్తుతింప 47
- క. వలయు నమాత్యులు జుట్టుం
బులు మూలబలంబు రాజపుత్రులు విద్వాం
సులు బలసియుండ నిచ్చులుఁ
గొలుపుండుదె లోకమెల్లఁగొనియాడంగన్ 48

- క. పరికించుచు బాహ్యభ్యం
తరజనముల వలన సంతతము నిజరక్షా
పరుండవయి పరమహీశుల
చరితము వీక్షితై నిపుణచరనేత్రములన్ 49
- క. వెలయగ విద్వజ్జన ము
ఖ్యులతోడనశేష ధర్మకుశలుండ వయి యి
మ్ముల లోకవ్యహార
మ్ములు దయఁబరికింతె నిత్యమును సమబుద్ధిన్ 50
- ఆ. వార్తయందు జగము వర్తిల్లుచున్నది
యదియు లేనినాడ యఖిలజనులు
సంధకారమగులగుదురు గావున
వార్త నిర్వహింపవలయుం బతికి 51
- ఆ. దార సంగ్రహంబు ధారణీశ!
రతి పుత్రఫలము, శీలవృత్త ఫలము శ్రుతము
దత్త భుక్తఫలము ధానము, వేదము లగ్ని
హోత్ర ఫలము లనియు నొగినెఱుంగు 52
- చ. బహుధనధాన్య సంగ్రహము బాణశరాసన యోధవీర సంధ
గ్రహము నిరంతరాంతరుదకంబులు ఘాసరసేంధనౌఘ సం
గ్రహము ననేకయంత్రములుం గల్గి యసాధ్యములై ద్విషద్భయా
వహు లగుచుండ నొప్పునె భవత్పరిరక్ష్తములైన దుర్గముల్ 53
- చ. వదలక బుద్ధి సంతరరి వర్గము నోర్చి జితేంద్రయుండ వై
మొదలన దేశకాలబలముల్ మఱి దైవబలంబుం గల్గి భూ
విదిత బలుండవై యహితవీరుల నోర్వంగ నుత్సహింతె దు
ర్మద మలినాంధ చిత్తుల బ్రమత్తుల నింద్రియ నిర్జితాత్ములన్ 54
- తే. కడిది రిపులపైఁ బోవంగఁ గడగియున్న
నీకు ముందఱఁజని రిపున్యపులయందుం
దగిలి సామాద్యుపాయంబు లొగిన సంప్ర
యోగమునఁజేసి వర్తిల్లుచున్నె చెవుమ 55

వ. మఱియు నాస్తిక్యం బన్పతంబు ప్రమాదం బాలస్యం బనర్థజ్ఞుల తోడి చింతనంబు క్రోధంబు దీర్ఘచింత దీర్ఘసూత్రత యెఱుక గలవారి నెఱుంగమి యర్థంబుల యందనర్థక చింత నిశ్చిత కార్యంబులు సేయమి మంత్రంబుల రక్షింపమి శుభంబులఁ బ్రయోగింపమి విషయంబులం దగులుటయనంబురింగిన పదునాలుగు రాజదోషంబులఁ బరిహరింతె? యని యడిగిన నారదునకు ధర్మరాజుట్లనియె. 56

తే. నాయథాశక్తిఁ జేసి యన్యాయ పథముఁ
బరిహరించి మహత్ముల చరితలందు
బుద్ధి నిలిపి మీ యుపదేశమున శుభంబు
లయిన వాని ననుష్ఠింతుఁ బ్రియముతోడ 57

1.5 పాఠ్యభాగ పరిచయం

ఖాండవవన దహన సమయంలో కృష్ణార్జునులు “మయుడనే” గంధర్వుని రక్షించారు. అందుకు ప్రతిగా వారిని మయుడు ఏమైనా కోరుకోమని అర్థించాడు. కృష్ణుడు ఎంతగానో ఆలోచించి ధర్మరాజుకు చక్కని సభా మండపాన్ని నిర్మించి ఇమ్మని కోరాడు. అందుకు అంగీకరించిన మయుడు అద్భుత విశేషాలతో నిండిన సభా భవనాన్ని నిర్మించి ఇచ్చాడు. అందుకే దానికి ‘మయసభ’ అనే పేరు. పాండవులు సభా భవన ప్రవేశ సమయంలో వివిధ దేశాల రాజులు, వివిధ లోకాల నుంచి మహర్షులు, దేవతలు విచ్చేశారు. ధర్మరాజును ఆశీర్వదించారు. ఒకనాడు నారదుడు వచ్చి ధర్మరాజునకు రాజనీతి సూత్రాలను తెలుపుతూ, ‘నీవు ఆ విధానంలో నడుచుకుంటున్నావు కదా’, ‘ధర్మపాలన చేస్తున్నావు కదా’ అని అడిగాడు. అందుకు ధర్మరాజు వినయంగా మీరు తెలియజేసిన మార్గంలోనే రాజ్యపాలన చేస్తున్నానని, చేస్తూ ఉంటానని చెప్పాడు. ఈ సందర్భంగా నారదుడు చెప్పిన రాజనీతి సూత్రాలే ఈ పాఠ్యాంశము.

1.6 కఠిన పదాలకు అర్థాలు

నరదేవ + ఉత్తముల + అది + ఐన	=	రాజశ్రేష్ఠులడైన
సత్ + ధర్మ మార్గంబు	=	మంచి ధర్మ పద్ధతిని
సలుపుదు + అయ్య	=	ఆచరిస్తున్నావు కదా
ధర్మవిదుండువు + ఐ	=	ధర్మం తెలిసిన వాడివై
ఒండు + ఒంటి	=	ఒకదాన్ని ఒకటి
కాన్	=	కాగా

లీల	=	సంతోషముగా
ధర్మపున్ + అందు + అ	=	ధర్మమందే
చిత్తము	=	మనస్సు
ఇమ్ములన్	=	ప్రీతిగా
అపరరాత్రముల + అందున్	=	రాత్రి ఉత్తర భాగంలో (అర్ధరాత్రి తరువాత)
రాజకృత్యములన్	=	రాజకార్యాలను
చింతింతె (చింతింతువు + ఎ)	=	ఆలోచిస్తున్నావు కదా!
తిరంబుగాన్	=	స్థిరంగా
నిఖిల, నియోగ, వృత్తుల + అందున్	=	అన్ని ప్రభుత్వ ఉద్యోగాల్లో
యోగ్యులు + ఐన	=	తగినవారిని
కరము	=	మిక్కిలి
గారవమ్మునన్	=	గౌరవభావంతో
పంచితే (పంచితివి + ఏ)	=	నియమించావు కదా!
అనఘులన్	=	పాపాత్ములు కానివాళ్ళను
శాస్త్ర విధిజ్ఞులన్	=	శాస్త్ర నియమాలు తెలిసినవారు
అనురక్తులన్	=	(మీ మీద) ప్రేమకల వాళ్ళు
విప్రుల్	=	బ్రాహ్మణులు
కార్య సంప్రయోగముపొంటెన్	=	రాజకార్యనిర్వహణం కొరకు
ఒనరించితె	=	చేశావు కదా!
రాజు + అన్వయ	=	చంద్రవంశానికి చెందిన ఓ ధర్మరాజు!
రాజిత మంత్రంబు	=	చక్కని రహస్యాలోచన
సుస్థిరమ్ముగా	=	పదిలంగా
కర్ణగోచరము కాకుండన్	=	చెవిని పడకుండా
అధిపా	=	ఓ రాజు
ధీరుడు	=	ధైర్యశాలి

బహుశ్రుతుండు	=	అనేక వేద శాస్త్రా లెరిగినవాడు
అనన్ + చనునే	=	అని అనదగినవాడే
జనవర	=	ఓ రాజా!
యాజ్ఞీకుడు	=	యాజ్ఞం చేయించే బ్రాహ్మణుడు
నిజకృత్యముల్	=	తానే చేయదగిన పనుల్లో
వీర్యులు	=	ఎదిరించ సాధ్యం కాని పరాక్రమం కలవాళ్ళు
మానసీయులన్	=	గౌరవింపదగిన వాళ్ళను
హితులు	=	మేలు కోరే వాళ్ళను
జగత్ + సుత	=	లోకం చేత కీర్తింపబడేవాడా!
చనువాడన్ + ఐ	=	పలుకుబడికలవాడై
పురుషకారియున్	=	కృషి చేసేవాడు
పెంపు + అదరంగన్	=	అతిశయం
ఒడబడి	=	చేతులు కలిపి
క్షతినాథా	=	భూమికి అధిపతి అయిన ఓ రాజా (ధర్మరాజా) !
దివ్య + అంతరిక్ష	=	దేవతా సంబంధులు, ఆకాశ సంబంధులు
భౌమ + ఉత్పాత	=	భూ సంబంధాలైన అనర్ధాలకు
ప్రతీకారులు + అగుచున్	=	విరుగుడు తెలిసినవారు
వర్తింతురు + అయ్య	=	నడుచుకుంటున్నారు కదా!
అనిశము	=	ఎల్లప్పుడు
అనురక్తులు + ఐ	=	ప్రేమగలవారై
సారమతిన్ + చేసి	=	నిపుణమైన బుద్ధితో (చక్కగా ఆలోచించి)

సతతంబున్	=	ఎల్లప్పుడు
ఆరగన్	=	ఒప్పుగా
వృద్ధ+ ఉపసేనన్	=	వృద్ధులను సేవించుట చేత
ఉపధా, శుద్ధులన్	=	ధర్మ పరీక్షల చేత పరిశు- ద్ధులైనవారు.
వినీత వర్తలు	=	వినయవంతులు
అనూనముగాన్	=	కొరతలేకుండా

1.7 ప్రతిపదార్థ : తాత్పర్యాలు

చ. కడుఁజనువాఁడునై పురుషకారియు దక్షుడునైన మంత్రి పెం
పడరఁగ రాజపుత్రుల మహాధనవంతులఁజేసి వారితో
నొడబడి పక్ష మేర్పడఁగ నుండఁడుగా, ధనమెట్టి వారికిం
గడుకొని చేయకుండునె జగన్నుత! గర్వము దుర్విమోహమున్

పరిచయం: ఈ పద్యం శ్రీ.శ. 11 వ శతాబ్దికి చెందిన నన్నయచే రచింపబడినది. ఆంధ్ర మహాభారతంలోని 'సభాపర్వం' ప్రథమాశ్వాసం నుండి తీసుకోబడిన 'రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నయ రాజరాజనరేంద్రుని ఆస్థానకవి. ఇతనికి 'ఆదికవి' శబ్దశాసనుడు (వాగాను శాసనుడు) అను బిరుదుములు కలవు. నన్నయ 'మహాభారతం'లో ఆది, సభాపర్వాలు, అరణ్యపర్వంలో కొంతభాగాన్ని ఆంధ్రీకరించెను.

సందర్భం: ఖాండవ వన దహన సమయంలో కృష్ణార్జునులచే రక్షణ పొందిన 'మయుడు' అద్భుతమైన 'మయసభా భవనాన్ని' నిర్మించి వారికి ఇచ్చాడు. ధర్మరాజు 'మయసభా' ప్రవేశ సమయములో వివిధ లోకముల నుంచి దేవతలు, మహర్షులు, వివిధ దేశాల రాజులు సభా భవనాన్ని చూసి తనమయలై పాండవులను కీర్తించి వెళ్ళిన తరువాత నారద మార్షి వచ్చాడు. పాండవులు అతనిని ఎంతగానో గౌరవించారు. అతడు వారి కుశలములను తెలుసుకొన్న పిదప ప్రత్యేకించి ధర్మరాజుతో 'రాజనీతి' విషయాలను ప్రస్తావించిన సందర్భం.

ప్రతిపదార్థం:

జగత్ + నుత!	=	లోకం చేత కీర్తించబడే ఓ ధర్మరాజా!
కడున్	=	మిక్కిలి

చనువాడున్ +ఐ	=	పలుకుబడికలవాడై
పురుషకారియున్	=	కృషిచేసేవాడూ
దక్షుడును + ఐన	=	సమర్థుడును అయిన
మంత్రి	=	మంత్రి
పెంపు + అడరగన్	=	అతిశయం మీర
మహాధనవంతులన్	=	గొప్పసంపన్నులను
చేసి	=	చేసి
ఒడంబడి	=	చేతులు కలిపి
పక్షము + ఏర్పడంగన్	=	వ్యతిరేక వర్గం ఏర్పడేటట్లుగా
ఉండడుగా	=	ఉండటం లేదుకదా!
ధనము	=	సంపద అనేది
ఎట్టివారికిన్	=	ఎటువంటి వాళ్ళకైనా
కడుకొని	=	పూని
గర్వమున్	=	గర్వాన్ని
దుర్విమోహమున్	=	చెడ్డదైన మితిమీరిన కాంక్షను
చేయక + ఉండునే	=	కలిగించకుండా ఉంటుందా?

తాత్పర్యం: ధర్మరాజా! ఎక్కువ పలుకుబడి కలిగి, క్రియాశీలి, సమర్థుడు అయిన మంత్రి తన పరిధి మీరి, ఇతర రాజ పుత్రుల్ని మహా ధనవంతులుగా చేసి, వాళ్ళతో చేతులు కలిపి, నీకు వ్యతిరేకంగా ఏర్పడేటట్లుగా ఉండటం లేదు కదా! ధనం ఎటువంటి వాళ్ళకైనా దురాశను, గర్వాన్ని కలిగిస్తుంది కదా!

విశేషం: ఈ కోవకు చెందిన మంత్రులు కలియుగ రాజకీయాల్లో గణనీయంగా ఉన్నారు. అటువంటి వారిని ఓ కంట కనిపెట్టడం మంచిదని ఆనాడే నారదుడు హెచ్చరించాడు.

ఈ పద్యంలోని అలంకారం - అర్ధాంతరన్యాసం

విశేష విషయాన్ని సామాన్య విషయంతో గాని, సామాన్య విషయాన్ని విశేష విషయంతో గాని సమర్థించి చెప్పడమే అర్ధాంతరన్యాసం.

సంధులు:

కడున్ + చనువాడు	=	కడున్ జనువాడు	=	ద్రుత ప్రకృతిక సంధి
దక్షుడును + అయిన	=	దక్షుడునయిన	=	ఉత్పసంధి
ధనవంతులన్ + చేసి	=	ధనవంతుల జేసి	=	ద్రుత ప్రకృతిక సంధి
పక్షము + ఏర్పడగ	=	పక్షమేర్పడగ	=	ఉత్పసంధి
ధనము + ఎట్టివారిన్	=	ధనమెట్టివారిన్	=	ఉత్పసంధి
జగత్ + నుత	=	జగన్నుత	=	అనునాసిక సంధి

సమాసములు:

జగన్నుత	=	జగములచే పొగడబడినవాడు	=	బహుప్రీహి సమాసం
గర్వము దుర్విమోహము	=	గర్వము, దుర్విమోహము	=	ద్వంద్వం సమాసం

ఈ పద్యం చంపకమాల (వృత్తము)

ఇందు నజభజజజర అనే గణములు ఉంటాయి

మొత్తం అక్షరాలు 21

యతి - 1 - 11 అక్షరాలకు

- ఉత్తమ మధ్యమాధమ నియోగ్యత బుద్ధి నెఱింగి వారి న
యుత్తమ మధ్యమాధమ నియోగములన్ నియమించితే నరేం
ద్రోత్రమ! భృత్యకోటికి ననూనముగాఁ దగుజీవితంబు లా
యత్తము సేసియితైదయ నయ్యుయికాలము దప్పకుండంగన్

పరిచయం : ఈ పద్యం క్రీ.శ. 11 వ శతాబ్దికి చెందిన నన్నయచే రచింపబడినది. ఆంధ్రా మహాభారతంలోని 'సభాపర్వం' ప్రధామాశ్వాసం నుండి తీసుకోబడిన 'రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నయ రాజరాజనరేంద్రుని ఆస్థానకవి. ఇతనికి 'ఆదికవి' శబ్దశాసనుడు (వాగాను శాసనుడు) అను బిరుదుములు కలవు. నన్నయ 'మహాభారతం'లో ఆది, సభాపర్వాలు, అరణ్యపర్వంలో కొంతభాగాన్ని ఆంధ్రీకరించెను.

సందర్భం : ఖాండవ వన దహన సమయంలో కృష్ణార్జునులచే రక్షణ పొందిన 'మయుడు' అద్భుతమైన 'మయసభా భవనాన్ని' నిర్మించి వారికి ఇచ్చాడు. ధర్మరాజు 'మయసభా'

ప్రవేశ సమయములో వివిధ లోకముల నుంచి దేవతలు, మహర్షులు, వివిధ దేశాల రాజులు సభా భవనాన్ని చూసి తన్మయులై పాండవులను కీర్తించి వెళ్ళిన తరువాత నారద మహర్షి వచ్చాడు. పాండవులు అతనిని ఎంతగానో గౌరవించారు. అతడు వారి కుశల మడిగాడు. ప్రత్యేకించి ధర్మరాజుతో 'రాజనీతి' విషయాలను ప్రస్తావించిన సందర్భం.

ప్రతిపదార్థం :

నరేంద్ర + ఉత్తమ	=	శ్రీ రాజశ్రేష్ఠా
ఉత్తమ, మధ్యమ + అధమ	=	ఉత్తమ, మధ్యమ, అధమ
నియోగ్యత	=	నియమింపబడిన వ్యక్తుల యోగ్యతలు
బుద్ధిన్ + ఎఠింగి	=	గ్రహించి
వారిన్	=	వారిని
ఆ + ఉత్తమ మధ్యమ + అధమ - నియోగములన్ = ఆయా స్థానాల్లో		
నియమించితి(వి) + ఏ	=	నియమించావు కదా!
భృత్యకోటికిన్	=	సేవకుల సమూహానికి
అనూనముగాన్	=	కొరతలేకుండా
తగు జీవితంబులు	=	తగిన జీతాలను;
దయన్	=	దయతో
ఆ + ఆయి కాలము	=	ఆయా నిర్ణీత సమయాలలో
తప్పక + ఉండగన్	=	దాటకుండా
ఆయుత్తము, చేసి	=	సిద్ధంచేసి
ఇతై(ఇచ్చుదువు + ఎ)	=	ఇస్తున్నావు కదా!

తాత్పర్యం :

ఓ ధర్మరాజా! వ్యక్తుల ఉత్తమ, మధ్య మాధమ యోగ్యతలను తెలుసుకొనివాళ్ళను ఉత్తమ, మధ్యమాధమ ఉద్యోగాల్లో నియమించావు కదా! సేవకులందరికీ, కొరతలేకుండా తగు జీతాలు దయతో సకాలంలో అందజేస్తున్నావు కదా!

విశేషం : ద్వుక్తర ప్రాసలో వృత్తం అలంకృతమై ప్రతిపాద్య వస్తువును ఆస్వాద యోగ్యం చేస్తున్నది. సమత అనే గుణం పద్య నిర్మాణంలో కనిపిస్తుంది.

మొదటి మూడు చరణాలు చివరి అక్షరం ముందు విరిగి పై పాదంలో కొనసాగటం సమత

మార్గభేదం: అవైషమ్యం ఉండటం చేత సమతా గుణం స్ఫురిస్తుంది.

సేవకుల నందిరినీ సమంగా చూస్తున్న రాజు యొక్క చిత్తవృత్తిని వ్యంజింపజేస్తుంది.

సంధులు :

మధ్యమాధమ = మధ్యమ+ అధమ = సవర్ణదీర్ఘ సంధి
 అయ్యుత్తమ = ఆ+ ఉత్తమ = (యడాగమ త్రిక సంధులు)
 నరేంద్రోత్తమా = నరేంద్ర+ ఉత్తమ = గుణసంధి (నర + ఇంద్రా+ ఉత్తమ)

సమాసములు :

మధ్యమాధమ = మధ్యములు , అధములు = ద్వంద్వ
 బుద్ధినెరిగి = బుద్ధి వలన ఎరిగి = పంచమీ తత్పురుష
 అసాధ్యము = సాధ్యముకానిది = సజ్జ తత్పురుష

3. బహుధనధాన్య సంగ్రహము బాణశరాసన యోధవీర సంధ
 గ్రహము నిరంతరాంతరుదకంబులు ఘాసరసేంద్రనౌఘ సం
 గ్రహము ననేకయంత్రములుఁ గల్గి యసాధ్యములై ద్విషద్భయా
 వహు లగుచుండ నొప్పునె భవత్పరిరక్ష్యములైన దుర్గముల్

పరిచయం : ఈ పద్యం క్రీ.శ. 11 వ శతాబ్దికి చెందిన నన్నయచే రచింపబడినది. ఆంధ్ర మహాభారతంలోని 'సభాపర్వం' ప్రధామాశ్వాసం నుండి తీసుకోబడిన 'రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నయ రాజరాజనరేంద్రుని ఆస్థానకవి. ఇతనికి 'ఆదికవి' శబ్దశాసనుడు (వాగను శాసనుడు) అను బిరుదములు కలవు. నన్నయ 'మహాభారతం'లో ఆది, సభాపర్వాలు, అరణ్యపర్వంలో కొంతభాగాన్ని ఆంధ్రీకరించారు.

సందర్భం : ఖాండవ వన దహన సమయంలో కృష్ణార్జునులచే రక్షణ పొందిన 'మయుడు' అద్భుతమైన 'మయసభా భవనాన్ని' నిర్మించి వారికి ఇచ్చాడు. ధర్మరాజు 'మయసభా' ప్రవేశ సమయములో వివిధ లోకముల నుంచి దేవతలు, మహర్షులు, వివిధ దేశాల రాజులు సభా భవనాన్ని చూసి తనమయలై పాండవులను కీర్తించి వెళ్ళిన తరువాత నారద మహర్షి వచ్చాడు. పాండవులు అతనిని ఎంతగానో గౌరవించారు. అతడు వారి కుశల మడిగాడు ప్రత్యేకించి ధర్మరాజుతో 'రాజనీతి' విషయాలను ప్రస్తావించిన సందర్భం.

ప్రతిపదార్థం :

భవత్+ పరిరక్ష్యములు +ఐన = నీచే రక్షింపబడుతున్నవైన;
 దుర్గముల్ = కోటలు;
 బహు, ధన, ధాన్య, సంగ్రహము = ఎక్కువ ధన, ధాన్యాల నిల్వ;
 బాణ శర+ ఆసన, యోధవీర,

సంగ్రహము = బాణాల యొక్క, ధనస్సుల యొక్క
యుద్ధవీరుల యొక్క కూడిక;
నిరంతర + అంతః ఉదకంబులు = ఎల్లప్పుడు లోపల ఉండే నీళ్ళు;
ఘాస, రస+ ఇంధన+ ఓఘ సంగ్రహము = గడ్డి, ఉప్పు, పులుపు, కారం
మొదలైన పదార్థాలు; వివిధ పానీయాలు
అసాధ్యములు+ ఐ = భేదించశక్యంకానివై;
ద్విషత్+ భయ + ఆవహులు
+ అగుచు+ ఉండన్ + ఒప్పునె = శత్రువులకు భయం కలిగించేవూ ఒప్పి
ఉన్నాయి కదా!

తాత్పర్యం :

ఓ ధర్మరాజా! నీ రక్షణలో నున్న కోటలన్నీ, - ఎక్కువగా ధనధాన్యాల్ని, ధనుర్బాణాల్ని, యుద్ధవీరుల్ని, ఎప్పుడూ తరుగని నీళ్ళని, పశువుల గడ్డిని, ఉప్పు, పులుపు, కారంవంటి అహార పదార్థాల్ని, వివిధ పానీయాల్ని, వంట కట్టెల్ని, సమృద్ధిగా కలిగి అనేక యంత్ర సాధనాలతో కూడి దుర్భేద్యాలై శత్రు భయంకారాలై ఒప్పుతున్నాయి కదా!

సంఘటనలు :

శరాసన = శర+ ఆసన = సవర్ణదీర్ఘ సంధి
నిరంతరాంతర = నిరంత+ అంతర = సవర్ణదీర్ఘ సంధి
ద్విషద్భయావహ = ద్విషత్+ భయావహ = జస్త్యసంధి
ఇందనౌఘ = ఇందన + ఓఘ = వృద్ధిసంధి

సమాసములు :

అసాధ్యములు = సాధ్యములు కానివి = నజ్ తత్పురుష
అనేకములు = న ఏకము = నజ్ తత్పురుష

4 వదలక బుద్ధి నంతరరి వర్గము నోర్చి జితేంద్రయుండ వై
మొదలన దేశకాలబలముల్ మఱి దైవబలంబుఁ గల్గి భూ
విదిత బలుండవై యహితవీరుల నోర్వంగ నుత్సహితె దు
ర్ము మలినాంధ చిత్తులఁ బ్రమత్తుల నింద్రియ నిర్జితాత్ములన్

పరిచయం : ఈ పద్యం క్రీ.శ. 11 వ శతాబ్దికి చెందిన నన్నయచే రచింపబడినది. ఆంధ్రా మహాభారతంలోని 'సభాపర్వం' ప్రధామాశ్వాసం నుండి తీసుకోబడిన 'రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నయ రాజరాజనరేంద్రుని ఆస్థానకవి.

ఇతనికి 'ఆదికవి' శబ్దశాసనుడు (వాగాను శాసనుడు) అను బిరుదములు కలవు. నన్నయ 'మహాభారతం'లో ఆది, సభాపర్వాలు, అరణ్యపర్వంలో కొంతభాగాన్ని ఆంధ్రీకరించెను.

సందర్భం : ఖాండవ వన దహన సమయంలో కృష్ణార్జునులచే రక్షణ పొందిన 'మయుడు' అద్భుతమైన 'మయసభా భవనాన్ని' నిర్మించి వారికి ఇచ్చాడు. ధర్మరాజు 'మయసభా' ప్రవేశ సమయములో వివిధ లోకముల నుంచి దేవతలు, మహర్షులు, వివిధ దేశాల రాజులు సభా భవనాన్ని చూసి తన్మయులై పాండవులను కీర్తించి వెళ్ళిన తరువాత నారద మహర్షి వచ్చాడు. పాండవులు అతనిని ఎంతగానో గౌరవించారు. అతడు వారి కుశల మడిగాడు ప్రత్యేకించి ధర్మరాజుతో 'రాజనీతి' విషయాలను ప్రస్తావించిన సందర్భం.

ప్రతిపదార్థం :

వదలక	= విడువక
బుద్ధిన్	= నీ బుద్ధిబలంచేత
అంతః+ అరి, వర్గమున్+ ఓర్చి	= లోపలి (నీలోని) శత్రుసమూహాన్ని జయించి
జిత + ఇంద్రియుండవు +ఐ	= జయించిన ఇంద్రియాలు కలవాడివై;
మొదలన	= మొదటనే;
మఱి	= అంతేగాక
బలుండువు +ఐ	= ప్రపంచంలో తెలియబడిన బలం కలవాడివై
దుర్మద+ మలిన+ అంధ, చిత్తులన్	= మితిమీరిన గర్వమనే మాలిన్యంచేత గ్రుడ్డిదైన మనస్సు కలవాళ్ళను
ప్రమత్తులన్	= మిక్కిలి మత్తెక్కిన వాళ్ళను
ఇంద్రియ, నిర్జిత+ ఆత్మలన్	= ఇంద్రియాలచేత జయించబడిన బుద్ధికలవాళ్ళను,
అహిత, వీరులన్	= శత్రువీరులను;
ఓర్వంగన్	= జయించడానికి
ఉత్సహింతె (ఉత్సహింతువు+ఎ)	= ఉత్సాహపడుతున్నావుకదా!

తాత్పర్యం: దేశకాల దైవబలాన్ని ముందుగ పొంది, బుద్ధిబలంతో అంతశ్శత్రువులైన కామక్రోధాదుల్ని, ఇంద్రియాల్ని జయించి, ప్రపంచ ప్రసిద్ధిగల బలవంతుడివై, మితిమీరిన

మదం అనే మాలిన్యంతో గ్రుడ్డిదైన మనస్సు కలవాళ్ళు, మిక్కిలి మత్తెక్కిన వాళ్ళు, ఇంద్రియాలకు వశమైన బుద్ధికలవాళ్ళు అయిన శత్రువుల్ని జయించాలన్న ఉత్సాహంతో ఉన్నావు కదా!

విశేషాంశం: అంతరరివర్గం - కామ, క్రోధ, లోభ, మోహ, మద, మాత్సర్యాలు, కర్మేంద్రియాలు- వాక్, పాణి, పాద, పాయు, గుహ్యాలు, జ్ఞానేంద్రియాలు-త్వక్కు, చక్షువు, శ్రోత్రం, జిహ్వ, స్పృణం; మనస్సును కూడా చేర్చితే మొత్తం ఇంద్రియాలు పదకొండు. మదములు- విద్యామదం, ధనమదం, కులమదం, ఉద్యోగమదం, యౌవనమదం మొదలైనవి.

1.8 సందర్భ సహిత వ్యాఖ్యలు

1. ధరాజనులకు గర్జగోచరము గాకుండన్

కవిపరిచయం : ఈ వాక్యం క్రీ.శ 11 వ శతాబ్దానికి చెందిన ఆదికవి, వాగనుశాసనుడు అను బిరుదులు కల నన్నయ రచించిన ఆంధ్ర మహాభారతంలోని 'సభాపర్వం' ప్రథమాశ్వాసము నుండి తీసుకోబడిన ' రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది.

సందర్భం : మయసభను దర్శించిన నారదుడు ప్రత్యేకంగా ధర్మరాజుతో ' రాజనీతి' విషయాలను చర్చించిన సందర్భం.

భావం : రాజుకు విజయ కారణం అతడి రహస్యాలోచనం. ఆ రహస్యాలోచనం నీ ప్రజల చెవిని పడకుండా పదిలంగా రక్షించుకుంటున్నావు కదా అని భావం.

2. ధనమెట్టివారికిం గడుకొని చేయకుండునే జగన్ముత

కవిపరిచయం : ఈ వాక్యం క్రీ.శ 11 వ శతాబ్దానికి చెందిన ఆదికవి, వాగనుశాసనుడు అను బిరుదులు కల నన్నయ రచించిన ఆంధ్రా మహాభారతంలోని 'సభాపర్వం' ప్రథమాశ్వాసము నుండి తీసుకోబడిన ' రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది.

సందర్భం : మయసభను దర్శించిన నారదుడు ప్రత్యేకంగా ధర్మరాజుతో ' రాజనీతి' విషయాలను చర్చించిన సందర్భం.

భావం : ధనం ఎటువంటి వాళ్ళనైనా దురాశను, గర్వాన్ని కలిగిస్తుంది.

3. సంగర రంగమునఁగాతె శరణం బనినన్

కవిపరిచయం : ఈ వాక్యం క్రీ.శ 11 వ శతాబ్దానికి చెందిన ఆదికవి, వాగనుశాసనుడు అను బిరుదులు కల నన్నయ రచించిన ఆంధ్రా మహాభారతంలోని 'సభాపర్వం' ప్రథమాశ్వాసము నుండి తీసుకోబడిన ' రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది.

సందర్భం : మయసభను దర్శించిన నారదుడు ప్రత్యేకంగా ధర్మరాజుతో ' రాజనీతి' విషయాలను చర్చించిన సందర్భం.

భావం : భయంతో దుఃఖిస్తూ శరణు వేడిన పెద్ద శత్రువుడైనా యుద్ధభూమిలో కాపాడుతున్నావు కదా!

4. వార్త నిర్వహింపవలయుఁబఱికి

కవిపరిచయం : ఈ వాక్యం క్రీ.శ 11 వ శతాబ్దానికి చెందిన ఆదికవి, వాగనుశాసనుడు అను బిరుదులు కల నన్నయ రచించిన ఆంధ్రా మహాభారతంలోని 'సభాపర్వం' ప్రథమాశ్వాసము నుండి తీసుకోబడిన ' రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది.

సందర్భం : మయసభను దర్శించిన నారదుడు ప్రత్యేకంగా ధర్మరాజుతో ' రాజనీతి' విషయాలను చర్చించిన సందర్భం.

భావం : ప్రపంచమంతా వార్తమీదే నడుస్తున్నది. అందువల్ల ప్రభువు వార్తను బాగా నిర్వహించాలి.

5. అనూనముగా ఋణము లితై యుత్తమబుద్ధిన్

కవిపరిచయం : ఈ వాక్యం క్రీ.శ 11 వ శతాబ్దానికి చెందిన ఆదికవి, వాగనుశాసనుడు అను బిరుదులు కల నన్నయ రచించిన ఆంధ్రా మహాభారతంలోని 'సభాపర్వం' ప్రథమాశ్వాసము నుండి తీసుకోబడిన ' రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది.

సందర్భం : మయసభను దర్శించిన నారదుడు ప్రత్యేకంగా ధర్మరాజుతో ' రాజనీతి' విషయాలను చర్చించిన సందర్భం.

భావం : ఉదారబుద్ధితో పేదరైతులకు సులభ వడ్డీపై ఋణములు ఇస్తున్నావు కదా!

1.9 పాఠ్యభాగ సారాంశం

పర్వత పారిజాత దైవత సుముఖులనే మహర్షులతో కలిసి వచ్చిన నారద మహామునికి ధర్మరాజు తమ్ములతో కూడా ఎదురేగి నమస్కరించాడు. ఉన్నతాననం మీద కూర్చుండ బెట్టాడు. అర్హు పాద్యాది పూజా విధానాలతో పూజించాడు. నారద మహర్షి పాండవులందరిని కుశల మడిగాడు. ప్రత్యేకించి ధర్మరాజుతో రాజనీతి విషయాలు చర్చించాడు.

రాజా! మీ వంశంలో జన్మించిన రాజశ్రేష్టులు ఏర్పరచిన ధర్మ పద్ధతిని ఆచరిస్తున్నావు కదా! ధర్మాన్ని తెలుసుకొని, ధర్మార్థ కామాలను కాలోచితముగా విభజించుకొని సేవిస్తున్నావు కదా! చేయదగిన రాజకార్యాల్ని స్వబుద్ధితో ఎల్లప్పుడూ అర్థరాత్రి దాటిన తరువాతే ఆలోచిస్తున్నావు కదా! ప్రభుత్వ ఉద్యోగాల్లో యోగ్యులైన వారినే, వారివారి శక్తి సామర్థ్యాల్ని గుర్తించి గౌరవ భావంతో, స్థిరంగా నియమించావు కదా! పుణ్యాత్ములు, శాస్త్ర నియమాలు బాగా తెలిసినవాళ్ళు, నీ మీద ప్రేమ గల వాళ్ళు, తాతల తండ్రుల నాటి నుండి వంశపారంపర్యంగా కొలువు చేస్తున్న వాళ్ళు అయిన ఉత్తముల్ని రాచకార్య నిర్వహణకు మంత్రులుగా ఏర్పరుచుకున్నావు కదా!

ఓ ధర్మరాజా! రాజుకు విజయకారణం రహస్యసమాలోచనం. ఆ రహస్యాలోచనం నీ ప్రజల చెవిని పడకుండా పదిలంగా రక్షించుకుంటున్నావు కదా! నీ పురోహితుడు ధైర్యవంతుడు, ధర్మాధర్మాలు తెలిసినవాడు, వివిధ శాస్త్రాలు బాగా అధ్యయనం చేసినవాడు, రాగద్వేష రహితమైన సమచిత్తం కలవాడు అని అనదగినవాడే కదా! నీవు యజ్ఞాలలో నియమించిన యాజ్ఞికుడు యజ్ఞం చేయించటంలో నిపుణుడై రాగద్వేషరహితమైన సమబుద్ధితో తన కర్తవ్యాలను విస్మరించకుండా ఉన్నాడు కదా! పలు విధాలైన యుద్ధాలలో విజయాన్ని సాధించటంలో నిపుణులైన వాళ్ళను, ఎదిరించ సాధ్యంకాని పరాక్రమం కలవాళ్ళను, విశ్వాస పాత్రులైన వాళ్ళను, గౌరవానికి అర్హులైన వాళ్ళను, నీ మేలు కోరే వాళ్ళను సైన్యాధ్యక్షులుగా నియమించావు కదా!

ఎక్కువ పలుకుబడి కలిగి, క్రియాశీలి, సమర్థుడు అయిన మంత్రి తన పరిధి మీరి, ఇతర రాజపుత్రులను ధనవంతులను చేసి వారితో చేతులు కలిపి, నీకు వ్యతిరేకంగా ఏర్పడేటట్లుగా ఉండటం లేదు కదా! ధర్మరాజా! ధనం ఎటువంటి వారికైనా గర్వాన్ని, దురాశను కలిగిస్తుంది. నీ ఆస్థాన జ్యోతిష్కులు శాస్త్ర పాండిత్యం చేత, స్వీయ ప్రతిభ చేత దేవతా సంబంధాలు, అంతరిక్ష సంబంధాలు, భూ సంబంధాలు అయిన ఉత్పాతాలను

పొందుతున్నారు కదా! ఆయుర్వేదంలో సమర్థులైన వైద్యులు లోకానికి మేలు చేసే బుద్ధితో ప్రజల మీది ప్రేమతో ఆ వైద్య విధానంలో సేవలు చేస్తున్నారా? చక్కగా ఆలోచించి పెద్దల సేవ ద్వారా నీ మనోవ్యాధులను నిర్మూలించుకుంటూ, ఔషధ సేవలో శారీరక రుగ్మతలు రాకుండా నివారించుకుంటున్నారు కదా!

వన్నులు వనూలు చేయటం వంటి ధనార్జనా రూపమైన రాజకార్యాలతో అవినీతిపరులు, పక్షపాత బుది కలవాళ్ళు నియుక్తులైతే- ప్రభుత్వ కోశాగారానికి నష్టం వాటిల్లటమేకాన, ప్రభుత్వం మీద ప్రజలకు ద్వేష భావం పెరుగుతుంది. అందువల్ల అలాంటి ఉద్యోగ నియామకాల్లో ప్రభువు ప్రత్యేక శ్రద్ధ వహించాలి. వ్యక్తుల ఉత్తమ, మధ్యమ, అధమ యోగ్యతలను గుర్తించి, వారిని ఆయా ఉద్యోగాల్లో నియమించావు కదా! సేవకులందరికీ, కొరతలేకుండా తగు జీతాలు దయతో సకాలంలో అందజేస్తున్నావు కదా! తాము పొందవలసిన సమయంలో జీతాలు పొందక శుష్కించే సేవకుల దారిద్ర్య దుఃఖాలు ప్రభువుకు, (అతడు దేవేంద్రుడైనా) తప్పక కీడు కలిగిస్తాయి. వంశపారంపర్యంగా వచ్చే మంచి సేవకులకు ప్రీతితో సమ్మానం చేస్తున్నావు కదా! వారు మనసారా నీ ఉపకారాన్ని స్మరించి, యుద్ధభూమిలో నీకై ప్రాణాలు ఒడ్డి యుద్ధం చేస్తారు గదా!

పుణ్యాత్ముడైన ఓ ధర్మరాజా! నీ కొరకు యుద్ధంలో మరణించిన వీరసైనికుల కుటుంబాలను కూడు గుడ్డలు, లోటు లేకుండా, వాళ్ళ సంతోషం తగ్గకుండా పోషిస్తున్నావు కదా! ధనం పట్ల లోభబుద్ధి కలవాళ్ళని దొంగల్ని, స్నేహానికి యోగ్యులు కానివాళ్ళని, శత్రువుల పట్ల పక్షపాతం కలవాళ్ళని ధైర్యం చాలని వాళ్ళని, దుర్మార్గులైన వాళ్ళని రాజకార్యం నిర్వహించటానికి వంపందం లేదు కదా! ప్రజలకు దొంగభయం లేకుండా నీవు రాజ్యాన్ని ఏలుతున్నావు కదా! నీ ప్రభుత్వోద్యోగుల్లో ముఖ్యమైన వాళ్ళు ధనాశపరులై దొంగల దగ్గర డబ్బు పుచ్చుకొని వాళ్ళకు రక్షణ కల్పించటం లేదు కదా! భుజబలంతో నీవు పరిపాలిస్తున్న ఈ భూమిలో అనావృష్టి భయం లేకుండా చెరువులు నిండి ఉన్నాయి కదా! ఓ రాజా! ఉదారబుద్ధితో పేద రైతులకు ధాన్యపు విత్తనాలు, వర్తకులకు సులభ వడ్డీపై అప్పులు ఇస్తున్నావు కదా! కుంటి వాళ్ళను, మూగవాళ్ళను గ్రుడ్డివాళ్ళను, అంగవిహీనులైన వాళ్ళను, బంధువులు లేని వారిని దయతో పోషిస్తున్నావు కదా! భయంతో దుఃఖిస్తూ శరణు వేడిన పెద్ద శత్రువునైనా యుద్ధభూమిలో కాపాడుతున్నావు కదా! చేసిన మేలు గుర్తించి, ఆ మేలు చేసిన వ్యక్తిని పదిమంది పెద్దలున్న సభల్లో ఉచితరీతిని సత్కరిస్తున్నావు కదా! చేసిన మేలు గుర్తించగల ప్రభులే ప్రజలనందరిని చక్కగా పరిపాలించగలడు.

ధర్మరాజా! ఆదాయంలో నాల్గవ భాగాన్ని లేదా మూడవ భాగాన్ని లేదా సగ భాగాన్ని మాత్రమే ఖర్చు చేయాలి కాని, అంతకుమించి చేయకూడదని గ్రహించావు కదా! ఆయుధశాలలు, ధనాగారాలు, అశ్వశాలలు, గజశాలలు, కోశాగారాలు, వీటి పాలన ఎంతో నమ్మదగిన వాళ్ళను నీ పట్ల భక్తిగల వాళ్ళను, సమర్థులైన వాళ్ళను నియమించావు కదా! ప్రజలంతా నిన్ను ప్రశంసించేటట్లుగా గురువుల్ని వృద్ధశిల్పుల్ని గొప్ప వ్యాపారుల్ని, బంధువుల్ని, ఆశ్రితుల్ని, సజ్జనుల్ని పేదరికం రాకుండా దయతో పోషిస్తున్నావు కదా! ఇష్టమైన మంత్రులు, బంధువులు, సైన్యాధిపతులు, రాకుమారులు పండితులు అధిక సంఖ్యలో ఆశీసులై ఉండగా ప్రపంచమంతా ప్రశంసించే విధంగా ప్రతిదినం నీవు కొలువు తీరుతున్నావు కదా! జాగ్రత్తగా గమనిస్తూ బయట, లోపల ఉండే శత్రువుల నుండి నిన్ను నీవు రక్షించుకుంటూ, శత్రురాజుల ప్రవర్తనను గూఢచారులు అనే కళ్ళ ద్వారా కనుగొంటున్నావు కదా! గొప్ప పండితులతో కలసి, సర్వ ధర్మాల్లో నేర్పరివై, రాగద్వేషరహితమై సమబుద్ధితో శ్రద్ధగా దయతో లోకవ్యవహారాలు విచారిస్తున్నావు కదా!

ప్రపంచమంతా వార్త మీదే నడుస్తుంది. అది లేకుంటే ప్రజలు చీకట్లో మునిగిపోతే. అందువల్ల ప్రభువు వార్తను బాగా నడపాలి. ఓ ధర్మరాజా! వివాహం వలన ధర్మార్థ కామమోక్ష సాధనలు, సచ్చీలం, సత్రువర్తన అనేవి అలవదుతాయని తెలుసుకో. నీ రక్షణలోనున్న కోటలలో ఉన్న ధనధాన్యాల్ని, ధనుర్బాణాల్ని కాపాడుకుంటున్నావు కదా! నీ కోటలు అనేక యంత్ర సాధనాలతో కూడి దుర్భేద్యాలై శత్రు భయంకరాలై ఒప్పుతున్నాయి కదా.

ఓ ధర్మరాజా! దైవ బలాన్ని ముందుగా పొంది, బుద్ధిబలంతో అంతశ్శత్రువులైన కామక్రోధాదుల్ని, ఇంద్రియాల్ని జయించినావు కదా! ప్రపంచ ప్రసిద్ధి గల బలవంతుడివై మదం అనే మాలిన్యంతో గ్రుడ్డిదైన మనస్సు కలవాళ్ళు, మిక్కిలి మత్తెక్కిన వాళ్ళు. అయిన శత్రువుల్ని జయించాలన్న ఉత్సాహంతో ఉన్నావు కదా! నీవు దండెత్తడానికి ముందే బలవంతులైన శత్రురాజుల మీద సామదానాది చతుర్విధోపాయాల్ని చక్కగా ప్రయోగిస్తున్నావు కదా! నాస్తికత, అసత్యమాడటం, ఏమరుపాటు, సోమరితనం, తెలివితక్కువ వాళ్ళతో కార్యాలోచన చెయ్యటం, అతి కోపం, అధికకాలం దుఃఖించటం, చేయవలసిన పనిని గూర్చి అతి దీర్ఘంగా ఆలోచించటం, అలస్యంగా చేయ్యడం, జ్ఞానుల్ని గుర్తించక పోవటం, రహస్య మంతనాలు బయట పడకుండా కాపాడుకోవటం, శుభకార్యాలు చెయ్యకుండటం, ఇంద్రియ సుఖాల్లో తగులోపడం వంటి రాజదోషాలను విడనాడినావు కదా! అని ఇలా నారద మహర్షి ధర్మరాజును అడిగి తెలుసుకున్నాడు.

ధర్మరాజు సమాధానం : నారదమునీంద్ర ! చేతనైనంత వరకు అన్యాయ మార్గాన్ని వదలి, మహాత్ముల చరిత్రల్ని ఆదర్శంగా ఉంచుకొని, మీ ధర్మ బోధవల్ల శుభాలైన వాటిని మన ఃపూర్వకంగా ఆచరిస్తాను. అని వినయంగా ధర్మరాజు సమాధానమిచ్చాను.

1.10 ప్రశ్నలు - జవాబులు

1. 'రాజనీతి' పాఠ్యభాగ సారాంశమును వివరింపుము.

పర్వత పారిజాత రైవత సుముఖులనే మహర్షులతో కలిసి వచ్చిన నారద మహామునికి ధర్మరాజు తమ్ములతో కూడా ఎదురేగి నమస్కరించాడు. ఉన్నతాననం మీద కూర్చుండ బెట్టాడు. అర్హు పాద్యాది పూజా విధానాలతో పూజించాడు. నారద మహర్షి పాండవులందరిని కుశల మడిగాడు. ప్రత్యేకించి ధర్మరాజుతో రాజనీతి విషయాలు చర్చించాడు.

రాజా! మీ వంశంలో జన్మించిన రాజశ్రేష్టులు ఏర్పరచిన ధర్మ పద్ధతిని ఆచరిస్తున్నావు కదా! ధర్మాన్ని తెలుసుకొని, ధర్మార్థ కామాలను కాలోచితముగా విభజించుకొని సేవిస్తున్నావు కదా! చేయదగిన రాజకార్యాల్ని స్వబుద్ధితో ఎల్లప్పుడూ అర్థరాత్రి దాటిన తరువాతే ఆలోచిస్తున్నావు కదా! ప్రభుత్వ ఉద్యోగాల్లో యోగ్యులైన వారినే, వారివారి శక్తి సామర్థ్యాల్ని గుర్తించి గౌరవ భావంతో, స్థిరంగా నియమించావు కదా! పుణ్యాత్ములు, శాస్త్ర నియమాలు బాగా తెలిసినవాళ్ళు, నీ మీద ప్రేమ గల వాళ్ళు, తాతల తండ్రుల నాటి నుండి వంశపారంపర్యంగా కొలువు చేస్తున్న వాళ్ళు అయిన ఉత్తముల్ని రాచకార్య నిర్వహణకు మంత్రులుగా ఏర్పరుచుకున్నావు కదా!

ఓ ధర్మరాజా! రాజుకు విజయకారణం రహస్యసమాలోచనం. ఆ రహస్యాలోచనం నీ ప్రజల చెవిని పడకుండా పదిలంగా రక్షించుకుంటున్నావు కదా! నీ పురోహితుడు ధైర్యవంతుడు, ధర్మాధర్మాలు తెలిసినవాడు, వివిధ శాస్త్రాలు బాగా అధ్యయనం చేసినవాడు, రాగద్వేష రహితమైన సమచిత్తం కలవాడు అని అనదగినవాడే కదా! నీవు యజ్ఞాలలో నియమించిన యాజ్ఞికుడు యజ్ఞం చేయించటంలో నీవుణుడై రాగద్వేషరహితమైన సమబుద్ధితో తన కర్తవ్యాలను విస్మరించకుండా ఉన్నాడు కదా! పలు విధాలైన యుద్ధాలలో విజయాన్ని సాధించటంలో నీవుణులైన వాళ్ళను, ఎదిరించ సాధ్యంకాని పరాక్రమం కలవాళ్ళను, విశ్వాస పాత్రులైన వాళ్ళను, గౌరవానికి అర్హులైన వాళ్ళను, నీ మేలు కోరే వాళ్ళను సైన్యాధ్యక్షులుగా నియమించావు కదా!

ఎక్కువ పలుకుబడి కలిగి, క్రియాశీలి, సమర్థుడు అయిన మంత్రి తన పరిధి మీరి, ఇతర రాజపుత్రులను ధనవంతులను చేసి వారితో చేతులు కలిపి, నీకు వ్యతిరేకంగా

ఏర్పడేటట్లుగా ఉండటం లేదు కదా! ధర్మరాజా! ధనం ఎటువంటి వారికైనా గర్వాన్ని, దురాశను కలిగిస్తుంది. నీ ఆస్థాన జ్యోతిష్కులు శాస్త్ర పాండిత్యం చేత, స్వీయ ప్రతిభ చేత దేవతా సంబంధాలు, అంతరిక్ష సంబంధాలు, భూ సంబంధాలు అయిన ఉత్పాతాలను కనిపెట్టి వాటికి విరుగుడుగా శాంతి క్రియాదులు జరిపించి, నీ చేత సన్మానాలు పొందుతున్నార కదా! ఆయుర్వేదంలో సమర్థులైన వైద్యులు లోకానికి మేలు చేసే బుద్ధితో ప్రజల మీది ప్రేమతో ఆ వైద్య విధానంలో సేవలు చేస్తున్నారా? చక్కగా ఆలోచించి పెద్దల సేవ ద్వారా నీ మనోవ్యాధులను నిర్మూలించుకుంటూ, ఔషధ సేవలో శారీరక రుగ్మతలు రాకుండా నివారించుకుంటున్నారు కదా!

పన్నులు వసూలు చేయటం వంటి ధనార్జనా రూపమైన రాజకార్యాలతో అవినీతిపరులు, పక్షపాత బుద్ధి కలవాళ్ళు నియుక్తులైతే- ప్రభుత్వ కోశాగారానికి నష్టం వాటిల్లటమేకాక, ప్రభుత్వం మీద ప్రజలకు ద్వేష భావం పెరుగుతుంది. అందువల్ల అలాంటి ఉద్యోగ నియామకాల్లో ప్రభువు ప్రత్యేక శ్రద్ధ వహించాలి. వ్యక్తుల ఉత్తమ, మధ్యమ, అధమ యోగ్యతలను గుర్తించి, వారిని ఆయా ఉద్యోగాల్లో నియమించావు కదా! సేవకులందరికీ, కొరతలేకుండా తగు జీతాలు దయతో సకాలంలో అందజేస్తున్నావు కదా! తాము పొందవలసిన సమయంలో జీతాలు పొందక శుష్కించే సేవకుల దారిద్ర్య దుఃఖాలు ప్రభువుకు, (అతడు దేవేంద్రుడైనా) తప్పక కీడు కలిగిస్తాయి. వంశపారంపర్యంగా వచ్చే మంచి సేవకులకు ప్రీతితో సమ్మానం చేస్తున్నావు కదా! వారు మనసారా నీ ఉపకారాన్ని స్మరించి యుద్ధ భూమిలో నీకై ప్రాణాలు ఒడ్డి యుద్ధం చేస్తారు గదా!

పుణ్యాత్ముడైన ఓ ధర్మరాజా! నీ కొరకు యుద్ధంలో మరణించిన వీరసైనికుల కుటుంబాలను కూడు గుడ్డలు, లోటు లేకుండా, వాళ్ళ సంతోషం తగ్గకుండా పోషిస్తున్నావు కదా! ధనం పట్ల లోభబుద్ధి కలవాళ్ళని దొంగల్ని, స్నేహానికి యోగ్యులు కానివాళ్ళని, శత్రువుల పట్ల పక్షపాతం కలవాళ్ళని ధైర్యం చాలని వాళ్ళని, దుర్మార్గులైన వాళ్ళని రాజకార్యం నిర్వహించటానికి వంపండం లేదు కదా! ప్రజలకు దొంగభయం లేకుండా నీవు రాజ్యాన్ని ఏలుతున్నావు కదా! నీ ప్రభుత్వోద్యోగుల్లో ముఖ్యమైన వాళ్ళు ధనాశపరులై దొంగల దగ్గర డబ్బు పుచ్చుకొని వాళ్ళకు రక్షణ కల్పించటం లేదు కదా! భుజబలంతో నీవు పరిపాలిస్తున్న ఈ భూమిలో అనావృష్టి భయం లేకుండా చెరువులు నిండి ఉన్నాయి కదా! ఓ రాజా! ఉదారబుద్ధితో పేద రైతులకు ధాన్యపు విత్తనాలు, వర్తకులకు సులభ వడ్డీపై అప్పులు ఇస్తున్నావు కదా! కుంటి వాళ్ళను, మూగవాళ్ళను గ్రుడ్డివాళ్ళను, అంగవిహీనులైన వాళ్ళను, బంధువులు లేని వారిని దయతో పోషిస్తున్నావు కదా! భయంతో

దుఃఖిస్తూ శరణు వేడిన పెద్ద శత్రువునైనా యుద్ధ భూమిలో కాపాడుతున్నావు కదా! చేసిన మేలు గుర్తించి, ఆ మేలు చేసిన వ్యక్తిని పదిమంది పెద్దలున్న సభల్లో ఉచితరీతిని సత్కరిస్తున్నావు కదా! చేసిన మేలు గుర్తించగల ప్రభులే ప్రజలనందరిని చక్కగా పరిపాలించగలడు.

ధర్మరాజా! ఆదాయంలో నాల్గవ భాగాన్ని లేదా మూడవ భాగాన్ని లేదా సగ భాగాన్ని మాత్రమే ఖర్చు చేయాలి కాని, అంతకుమించి చేయకూడదని గ్రహించావు కదా! ఆయుధశాలలు, ధనాగారాలు, అశ్వశాలలు, గజశాలలు, కోశాగారాలు, వీటి పాలన ఎంతో నమ్మదగిన వాళ్ళను నీ పట్ల భక్తిగల వాళ్ళను, సమర్థులైన వాళ్ళను నియమించావు కదా! ప్రజలంతా నిన్ను ప్రశంసించేటట్లుగా గురువుల్ని వృద్ధశిల్పుల్ని గొప్ప వ్యాపారుల్ని బంధువుల్ని, ఆశ్రితుల్ని, సజ్జనుల్ని పేదరికం రాకుండా దయతో పోషిస్తున్నావు కదా! ఇష్టమైన మంత్రులు, బంధువులు, సైన్యాధిపతులు, రాకుమారులు పండితులు అధిక సంఖ్యలో ఆశీసులై ఉండగా ప్రపంచమంతా ప్రశంసించే విధంగా ప్రతిదినం నీవు కొలువు తీరుతున్నావు కదా! జాగ్రత్తగా గమనిస్తూ వెలుపల, లోపల ఉండే శత్రువుల నుండి నిన్ను నీవు రక్షించుకుంటూ, శత్రురాజుల ప్రవర్తనను గూఢచారులు అనే కళ్ళ ద్వారా కనుగొంటున్నావు కదా! గొప్ప పండితులతో కలసి, సర్వ ధర్మాల్లో నేర్పరివై, రాగద్వేషరహితమై సమబుద్ధితో శ్రద్ధగా దయతో లోకవ్యవహారాలు విచారిస్తున్నావు కదా!

ప్రపంచమంతా వార్త మీదే నడుస్తుంది. అది లేకుంటే ప్రజలు చీకట్లో మునిగినట్లే. అందువల్ల ప్రభువు వార్తను బాగా నడపాలి. ఓ ధర్మరాజా! వివాహం వలన ధర్మార్థ కామమోక్ష సాధనలు, సచ్చీలం, సత్రవర్తన అనేవి అలవడుతాయని తెలుసుకో. నీ రక్షణలోనున్న కోటలలో ఉన్న ధనధాన్యాల్ని, ధనుర్బాణాల్ని కాపాడుకుంటున్నావు కదా! నీ కోటలు అనేక యంత్ర సాధనాలతో కూడి దుర్భేద్యాలై శత్రు భయంకరాలై ఒప్పుతున్నాయి కదా.

ఓ ధర్మరాజా! దైవ బలాన్ని ముందుగా పొంది, బుద్ధిబలంతో అంతశ్శత్రువులైన కామక్రోధాదుల్ని, ఇంద్రియాల్ని జయించినావు కదా! ప్రపంచ ప్రసిద్ధి గల బలవంతుడివై మదం అనే మాలిన్యంతో గ్రుడ్డిదైన మనస్సు కలవాళ్ళు, మిక్కిలి మత్తెక్కిన వాళ్ళు. అయిన శత్రువుల్ని జయించాలన్న ఉత్సాహంతో ఉన్నావు కదా! నీవు దండెత్తడానికి ముందే బలవంతులైన శత్రురాజుల మీద సామదానాది చతుర్విధోపాయాల్ని చక్కగా ప్రయోగిస్తున్నావు కదా! నాస్తికత, అసత్యమాడటం, ఏమరుపాటు, సోమరితనం, తెలివితక్కువ వాళ్ళతో కార్యలోచన చెయ్యటం, అతి కోపం, అధికకాలం దుఃఖించటం,

చేయవలసిన పనిని గూర్చి అతి దీర్ఘంగా ఆలోచించటం, అలస్యంగా చేయటం, జ్ఞానాన్ని గుర్తించక పోవటం, రహస్య మంతనాలు బయట పడకుండా కాపాడుకోవటం, శుభకార్యాలు చెయ్యకుండటం, ఇంద్రియ సుఖాల్లో తగుల్కోటం వంటి రాజదోషాలను విడనాడినావు కదా! అని ఇలా నారద మహర్షి ధర్మరాజును అడిగి తెలుసుకున్నాడు.

ధర్మరాజు సమాధానం : నారదమునీంద్ర ! చేతనైనంత వరకు అన్యాయ మార్గాన్ని వదలి, మహాత్ముల చరిత్రల్ని ఆదర్శంగా ఉంచుకొని, మీ ధర్మ బోధవల్ల శుభాలైన వాటిని మనఃపూర్వకంగా ఆచరిస్తాను. అని వినయంగా ధర్మరాజు సమాధానమిచ్చాడు.

2. 'రాజనీతి' పాఠ్యాంశము ఆధారంగా నన్నయ కవితా రీతులను వివరింపుము.

జ. నన్నయ వేంగి దేశాన్ని పాలించిన రాజరాజనరేంద్రుని (క్రీ.శ. 1022- 1061) ఆస్థాన కవి. తెలుగులో గురు పద్య విద్యకు ఆధ్యుడు. విపుల శబ్దాశాసనుడు. లోకజ్ఞుడు, సత్ప్రతిభాభియోగ్యుడు. నన్నయ్య తెలుగు కవులకు ఆదికవి. భారతాంధ్రీకరణతో పాటు 'ఆంధ్రశబ్ద చింతామణి' అనే వ్యాకరణ శాస్త్ర గ్రంథాన్ని, లక్షణ సారమనే గ్రంథాన్ని రచించాడు. నన్నయ రచనలైన రాఘవాభ్యుదయం, ఇంద్రవిజయం, చాముండికావिलाసము అను కావ్యములు అలభ్యములు. తిక్కన నన్నయను ఆంధ్రా కవిత్వ విశారదుడు, శ్రీనాథుడు, ఆంధ్రాకవితా పట్టాభిషిక్తుడని, కవి సమ్రాట్ విశ్వనాథసత్యన్నారాయణ ఋషి వంటి నన్నయ రెండవ వాల్మీకి అని ప్రశంసించేరు.

మహాభారతం మహాకవులకు 'మహాకావ్యం' ధర్మ తత్వజ్ఞులకు ధర్మశాస్త్రము. ఇతిహాసికులకు ఇతిహాసము, పౌరాణీకులకు మతిపురాణము వేదవ్యాసమహర్షి సంస్కృతములో వ్రాసిన భారతములను తెనుగులో మొట్టమొదట ఆంధ్రీకరించిన కవి నన్నయ్య. ఆయన తన కవితా లక్షణాలను గురించి

సారమతిం గావీంద్రులు ప్రసన్న కథా కవితార్థయుక్తిలో
నారసిమేలునా, నితరు లక్షర రమ్యత నాదరింప, నా
నా రుచిరార్థ సూక్తినిధి నన్నయభట్టు తెనుంగునన్ మహా
భారత సంహిత రచన బంధురుడయ్యె జగద్ధితంబుగిన్

చెప్పుకున్నాడు. ఆయన కవితా లక్షణాలు మూడు.

1. ప్రసన్న కథా కలితార్థయుక్తి
2. అక్షర రమ్యత
3. నారారుచిరార్థ సూక్త నిధిత్వం

ప్రసన్న కథా కవితార్థయుక్తి : కలితార్థయుక్తిలో కథను ప్రసన్నముగా నడుపుటలో నన్నయ అగ్రగణ్యుడు 'రాజనీతి' పాఠ్యాంశములో ప్రత్యేకంగా కథలు లేవు. కాని..... పాఠ్య సారాంశములను ప్రారంభముగా ఖాండవ వనదహన సమయంలో కృష్ణార్జునులు 'మయుడ'ను రక్షించుట, దేవశిల్పి అయిన 'మయుడు' తనను రక్షించినందుకుగాను ఏదైనా కోరుకోమని కృష్ణార్జునులను ఆభ్యర్థించడం, అందుకు కృష్ణుడు 'మయనభి' ను నిర్మించమనటం 'రాజనీతి' పాఠ్యాంశమునకు ముందు, తరువాత గొప్ప కథా క్రమానికి శ్రీకారంగా ఈ పాఠ్యాంశమును పేర్కొనవచ్చు. నారదుడు ప్రత్యేకంగా ధర్మరాజులో రాజనీతి విషయాలను చర్చించడంలో ఎన్నెన్నో విశేషాలు, విషయాలను తెలుపుతూనే ధర్మరాజును ప్రశ్నించడం అనేది ఓ గొప్ప విశేషం. ఆయా సందర్భంలో వచ్చిన పద్యాలు నన్నయ కవితా రచనకు కథాక్రమానికి మచ్చుతునక. రాజనీతి మర్మాలను వివరించడంలో ఎన్నెన్నో రాజనీతి శాస్త్ర పరమైన ధర్మాలు సూత్రాలు, వాటి వెనుక రాజుగా ధర్మరాజుడు గ్రహించవలసిన మర్మాలు వంటివి నారదుడునిచే నర్మగర్భంగా నన్నయ పలికించడం పాఠ్యాంశములో చూడవచ్చు.

అక్షరరమ్యత : కవిత్వంలో శబ్ద సౌందర్యానికి అక్షర రమ్యత ఎంతగానో ఉపకరిస్తుంది. రసోచితమైన శబ్ద సంఘటనలో కవి ప్రతిభ వెల్లడి అవుతుంది. నారదుడు ధర్మరాజును అడిగిన, చెప్పిన రాజనీతి సూత్రాలలో ప్రతి పద్యంలోనూ అక్షర రమ్యత ప్రస్ఫుటమవుతుంది. చేసిన మేలు గుర్తించగల ప్రభువే ప్రజలనందరిని చక్కగా పరిపాలించగలడనే సత్యాన్ని 'అర్థాంతరన్యాసం' తో చెప్పిన విధాన్ని క్రింది పద్యంలో గమనించవచ్చు.

కృతమెఱిగి కర్తనుత్తమ

మతుల సభల సంస్తుతించి మఱవక తగున

తృతి సేయదే? కృతమెఱిగెడు

పతియె జగజ్జనుల నెల్లఁ బరిపాలించున్

ధర్మరాజు యొక్క సౌశీల్యం, వినయం వంటి వాటిని తెలియజేసే పద్యంలో అక్షర రమ్యతతో పాటు నాటకీయతను కూడా నన్నయ్య జోడించాడు.

నాయథాశక్తిజేసి యన్యాయ పథముఁ

బరిహరించి మహాత్ముల చరితలందు

బుద్ధి నిలిపి మీ యపదేశమున శుభంబు

లయిన వాని ననుష్ఠింతుఁ బ్రియముతోడ

ఈ పద్యంలో 'నాయథాశక్తిజేసి అనటంలో ధర్మరాజు వినయం, 'అనుష్ఠింతుఁ బ్రియముతోడ' అని పలకటంలో ఆయన ధర్మ ప్రయత్నం చక్కగా వ్యక్తమవుతున్నాయి. యథాశక్తి అవ్యయిభావ సమాసం. నన్నయ ఇట్టి వాటిని విశేష్యలుగా వాడుతుంటాడు. **నానారుచిరార్థ సూక్తినిధిత్వం:** ఈ పాఠ్యాంశ భాగములో ప్రత్యేకమైన సూక్తులు వంటివి లేవుగాని ధర్మరాజు, నారదుల మధ్య జరిగిన సంభాషణలో ఎన్నెన్నో మంచి మంచి విషయాలు నన్నయ వివరిస్తారు. రాజు ఎటువంటి గుణగణాలను కలిగి ఉండాలి. ఇంత చక్కని భవిష్యత్ దృష్టి, పాలనా దక్షత వంటి వారికి ఈ అంశాలు దోహదం చేస్తాయి. మొత్తం పాఠ్యాంశములో ఓ మంచి పరిపాలకుడిగా ఉండవలసిన న్యాయ, ధర్మ, మానవత విలువలతో కూడిన విషయాలను నారదుడు 'రాజనీతి' లక్షణాలతో మేళవించి ప్రశ్నలు రూపంలో తెలియజేస్తాడు.

ఈ విధంగా నన్నయ కథా కథన శైలిలో నాదాత్మకమైన అక్షరరమ్యతతో వివిధ ధర్మ సూక్ష్మాలను వెల్లడిస్తూ ' రాజనీతి' ని తీర్చిదిద్దాడు.

పాఠ్యభాగ సారాంశము : మయసభ భవనంలో ధర్మరాజు సోదరులు భార్యతో కలిసి ప్రవేశించారు. వివిధ లోకాలకు చెందిన దేవతలు, వివిధ దేశాధీశులు వచ్చి ధర్మరాజు ఇచ్చిన ఆతిథ్యం స్వీకరించి వెళ్ళారు. అనంతరం నారదుడు వచ్చి ధర్మరాజుతో రాజనీతి అంశములను గూర్చి చర్చించడం ఇందులో సారాంశం.

3. నారదుడు ధర్మరాజుకు చెప్పిన పరిపాలన పద్ధతులను వివరింపుము.

జ. పర్వత పారిజాత రైవత సుముఖులనే మహర్షులతో కలిసి వచ్చిన నారద మహామునికి ధర్మరాజు తమ్ములతో కూడా ఎదురేగి నమస్కరించాడు. ఉన్నతాననం మీద కూర్చుండ బెట్టాడు. అర్హు పాద్యాది పూజా విధానాలతో పూజించాడు. నారద మహర్షి పాండవులందరిని కుశల మడిగాడు. ప్రత్యేకించి ధర్మరాజుతో రాజనీతి విషయాలు చర్చించాడు.

ఓ ధర్మరాజా! రాజుకు విజయకారణం రహస్యసమాలోచనం. ఆ రహస్యాలోచనం నీ ప్రజల చెవిని పడకుండా పదిలంగా రక్షించుకుంటున్నావు కదా! నీ పురోహితుడు ధైర్యవంతుడు, ధర్మాధర్మాలు తెలిసినవాడు, వివిధ శాస్త్రాలు బాగా అధ్యయనం చేసినవాడు, రాగద్వేష రహితమైన సమచిత్తం కలవాడు అని అనదగినవాడే కదా! నీవు యజ్ఞాలలో నియమించిన యాజ్ఞకుడు యజ్ఞం చేయించటంలో నిపుణుడై రాగద్వేషరహితమైన సమబుద్ధితో తన కర్తవ్యాలను విస్మరించకుండా ఉన్నాడు కదా! పలు విధాలైన యుద్ధాలలో

విజయాన్ని సాధించటంలో నిపుణులైన వాళ్ళను, ఎదిరించ సాధ్యంకాని పరాక్రమం కలవాళ్ళను, విశ్వాస పాత్రులైన వాళ్ళను, గౌరవానికి అర్హులైన వాళ్ళను, నీ మేలు కోరే వాళ్ళను సైన్యాధ్యక్షులుగా నియమించావు కదా!

ఎక్కువ పలుకుబడి కలిగి, క్రియాశీలీ, సమర్థుడు అయిన మంత్రి తన పరిధి మీరి, ఇతర రాజపుత్రులను ధనవంతులను చేసి వారితో చేతులు కలిపి, నీకు వ్యతిరేకంగా ఏర్పడేటట్లుగా ఉండటం లేదు కదా! ధర్మరాజా! ధనం ఎటువంటి వారికైనా గర్వాన్ని, దురాశను కలిగిస్తుంది. నీ ఆస్థాన జ్యోతిష్కులు శాస్త్ర పాండిత్యం చేత, స్వీయ ప్రతిభ చేత దేవతా సంబంధాలు, అంతరిక్ష సంబంధాలు, భూ సంబంధాలు అయిన ఉత్పాతాలను కనిపెట్టి వాటికి విరుగుడుగా శాంతి క్రియాదులు జరిపించి, నీ చేత సన్మానాలు పొందుతున్నారు కదా! ఆయుర్వేదంలో సమర్థులైన వైద్యులు లోకానికి మేలు చేసే బుద్ధితో ప్రజల మీది ప్రేమతో ఆ వైద్య విధానంలో సేవలు చేస్తున్నారా? చక్కగా ఆలోచించి పెద్దల సేవ ద్వారా నీ మనోవ్యాధులను నిర్మూలించుకుంటూ, ఔషధ సేవలో శారీరక రుగ్మతలు రాకుండా నివారించుకుంటున్నారు కదా!

పన్నులు వసూలు చేయటం వంటి ధనార్జనా రూపమైన రాజకార్యాలతో అవినీతిపరులు, పక్షపాత బుద్ధి కలవాళ్ళు నియుక్తులైతే- ప్రభుత్వ కోశాగారానికి నష్టం వాటిల్లటమేకాక, ప్రభుత్వం మీద ప్రజలకు ద్వేష భావం పెరుగుతుంది. అందువల్ల అలాంటి ఉద్యోగ నియామకాల్లో ప్రభువు ప్రత్యేక శ్రద్ధ వహించాలి. వ్యక్తుల ఉత్తమ, మధ్యమ, అధమ యోగ్యతలను గుర్తించి, వారిని ఆయా ఉద్యోగాల్లో నియమించావు కదా! సేవకులందరికి, కొరతలేకుండా తగు జీతాలు దయతో సకాలంలో అందజేస్తున్నావు కదా! తాము పొందవలసిన సమయంలో జీతాలు పొందక శుష్కించే సేవకుల దారిద్ర్య దుఃఖాలు ప్రభువుకు, (అతడు దేవేంద్రుడైనా) తప్పక కీడు కలిగిస్తాయి. వంశపారంపర్యంగా వచ్చే మంచి సేవకులకు ప్రీతితో సమ్మానం చేస్తున్నావు కదా! వారు మనసారా నీ ఉపకారాన్ని స్మరించి యుద్ధ భూమిలో నీకై ప్రాణాలు ఒడ్డి యుద్ధం చేస్తారు గదా!

పుణ్యాత్ముడైన ఓ ధర్మరాజా! నీ కొరకు యుద్ధంలో మరణించిన వీర సైనికులు కుటుంబాలకు కూడు గుడ్డలు, లోటు లేకుండా, వాళ్ళ సంతోషం తగ్గకుండా పోషిస్తున్నావు కదా! ధనం పట్ల లోభబుద్ధి కలవాళ్ళని దొంగల్ని, స్నేహానికి యోగ్యులు కానివాళ్ళని, శత్రువుల పట్ల పక్షపాతం కలవాళ్ళని ధైర్యం చాలని వాళ్ళని, దుర్మార్గులైన వాళ్ళని రాజకార్యం నిర్వహించటానికి వంపండం లేదు కదా! ప్రజలకు దొంగభయం లేకుండా

నీవు రాజ్యాన్ని ఏలుతున్నావు కదా! నీ ప్రభుత్వోద్యమంలో ముఖ్యమైన వాళ్ళు ధనాశపరులై దొంగల దగ్గర డబ్బు పుచ్చుకొని వాళ్ళకు రక్షణ కల్పించటం లేదు కదా! భుజబలంతో నీవు పరిపాలిస్తున్న ఈ భూమిలో అనావృష్టి భయం లేకుండా చెరువులు నిండి ఉన్నాయి కదా! ఓ రాజా! ఉదారబుద్ధితో పేద రైతులకు ధాన్యపు విత్తనాలు, వర్తకులకు సులభ వడ్డీపై అప్పులు ఇస్తున్నావు కదా! కుంటి వాళ్ళను, మూగవాళ్ళను గ్రుడ్డివాళ్ళను, అంగవిహీనులైన వాళ్ళను, బంధువులు లేని వారిని దయతో పోషిస్తున్నావు కదా! భయంతో దుఃఖిస్తూ శరణు వేడిన పెద్ద శత్రువునైనా యుద్ధ భూమిలో కాపాడుతున్నావు కదా! చేసిన మేలు గుర్తించి, ఆ మేలు చేసిన వ్యక్తిని పదిమంది పెద్దలున్న సభల్లో ఉచితరీతిని సత్కరిస్తున్నావు కదా! చేసిన మేలు గుర్తించగల ప్రభులే ప్రజలనందరిని చక్కగా పరిపాలించగలడు.

ధర్మరాజా! ఆదాయంలో నాల్గవ భాగాన్ని లేదా మూడవ భాగాన్ని లేదా సగ భాగాన్ని మాత్రమే ఖర్చు చేయాలి కాని, అంతకుమించి చేయకూడదని గ్రహించావు కదా! ఆయుధశాలలు, ధనాగారాలు, అశ్వశాలలు, గజశాలలు, కోశాగారాలు, వీటి పాలన ఎంతో నమ్మదగిన వాళ్ళను నీ పట్ల భక్తిగల వాళ్ళను, సమర్థులైన వాళ్ళను నియమించావు కదా! ప్రజలంతా నిన్ను ప్రశంసించేటట్లుగా గురువుల్ని వృద్ధశిల్పుల్ని గొప్ప వ్యాపారుల్ని, బంధువుల్ని, ఆశ్రితుల్ని, సజ్జనుల్ని పేదరికం రాకుండా దయతో పోషిస్తున్నావు కదా! ఇష్టమైన మంత్రులు, బంధువులు, సైన్యాధిపతులు, రాకుమారులు పండితులు అధిక సంఖ్యలో ఆసీనులై ఉండగా ప్రపంచమంతా ప్రశంసించే విధంగా ప్రతిదినం నీవు కొలువు తీరుతున్నావు కదా! జాగ్రత్తగా గమనిస్తూ వెలుపల, లోపల ఉండే శత్రువుల నుండి నిన్ను నీవు రక్షించుకుంటూ, శత్రురాజుల ప్రవర్తనను గూఢచారులు అనే కళ్ళ ద్వారా కనుగొంటున్నావు కదా! గొప్ప పండితులతో కలసి, సర్వ ధర్మాల్లో నేర్పరివై, రాగద్వేషరహితమైన సమబుద్ధితో శ్రద్ధగా దయతో లోకవ్యవహారాలు విచారిస్తున్నావు కదా!

ప్రపంచమంతా వార్త మీదే నడుస్తుంది. అది లేకుంటే ప్రజలు చీకట్లో మునిగినట్లే. అందువల్ల ప్రభువు వార్తను బాగా నడపాలి. నీ రక్షణలోనున్న కోటలలో ఉన్న ధనధాన్యాల్ని, ధనుర్బాణాల్ని కాపాడుకుంటున్నావు కదా! నీ కోటలు అనేక యంత్ర సాధనాలతో కూడి దుర్భేద్యాలై శత్రు భయంకరాలై ఒప్పుతున్నాయి కదా.

నీవు దండెత్తడానికి ముందే బలవంతులైన శత్రురాజుల మీద సామదానాది చతుర్విధోపాయాల్ని చక్కగా ప్రయోగిస్తున్నావు కదా! నాస్తికత, అసత్యమాడటం, ఏమరుపాటు, సోమరితనం, తెలివితక్కువ వాళ్ళతో కార్యాలోచన చెయ్యటం, అతి కోపం, అధికకాలం దుఃఖించటం, చేయవలసిన పనిని గూర్చి అతి దీర్ఘంగా ఆలోచించటం, ఆలస్యంగా చేయటం, జ్ఞానుల్ని గుర్తించక పోవటం, రహస్య మంతనాలు బయట పడకుండా కాపాడుకోవటం, శుభకార్యాలు చెయ్యకుండాటం, ఇంద్రియ సుఖాల్లో తగుల్కోవటం వంటి రాజదోషాలను విడనాడినావు కదా! అని ఇలా నారద మహర్షి ధర్మరాజును అడిగి తెలుసుకున్నాడు.

ధర్మరాజు సమాధానం : నారదమునీంద్ర! చేతనైనంత వరకు అన్యాయ మార్గాన్ని వదలి, మహాత్ముల చరిత్రల్ని ఆదర్శంగా ఉంచుకొని, మీ ధర్మ బోధపల్ల శుభాలైన వాటిని మనఃపూర్వకంగా ఆచరిస్తాను. అని వినయంగా ధర్మరాజు సమాధానమిచ్చాడు.

1.11 సంగ్రహ ప్రశ్నలు

1. నారదుడు చెప్పిన 'పథ్యాలుగు రకాల' రాజ లక్షణాలను వివరించండి.

జ. నాస్తికత, అసత్యమాడటం, ఏమరుపాటు, సోమరితనం, తెలివితక్కువ వాళ్ళతో కార్యాలోచన చెయ్యటం, అతి కోపం, అధికకాలం దుఃఖించటం, చేయవలసిన పనిని గూర్చి అతి దీర్ఘంగా ఆలోచించటం, ఆలస్యంగా చేయడం, జ్ఞానుల్ని గుర్తించక పోవటం, రహస్య రచనలు బయట పడకుండా కాపాడుకోవటం, అశుభకార్యాలు చెయ్యకుండాటం, ఇంద్రియ సుఖాల్లో తగుల్కోవటం అనే పదునాలుగు రాజదోషాలను విడనాడావు కదా! అని నారద మహర్షి ధర్మరాజుతో రాజలక్షణాలను గూర్చి చెప్పాడు.

2. ధర్మరాజునకు నారదుడు చెప్పిన 'రాజనీతి' అంశములేవి?

జ. నారదుడు ధర్మరాజుకు రాజనీతి అంశములను వివరిస్తూ : రాజా! మీ వంశంలో జన్మించిన రాజశ్రేష్టులు ఏర్పరచిన ధర్మ పద్ధతిని ఆచరిస్తున్నావు కదా! ధర్మాన్ని తెలుసుకొని, ధర్మార్థ కామాలను కాలోచితముగా విభజించుకొని సేవిస్తున్నావు కదా! చేయదగిన రాజకార్యాల్ని స్వబుద్ధితో ఎల్లప్పుడూ అర్ధరాత్రి దాటిన తరువాతే ఆలోచిస్తున్నావు కదా! రాజుకు విజయకారణం రహస్యలోచనం. ఆ రహస్యాలోచనం నీ ప్రజల చెవిని పడకుండా పదిలంగా రక్షించుకుంటున్నావు కదా! నీ పురోహితుడు ధైర్యవంతుడు, ధర్మాధర్మాలు తెలిసినవాడు, వివిధ శాస్త్రాలు బాగా అధ్యయనం చేసినవాడు, రాగద్వేష రహితమైన సమచిత్తం కలవాడు అని అనదగినవాడే కదా! ఎక్కువ పలుకుబడి కలిగి, క్రియాశీలి, సమర్థుడు అయిన మంత్రి తన పరిధి మీరి, ఇతర రాజపుత్రులను ధనవంతులను చేసి

వారితో చేతులు కలిపి, నీకు వ్యతిరేకంగా ఏర్పడేటట్లుగా ఉండటం లేదు కదా! ధర్మరాజా! ధనం ఎటువంటి వారికైనా గర్వాన్ని, దురాశను కలిగిస్తుంది. పన్నులు పసాలు చేయటం వంటి ధనార్జనా రూపమైన రాజకార్యాలతో అవినీతిపరులు, పక్షపాత బుద్ధి కలవాళ్ళు నియుక్తులైతే- ప్రభుత్వ కోశానికి నష్టం వాటిల్లటమేకా, ప్రభుత్వం మీద ప్రజలకు ద్వేష భావం పెరుగుతుంది. అందువల్ల అలాంటి ఉద్యోగ నియామాకాల్లో ప్రభువు ప్రత్యేక శ్రద్ధ వహించాలి. పుణ్యాత్ముడైన ఓ ధర్మరాజా! నీ కొరకు యుద్ధంలో మరణించిన వీర సైనికులు కుటుంబాలకు కూడు గుడ్డలు, లోటు లేకుండా ఇచ్చి, వాళ్ళ సంతోషం తగ్గకుండా పోషిస్తున్నావు కదా! ప్రపంచమంతా వార్త మీదే నడుస్తుంది. అది నీకు ప్రజలు చీకట్లో మునిగినట్లే. అందువల్ల ప్రభువు వార్తను బాగా నడపాలి. ఓ ధర్మరాజా! దేశ కాల దైవ బలాన్ని ముందుగా పొంది, బుద్ధిబలంతో అంతశ్శత్రువులైన కామక్రోధాదుల్ని, ఇంద్రియాల్ని జయించి, ప్రపంచ ప్రసిద్ధి గల బలవంతుడివై మదం అనే మాలిన్యంతో గ్రుడ్డిదైన మనస్సు కలవాళ్ళు, మిక్కిలి మత్తెక్కిన వాళ్ళు. అయిన శత్రువుల్ని జయించాలన్న ఉత్సాహంతో ఉన్నావు కదా! అని అడిగి తెలుసుకొనెను.

3. 'వార్త' ను గురించి నారదుడు ఏమని పలికెను?

జ. ఓ ధర్మరాజా! "రాజు అనేవాడు వార్తలను నిర్వహించవలసి ఉంటుంది. రాజ్యంలో నిరంతరం జరిగేటటు వంటి అనేక అంశాలు అనుక్షణం రాజుకు చేరవేసేటట్టు వార్తాహరులను ఏర్పాటు చేసుకోవాలి. ప్రపంచమంతా వార్త మీదే నడుస్తుంది. అది లేకుంటే ప్రజలు చీకట్లో మునిగినట్లే. అందువల్ల ప్రభువు వార్తను బాగా నడపాలి". అని నారదుడు ధర్మరాజుతో వార్త యొక్క ప్రాధాన్యతను వివరించాడు.

4. 'రాజనీతి' పాఠ్యభాగ నేపథ్యమును వ్రాయుము.

జ. పర్వత పారిజాత రైవత సుముఖులనే మహర్షులతో కలిసి వచ్చిన నారద మహర్షికి ధర్మరాజు తమ్ములతో కూడా ఎదురేగి నమస్కరించాడు. ఉన్నతాననం మీద కూర్చుండ బెట్టాడు. అర్హు పాద్యాది పూజా విధానాలతో పూజించాడు. నారద మహర్షి పాండవులందరిని కుశల మడిగాడు. ప్రత్యేకించి ధర్మరాజుతో రాజనీతి విషయాలు చర్చించాడు.

1.12 అభ్యాసం

ఈ క్రింది సంగ్రహ ప్రశ్నలకు సమాధానములు వ్రాయుము.

1. శత్రువుల్ని జయించే లక్షణాలు ఏవి?
2. ఎనిమిది రకాల ఆయుర్వేద వైద్య చికిత్సలను వివరించండి.
3. ఎటువంటి వారిని మంత్రిగా నియమించు కోవాలి?

ఈ క్రిందివానికి సందర్భ సహిత వ్యాఖ్యలు వ్రాయుము.

1. నిపుణుల నర్థానాది నృపకార్యములన్
2. కృతము దలంచి ప్రాణములు విడుతురనిన్
3. యోగమునఁ జేసి వర్తిల్లుచున్న చెపుమ
4. వానిననుష్ఠింతుఁ బ్రియముతోడ

ఈ క్రింది పదములను విడదీసి సంధి నామములను వ్రాయుము.

1. దేవోత్తములు
2. సద్ధర్మమార్గము,
3. రాజాస్వయ,
4. పురోహితు డధిప,
5. దివ్యాంతరిక్ష
6. నరేంద్రోత్తమ,
7. పక్షమేర్పడ,
8. జగజ్జనులు,
9. శతైక వృద్ధి.

ఈ క్రింది పదములకు సమాస, విగ్రహ వాక్యములను వ్రాయుము.

1. ధర్మార్థ కామములు
2. పితృపితామహులు,
3. అష్టాంగములు,
4. జితేంద్రియుడు,
5. చోరభయము,
6. ధరణీశ,
7. శాస్త్రదృష్టి.

ఈ క్రింది పద్యములకు ప్రతిపదార్థతాత్పర్యములను వ్రాయుము.

1. బహుధనదాన్యసంగ్రహము _____ రక్ష్యములైన దుర్గముల్
2. వదలక బుద్ధిసంతరరి వర్గము _____ నింద్రియ నిర్జితాత్ములన్

విద్యార్థులకు సూచనలు

అభ్యాసం కోసం ఇచ్చిన అంశములను స్వంతంగా చేయగలరు.

గుర్తు ఉన్న పద్యములను కంఠస్థము చేయవలెను.

యూనిట్ - 2

దక్షయజ్ఞం నన్నెచోరుడు

2.1 ఉద్దేశం

అహంకారంతో విద్రవీగుతూ, ఇతరులను లెక్కచేయక అవమాన పరచే లక్షణం కలిగిన వాళ్ళు చివరికి వారే అవమానాల పాలవుతారని ఈ పాఠ్యాంశం ద్వారా తెలుసుకొనగలరు.

2.2 కవి పరిచయం

‘దక్షయజ్ఞం’ పాఠ్యభాగ రచయిత నన్నెచోరుడు. ఇతడు క్రీ.శ. 1130 కాలమునాటివాడు. ఇతని తల్లిదండ్రులు శ్రీసతి చోడబల్లి. తెలుగులో మార్గదేశీ పదములను కవిత్వ పరంగా వాడిన మొదటికవి ఈయన. కుమార సంభవము పీఠికలో మార్గ, దేశి భేదాలు కనిపిస్తాయి. సంస్కృత భాషా సాహిత్య లక్షణ ప్రభావంతో ఉభయ భాషాపండితులను ఉద్దేశించి నెరపిన కవితను మార్గ కవిత అని, జన సామాన్యంలో వ్యాప్తి కోసం వ్రాయబడిన కవితను దేశీ కవిత అని - ఈతని అభిప్రాయం. తెలుగులో తొలిసారిగా జాను తెనుగు, వస్తు కవిత అనే పదములను కూడా పేర్కొన్న కవి ఈయనే. నన్నెచోరుడు తెలుగు భాషలో స్వభావసిద్ధముగా వాడెడి సంస్కృత సమాసములు, జన సామాన్యమున వ్యవహరింపబడే దేశీ పదములతో కూడిన మంజులమైన, సరళమైన, ప్రసన్నమైన తెనుగును జాను తెలుగు అని, వస్తు ప్రధానమైన కవితను వస్తు కవిత అని ఈ కవి ప్రతిపాదన. ఈయన “కుమారసంభవం” రచన శివపురాణములోని కథకు ప్రబంధానుకూలంగా మార్పులు చేశాడు. దక్షయజ్ఞం అనే ఈ పాఠ్యభాగం కుమార సంభవము ద్వితీయాశ్వాసము నుండి గ్రహింపబడినది.

దక్షుడు తన కుమార్తెల కాపురములను చూడడానికి బయలుదేరెను. తన అల్లుడైన శివుడు తనను సత్కరించి తగిన మర్యాదలు చేయని కారణంగా అతనిని అవమానించడానికి దక్షుడు యజ్ఞము నిర్వహించదలచాడు.

2.3 పాఠ్యభాగము

- మ. ప్ర. వివిధాస్రానీక జాతావిరల బహు లనద్విస్ఫులింగాగ్నియుం ద,
త్పవమానాహారవక్త్ర ప్రకటిత విషవిభ్రాజితో గ్రానలంబున్
సవికారాత్మాతికోపోజ్జ్వలతర విపులజ్వాలియుం గూడివర్సెన్
భవభాలాభీల నేత్రోద్భవశిఖిశిఖలన్ బద్మజాండంబుదాకన్ 49
- వ. తదవసరంబున 50
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- ఉ. వీందె ఖలుండు దక్షుం డను వీటిడి పాణుడు వీండు సర్వ వ
ధ్యుండెడసేయ కుండు శివదూషకు నాలుక గోసి యుప్పునిం
పుండు ద్రపుద్రవంబాడల బూయుడు లోహము గాచి నోరబో
యుండు దూరాత్మచర్మపట మొల్వుడు గన్నులు మీటుండుకృత్ 82
- వ. అని యనేక ప్రకారంబులం బలుకుచు నారకోచితదండంబుల దండించి
నిజాధీశ్వరుండైన గణాధీశ్వరున కొప్పించి తన్ని యోగంబున 83
- అ. ప్రమథగణము దక్షుం బడగొట్టి కట్టుచుం
గాలుం జేయు బడయంగావడించి
మనుమృగంబు గట్టికొనివచ్చు బలువేట
కాటువోలె వచ్చి కనిరి శంభు 84

వ. తదవసరంబున

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సీ. ఉరుశోక రసవార్ధి యుష్పాంగెననమేన
ఘర్మాశుజలములు గడలుకొనంగ
గడిసన్నతమ్మి బాం కడరెనో యనదీన
వదనంబుపై నెఱుల్ సెదరి తూల
ముఖలక్ష్మి భీతిం దమోవీధిం జొచ్చెనా
జాలియ విరివేణి వ్రేలుచుండ
గవవాసి యలదురు కలహంసరుతము నా
నా క్రంద నారావ మతిశ యిల్లన్

ఆ. దొడరు నడుగు లిడుచు దుఃఖాతిశయమున
దల్లడిల్లుచున్న దక్షు ధర్మ
పత్నివచ్చి పురుష భైక్షంబు వేడుచు
జాలి దవుల నభవు మ్రోలం బడియె

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2.4 పాఠ్యాంశ పరిచయం

దక్షుడు చేస్తున్న యజ్ఞానికి అతని కుమార్తె అయిన దాక్షాయణి భర్త అయిన శివుని అనుమతి కోరి వెళ్ళింది. యజ్ఞ నిర్వహణ ప్రదేశంలో బ్రహ్మ, విష్ణువు తదితర దేవతలు హాజరయినారని పార్వతి తెలుసుకొంది. యజ్ఞ వాటికనందు తన భర్త అయిన శివుడు యజ్ఞ సమయంలో పూజార్హుడు కాదా? అని ప్రశ్నిస్తుంది. ఇది తప్పని చెప్పింది. కాని దాక్షాయని మాటలను విష్ణువు, బ్రహ్మతో పాటు మునీశ్వరులు, దేవతలు అందరూ దక్షునితో చర్చించారు. కాని ఇది దక్షునికి ఆగ్రహం కలిగించింది. దక్షుడు శివుని వివిధ రకాలుగా నిందించాడు. తన ముందే త్రిమూర్తులలో ఒకరైన శివుని నిందించటం సహించలేని దాక్షాయని అగ్నిని సృష్టించుకొని అందులో తనను తాను ఆహుతి చేసుకుంది. నారదుని ద్వారా ఈ విషయం తెలుసుకున్న శివుడు ఉగ్రుడయినాడు. అతని కోపాగ్ని జ్వాలలు అంతటా వ్యాపించాయి. ప్రమధగణాలు కలవరపడి శివుని వద్దకు బయలుదేరారు. శివుడు విశ్వాన్ని దగ్ధం చేస్తానని ఉగ్రుడై పలికాడు. అంతటి అతని కుమారుడు, గణములకు అధిపతి అయిన గణపతి ముందుకు వచ్చి ఈ కోపానికి కారకుడయిన దక్షుని అంతం చేసే పని తాను పూర్తి చేస్తానని అనుమతి కోరినాడు. శివుడు గణపతి దక్షత తెలిసిన వాడై అనుమతినిచ్చాడు. గణపతి మిగిలిన గణములతో కూడి దక్షుడు చేస్తున్న యజ్ఞ వాటికను చేరుకున్నాడు.

‘దక్షయజ్ఞం’ అనే ఈ పాఠ్యభాగం నన్నెచోడుడు రచించిన కుమార సంభవము ద్వితీయాశ్వాసమునుండి గ్రహింపబడినది.

కఠిన పదాలకు అర్థాలు:

వివిధ + అస్త్ర = వివిధాస్త్రా	=	వివిధములైన అస్త్రములు
భవభాలాభీల	=	శివుడు పుట్టిన కనులు వెలుగులు జిమ్మే
నేత్ర	=	కనులు (నేత్రములు)
ఉద్భవ	=	ఉద్భవించిన
శిఖిఖిలన్	=	అగ్నికీలలు
పద్మజాండంబు	=	బ్రహ్మాండము
ఖురపదఘట్టన	=	పాదాలకున్న డెక్కల తాకిడివలన
ధరణి	=	భూమి
క్రుంగ	=	క్రుంగ
ఫణీంద్రుడు	=	నాగరాజు
ఉగ్గునుగ్గుగా	=	చిద్రమవగా (ముక్కలుగా)
పయోనిధులు	=	సముద్రములు
పారిబౌరి	=	తునియలు
త్రుంగ	=	ముక్కలు
శృంగహతి	=	కొమ్ములతాకిడి
నజాండము	=	లోకము (విశ్వము)
వృషభంబు	=	ఎద్దు (నంది)
త్రిలోక	=	మూడు లోకములు
హరి	=	విష్ణువు
మర్ధించు	=	సంహరించు
పరిమార్చు	=	వధించుట
విరూపాక్షుండు	=	శివుడు
జలజభవాండ	=	బ్రహ్మ విశ్వము
జర్ఘంతం	=	కంపించుట
కులగిరులు	=	సప్తకుల పర్వతాలు

ఉర్వి	=	భూమి
జగంబు	=	విశ్వము
అబ్దులు	=	సముద్రములు
కంజభవాండము	=	బ్రహ్మాండము
ఇప్పుడు	=	ఇప్పుడే
సంహరించెదన్	=	నాశనం చేస్తాను.
ఇల్లేర్లునట్లు	=	ఇల్లును పీకినట్లు
జగము	=	విశ్వము
పట్టితెచ్చెద	=	పట్టుకొని వస్తాను.
ములుక	=	ముల్లు
కుటుమతి	=	అధికము(పోగు)
అస్మదీయ	=	నా యొక్క
జననీ	=	తల్లి
పరాభవం	=	అవమానం
అవశ్యంబుగ	=	తప్పనిసరి
గణాధీశ్వరుడు	=	గణములకు అధినేత గణపతి
ఆడరి	=	ఆ విధముగా
క్రతురక్షకులు	=	యజ్ఞములను నిర్వహించేవాడు
వేదికలు	=	మండపాలు
ఋత్విగణంబులు	=	యజ్ఞం చేసే వారి బృందాలు
జిహ్వ	=	నాలుక
ప్రయ్యాలు	=	ముక్కలు
అతిభీషణ	=	భయంకరంగా
కబ్బిగింపక	=	ఎదుర్కోనలేక
వనజగరుడు	=	బ్రహ్మ
మరాళము	=	హంస
గలచికొని	=	కఱచుకొని
కెందెమ్మి	=	ఎఱ్ఱని కలువ
చక్ర	=	విష్ణువు

చాపము	=	ఇంద్రధనస్సు
శ్వేతనాగము	=	కైలాస పర్వతం
సహస్రాక్షుండు	=	వేయి కనులు కలవాడు ఇంద్రుడు
సంభ్రమము	=	అశ్చర్యము (భయము వలన)
ఉరుతర+ అబ్ధీశుడు	=	సముద్రముకు నీరు నిచ్చే వరుణుడు
నోడిక	=	ఎండిపోయిన
మానిసి	=	(మనిషి) నరుడు
మూపు	=	భుజం
పఱచే	=	పరుగెత్తి
ధనపతి	=	కుబేరుడు (కుబేరుని వాహనం మనిషి)
సురాసరోరగ	=	దేవతలు, రాక్షసులు, నాగులు
ఖలుడు	=	రాక్షసుడు (దుర్మార్గుడు)
సురమునిజనంబు	=	దేవతలు, మునులు, మిగిలిన జనం
కని	=	చూచి
ఉరు శోకరవార్ధి	=	కన్నీటి సముద్రం
ఘర్మాశుజలము	=	కన్నీరు, చెమటకుసిన
వదనంబుపై	=	పెదవులపైన
ధర్మపత్ని	=	భార్య
వేడుచు	=	వేడుకొనుచు
దుఃఖాతిశయము	=	విపరీతిమైన దుఃఖములో
ప్రభువు	=	శివుడు
మ్రోల	=	పాదాలు
ఉద్రపుద్రవము	=	ఉల్లినీరు (ఉల్లరసం)

2.5 ప్రతిపదార్థ - తాత్పర్యాలు

- జలజభవాండ మంతయును జర్జరితం బగుచుండ ప్రచ్ఛిమున్
గులగిరు లుర్విమీంద వాడిఁగూలఁగఁ ద్రోచిజగంబులబ్ధులం
గలిపి మహాబ్ధులన్నియును గంజభవాండముమేర కక్కడన్
వెలువడఁజల్లి రౌద్రగతి విశ్వము నిప్పుడ సంహరించెదన్

కవిపరిచయం : ఈ పద్యం ' దక్షయజ్ఞం' అనే పాఠ్యభాగంలోనిది. కవి నన్నెచోరుడు రచించిన 'కుమారసంభవం' ద్వితీయాశ్వాసము నుండి గ్రహింపబడినది.

సందర్భం : శివుని భార్య అయిన ద్రాక్షాయని అగ్నిని సృష్టించుకొని తనకు తాను ఆహుతి అయినదని నారదుని ద్వారా విన్న శివుడు ఇందుకు కారణమైన దక్షుడిని సంహరిస్తానని ఉగ్రరూపుడై పలికిన సందర్భం.

ప్రతిపదార్థం:

జలజ భవాండము	=	బ్రహ్మాండము
అంతయును	=	అంతయును
జర్జితంబగుచుండ	=	శిథిలమగుచుండగా
వచ్చి	=	చీల్చి
కులగిరులు	=	పర్వతాలు
ఉర్వి	=	భూమి
పడి	=	పడినట్లుగా
కూలగద్రోచి	=	కూలినట్లుగా తోసివేసి
జగంబులు	=	లోకములు
మహాబ్దులు	=	సప్త సముద్రములు
కక్కడన్	=	తారుమారు
వెలువడ	=	కనబడేవిధంగా
చల్లి	=	శివుడు
కంజభవాండము	=	విశ్వము అంతటా
రౌద్రగతి	=	మహావేశము (మిక్కిలి ఆవేశముతో)
విశ్వమును + ఇప్పుడే	=	ఈక్షణమే ప్రపంచమును
సంహరించెదన్	=	నాశనం చేస్తాను.

తాత్పర్యం: శివుడు దక్షునిపై గల కోపంతో సముద్రాలు, మహా సముద్రాలు, కుల పర్వతాలు కలిగిన బ్రహ్మాండము ఇప్పుడే నాశనం చేస్తానని ఉగ్రుడై పలుకుచుండెను.

సంధులు:

జలజ + భవాంబము	=	జలజభవాండము	-	సవర్ణదీర్ఘసంధి
కులగిరులు+ ఉర్వి	=	కులగిరులుర్వి	-	ఉత్వసంధి

$$\begin{aligned} \text{మహా} + \text{అబ్బలు} &= \text{మహాబ్బలు} & - & \text{సవర్ణదీర్ఘసంధి} \\ \text{కూలగ} + \text{త్రోచి} &= \text{కూలగద్రోచి} & - & \text{సరళాదేశ సంధి} \end{aligned}$$

సమాసములు :

$$\text{జలజభవుడు} = \text{జలజము నుండి పుట్టినవాడు (బ్రహ్మ)} - \text{బహువ్రీహి సమాసము}$$

$$\text{మహాబ్బలు} = \text{గొప్పదైన సముద్రాలు} - \text{విశేషణ పూర్వపద సమాసము}$$

$$\text{జగంబులబ్బలు} = \text{జగంబులు, మరియు అబ్బలు} - \text{ద్వంద్వ సమాసము}$$

ఛందస్సు:

ఈ పద్యం చంపకమాల వృత్తమునకు చెందినది.

ఇందు న జ భ జ జ జ ర అనే గణాలు ఉంటాయి.

మొత్తం అక్షరాల సంఖ్యం - 21

1-11 అక్షరాలకు యతి కుదురుతుంది.

2. స్థూలసమున్నతాంగులు చతుర్భుజ పాలతటాక్ష శూలకా
పాలకరోరకార్ముక కృపాణధరుల్ ప్రమథాధినాథులా
భీల పరాక్రముల్ నిఖిల భీకర మూర్తులు వచ్చి రోలింగం
కాలసమేతులై భువనకంపముగా గణనాథు పాలికిన్

కవిపరిచయం : ఈ పద్యం ‘ దక్షయజ్ఞం’ అనే పాఠ్యభాగంలోనిది. కవి నన్నెచోరుడు రచించిన ‘కుమారసంభవం’ ద్వితీయాశ్వాసము నుండి గ్రహింపబడినది.

సందర్భం : దక్షుని సంహరించుటకు తండ్రి అయిన శివుని అనుమతితో గణాధిపతి అయిన గణేశ్వరుడు బయలుదేరాడు. అతని అనుసరిస్తూ గణాధీశులందరూ తమ తమ పరివారంలో ఆయుధాలను ధరించి భూమి కంపించే విధంగా సన్నద్ధం అయిన సందర్భం.

ప్రతిపదార్థం :

$$\text{స్థూలసమున్నతాంగులు} = \text{బలమైన, ఎత్తైన శరీరములు గల పరాక్రమమునందు}$$

$$\text{చతుర్భుజులు} = \text{చతురమైన భుజబలము కలిగినవారు}$$

$$\text{పాలతటాక్షుడు} = \text{సుదిట్టియందు శూలము ముద్రలుగా కలిగినవారు}$$

కరోర కార్ముక	=	కరినమైన బాణము
కృపాణధారుల్	=	కత్తులన్ చేత ధరించినవారు
ప్రమధ + అధినాథులు	=	ప్రమధ గణాదులు
లాభీల పరాక్రమము	=	భయంకరమైన వీరత్వము
నిఖిల	=	ఎదుర్కోనే
భీకర	=	భయంకరమైన
మూర్తులు	=	ఆకారము కలిగినవారు
భువన కంపంభముగా	=	లోకములు కంపించే విధముగా
కంకాల సమేతులై	=	అస్థి పంజరముబోలు ఆయుధాలతో వచ్చారి
వోలి	=	వెంటనే
గణనాథులు	=	గణములకు నాధుడైన గణపతి
పారికిన్	=	విఘ్నేశ్వరుని వద్దకు
వచ్చిరి	=	చేరారు.

తాత్పర్యం : శివుడు దక్షున్ని సంహరించుటకు గణపతికి అనుమతి ఇవ్వగా మిగిలిన గణములు వారివారి అనుచరులైన నుదిటిపై శూలము చిహ్నమైన బొట్టును ధరించినవారు, చతురస్రకారముగా బొట్టు ధరించినవారు, తమ వద్ద ఉన్న ఎముకల గూడు వంటి అస్థి పంజరాలతో తయారు చేయబడిన ఆయుధములు గలవారు గణపతి వద్దకు వచ్చారు. వారి యొక్క ఆకారాలు భయంకరంగా ఉన్నాయని భావం.

సంధులు:

సమున్నాతాంగులు	=	సమున్నత + అంగులు	=	సవర్ణదీర్ఘసంధి
ప్రమధాధినాథులు	=	ప్రమధ + అధినాథులు	=	సవర్ణదీర్ఘసంధి
వచ్చిరోలి	=	వచ్చిరి + వోలి	=	ఇకార

సహసములు :

ఉన్నతాంగులు	=	ఉన్నతమైన అంగములు కలిగినవారు	=	బహుప్రీహి
భీకరమూర్తులు	=	భీకరమైన ఆకారముగలవారు	=	విశేషణ పూర్వ
గణనాథు పారికిన్	=	గణనాథుని వద్దకు	=	ద్వితీయ
చతుర్భుజము	=	నాలుగు భుజములు	=	ద్విగు

ఫందస్సు : ఈ పద్యము ఉత్పలమాల వృత్తముకు చెందినది.

ఇందు భ ర న భ భ ర వ అనే గణములు ఉంటాయి

1-10 అక్షరాలకు యతి వర్తిస్తుంది.

మొత్తం అక్షరాల సంఖ్య

3. ఖురపదఘట్టనన్ ధరణిగ్రుంగ ఫణీంద్రుడునుగ్గు నుగ్గుగా
బరువడి నూర్వులందెరలి పాఱబయోనిధులుం గులాద్రులుం
బొరిబొరిద్రుంగ శృంగహతిఁ బొందదివంబునజాండమున్ మహే
శ్వరు వృషభంబు నాక్షణమ వచ్చెద్రిలోక భయంకరాకృతిన్

కవిపరిచయం : ఈ పద్యం ' దక్షయజ్ఞం' అనే పాఠ్యభాగంలోనిది. కవి నన్నెచోరుడు రచించిన 'కుమారసంభవం' ద్వితీయాశ్వాసము నుండి గ్రహింపబడినది.

సందర్భం : దక్షుని సంహరించుటకు తండ్రి అయిన శివుని అనుమతితో గణాధిపతి అయిన గణేశ్వరుడు బయలుదేరాడు. అతని అనుసరిస్తూ గణాధీశులందరూ తమ తమ పరివారంలో ఆయుధాలను ధరించి భూమి కంపించే విధంగా సన్నద్ధం అయిన సందర్భం.

ప్రతిపదార్థం :

మహేశ్వరువృషభంబు	=	శివుని వాహనమైన నందీశ్వరుడు
అక్షణంబు	=	ఆ సమయంలో
ఖురపదఘట్టనన్	=	గిట్టలతోడి కాళ్ళ రాయిడిచే
ధరణిక్యంగ	=	భూమిఅడగగా
ఫణీంద్రుడు	=	సర్పరాజగు ఆదిశేషుడు
నుగ్గునుగ్గుగా	=	తెగలుతెగలుగా
కొరవడి నూర్వులన్		
తెరలి	=	త్వరతిగతిని (నిట్టూర్పులు) బుసలుకొట్టునట్లుగా
పయోనిధులన్	=	సముద్రములు
కులాద్రులన్	=	కులపర్వతములు
బొరిబొరి	=	సుడులుతిరుగునట్లుగా

శృంగహతిచే	=	కొమ్ములతాకిడిచే
త్రుంగ	=	కూలినట్లుగా
పొంద	=	పొందినట్లుగా
దివంబుఆజాండమున్	=	సమస్తలోకములు
త్రిలోక భయాంకరాకృతిన్	=	ముల్లోకములు భయపడునట్లు కోపముతో
వచ్చె	=	వచ్చినది

తాత్పర్యం : శివుని వాహనమైన నందీశ్వరుడు గిట్టలతోడి పాదములు త్రొక్కిడిచే భూమి ఆ సర్పరాజగు ఆదిశేషుడు పిండిపిండికాగా, సముద్రములు వేగముగా సుడులు తిరుగునట్లుగా, కులపర్వతములు తునకలు కాగా, బ్రహ్మాండము కొమ్ముల దెబ్బను పొందగా, ముల్లోకములు భయపెట్టునట్లు రూపముతో వచ్చినది.

విశేషాంశం : కులాద్రులు అనగా మహేంద్రము, మలయము, సైహ్యద్రి, శక్తిమంతము, గంధమాదనము, వింధ్యము, పారీయాత్రము అను ఏడు.

సంధులు :

ఫణీంద్రుడు	=	ఫణి+ ఇంద్రుడు	=	సవర్ణదీర్ఘసంధి
కులాద్రులు	=	కుల+ అద్రులు	=	సవర్ణదీర్ఘసంధి
మహేశ్వరుడు	=	మహా+ ఈశ్వరుడు	=	గుణసంధి
భయంకారకృతిన్	=	భయంకర+ ఆకృతిన్	=	సవర్ణదీర్ఘసంధి

సమాసములు :

ఫణీంద్రుడు	=	ఫణులలో ఇంద్రుడు	=	షష్ఠీ తత్పురుష
శృంగహతి	=	శృంగము వలన హతి	=	పంచమి తత్పురుష

4. హరిమర్ధింతు మొ, బ్రహ్మబట్టుడు మొ, యింద్రాద్యష్టదిక్పాలురం
బరిమార్పన్ వధియింతుమో త్రిదశులన్ భంజింతుమోలోకసం
హరణం బిప్పుడ చేయనెత్తుడు మొ విశ్వాధీశ్వరుండిశుండె
వ్వరిపై నల్లెనో చూడుం డంచు బ్రమథవ్రాతంబు రౌద్రాకృతిన్

కవిపరిచయం : ఈ పద్యం ' దక్షయజ్ఞం' అనే పాఠ్యభాగంలోనిది. కవి నన్నెచోరుడు రచించిన 'కుమారసంభవం' ద్వితీయాశ్వాసము నుండి గ్రహింపబడినది.

సందర్భం : దక్షుని సంహరించుటకు తండ్రి అయిన శివుని అనుమతితో గణాధిపతి అయిన గణేశ్వరుడు బయలుదేరాడు. అతని అనుసరిస్తూ గణాధీశులందరూ తమ తమ పరివారంలో ఆయుధాలను ధరించి భూమి కంపించే విధంగా సన్నద్ధం అయిన సందర్భం.

ప్రతిపదార్థం :

ప్రమథవ్రాతంబు	=	ప్రమథగణములు
రౌద్రాకృతిన్	=	ఉగ్రరూపులై
హరిమర్ధింతుమో	=	విష్ణువుని సంహరింతుమో
బ్రహ్మన్బట్టుదుమో	=	బ్రహ్మనుబంధించెదామా?
ఇంద్రాది	=	ఇంద్రుడు మొదలైన
అష్టదిక్పాలురన్	=	ఎనిమిది మంది దిక్పాలకులను
పరిమార్చన్	=	వధింతుమో
త్రిదశులన్	=	దేవతలు
భంజితుమో	=	మట్టుపెట్టుదేమో
లోకసంహరణంబు	=	ముల్లోకముల సంహరణము
ఇప్పుడాచేయునెత్తుదము	=	చేయుదమా?
విశ్వాధీశుండు	=	విశ్వమునకు నాధుడైన
ఈశుండు	=	శివుడు(విశ్వేశ్వరుడు)
ఎవ్వరిపైన	=	ఎవ్వరిపై
అలెన్	=	కోపించెన్
చూడుడు	=	తెలుసుకొనండి

తాత్పర్యం : విష్ణువును మర్ధింతుమో, బ్రహ్మను బంధింతుమో, ఇంద్రుడు మున్నగు ఎనిమిదిమంది దిక్పాలకులను చంపుదమో. దేవతలను సంహరింతుమో, ఇప్పుడే లోకనాశనము చేయ దండెత్తిపోవుదమో, విశ్వేశ్వరుడైన శివుడు ఎవరిపై కోపించెన్ తెలుసుకోదని ప్రమథగణములు ఉగ్రరూపులైరి.

విశేషాంశం : అష్టదిక్పాలకులు అనగా ఇంద్రుడు, అగ్ని, యముడు, వరుణుడు, వాయువు, నికృతి, కుబేరుడు, ఈశాణుడు.

సంధులు :

$$\begin{aligned} \text{విశ్వాధీశ్వరుడు} &= \text{విశ్వ} + \text{అధీశ్వరుడు} &= \text{సవర్ణదీర్ఘసంధి} \\ \text{రౌద్రాకృతిన్} &= \text{రౌద్ర} + \text{ఆకృతిన్} &= \text{సవర్ణదీర్ఘసంధి} \end{aligned}$$

సమాసములు :

$$\begin{aligned} \text{అష్టదిక్పాలకులు} &= \text{ఎనిమిది దిక్పాలకులు} &= \text{ద్విగు సమాసము} \\ \text{విశ్వాధీశ్వరుడు} &= \text{విశ్వమునకు అధీశ్వరుడు} &= \text{షష్ఠీతత్పరుష సమాసము} \\ \text{రౌద్రాకృతిన్} &= \text{రౌద్రమైన ఆకృతితో} &= \text{విశేషణ పూర్వపద సమాసము} \end{aligned}$$

2.6 సందర్భ సహిత వ్యాఖ్యలు

1. వెలువడఁజల్లి రౌద్రగతి విశ్వము నిప్పుడ సంహరించెదన్

కవిపరిచయం : ఈ వాక్యము ‘దక్షయజ్ఞం’ అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నెచోడుడు రచించిన ‘కుమార సంభవం’ ద్వితీయాశ్వాసము నుండి తీసుకోబడినది.

సందర్భం : తన భార్య అయిన దాక్షాయని దక్షయజ్ఞ వాణీకయందు అగ్నిని సృష్టించుకొని, ఆత్మాహుతి చేసుకున్నదన్న వార్తను నారదుని ద్వారా విన్న శివుడు కోపముతో ఈ విశ్వమును ఇప్పుడే నాశనం చేస్తానని రౌద్రంగా పలికిన సందర్భం.

భావం : రుద్రుని అగ్రహము నుండి వెలువడిన అగ్ని జ్వాలలు వలన విశ్వం అతలాకుతలం కాసాగెను.

2. ఎలుక మీది కోపమున నిల్లేర్చునట్లు

కవిపరిచయం : ఈ వాక్యము ‘దక్షయజ్ఞం’ అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నెచోడుడు రచించిన ‘కుమార సంభవం’ ద్వితీయాశ్వాసము నుండి తీసుకోబడినది.

సందర్భం : శివుని కోపకారకుడు దక్షుడని తెలుసుకొన్న ప్రమథగణాలు దక్షుని సంహరించుటకు మీరెందుకు, మేము వెళతామని అనుమతి కోరిన సందర్భం.

భావం : అల్పుడయిన దక్షుని, వధించుటకు శివుని వంటివాడు పోవలెనా? ఎలుకను చంపటం కోసం ఇల్లు కూల్చుకోవటం ఎందుకని భావం

3. ఉప్పు బెటికి వోలె వెఱచి పఱచెజముడు

కవిపరిచయం : ఈ వాక్యము 'దక్షయజ్ఞం' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నెచోడుడు రచించిన 'కుమార సంభవం' ద్వితీయాశ్వాసము నుండి తీసుకోబడినది.

సందర్భం : శివుని అనుమతితో ప్రమధగణాలతో గణపతి దక్షయజ్ఞ వాటికను నాశనం చేసిన సందర్భంలో బ్రహ్మ, విష్ణు తదితరులు భయపడిరి. వీరితో వచ్చిన యముడు పిరికివానివలె పారిపోయెను అనునది సందర్భం.

భావం : ఉప్పు బస్తాను మీదను వేసికొన్న విధంగా యముని తనపై వేసుకొన్న అతని వాహనమైన దున్నపోతు పరుగుతీసెను.

4. వేట కాలు వోలె వచ్చి కనిరిశంభు

కవిపరిచయం : ఈ వాక్యము 'దక్షయజ్ఞం' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నెచోడుడు రచించిన 'కుమార సంభవం' ద్వితీయాశ్వాసము నుండి తీసుకోబడినది.

సందర్భం : ప్రమధ గణములతో వెళ్ళిన గణపతి దక్షుని బంధించి శివుని వద్దకు తీసుకు వచ్చిన సందర్భం.

భావం : దక్షుని పట్టుకొని కాళ్ళు చేతులు విరిచికట్టి కావడిగా కట్టి, వేటగాండ్రు మోసుకువచ్చిన విధంగా ప్రమధ గణములతో గణపతి శివుని వద్దకు చేరిరి.

5. జాలిదవుల సభపుమ్రోలఁబడియె

కవిపరిచయం : ఈ వాక్యము 'దక్షయజ్ఞం' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నెచోడుడు రచించిన 'కుమార సంభవం' ద్వితీయాశ్వాసము నుండి తీసుకోబడినది.

సందర్భం : దక్షున్ని బంధించి గణపతి శివుని వద్దకు తీసుకురాగా దక్షుని భార్య కన్నీటితో తనకు పతిభిక్ష పెట్టమని శివుని వేడుకొను సందర్భం.

భావం : కన్నీటితో దక్షుని భార్య ప్రభువయిన శివున్ని పతి భిక్షపెట్టమని ప్రార్థించెను.

6. నన్నుఁ బనుపు దక్షుఁబట్టి తెచ్చెదన్

కవిపరిచయం : ఈ వాక్యము 'దక్షయజ్ఞం' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నెచోడుడు రచించిన 'కుమార సంభవం' ద్వితీయాశ్వాసము నుండి తీసుకోబడినది.

సందర్భం : దక్షున్ని బంధించి గణపతి శివుని వద్దకు తీసుకురాగా దక్షుని భార్య కన్నీటితో తనకు పతిభిక్ష పెట్టమని శివుని వేడుకొను సందర్భం.

భావం : గణపతి తండ్రితో నన్ను పంపండి దక్షుని పట్టి తెచ్చెదను అనెను.

2.7 పాఠ్యభాగసారాంశము

దక్షుడు తన కుమార్తెల కాపురములను చూడడానికి వెళ్ళాడు. అందరి దగ్గర ఎంతగానో గౌరవింపబడి, సత్కారములందుకొన్న దక్షుడు - తన అల్లుడైన శివుడు మాత్రం తనను సత్కరించలేదు. ఇది దక్షునికి అవమానంగా తోచింది. శివుని తక్కువ చేసేందుకు అతనిని ఆహ్వానించకుండానే దక్షుడు యజ్ఞం చేయదలిచాడు. యజ్ఞ కార్యక్రమాలు ప్రారంభమయాయి. సమస్త దేవతలను, అష్టదిక్పాలకులను, ఋషులు, యక్ష కిన్నెర గంధర్వ కింపురుషాది వర్గాలను ఆహ్వానించాడు అల్లుడయిన శివునికి ఆహ్వానం పంపలేదు. అతను చిరునవ్వుతోనే మిన్నకుండిపోయాడు. కాని.... పార్వతి తన పుట్టింటి వారు చేస్తున్న యజ్ఞమునకు వెళ్ళి దలచుకుంది. పిలువని పేరంటం అవమానకరమని రుద్రుడు తన భార్య అయిన దాక్షాయనిని హెచ్చరించాడు. అయినా ఆమె వెళ్ళాలనే వాంఛను కనబరిచింది. శివుడు కాదనలేకపోయాడు.

యజ్ఞవేదిక వద్దకు వెళ్ళిన దాక్షాయని తండ్రిని చూసింది. శివుడు యజ్ఞ ఆహ్వానానికి అనర్హుడా? శివుడు లేని యజ్ఞమా? ఇది తప్పని తండ్రికి చెప్పింది. అక్కడున్న బ్రహ్మ, విష్ణువు తదితరులు ఆమె చెప్పింది వాస్తవమని పలికారు. అందుకు ఇది దక్షునికి కోపం కలిగింది. దాక్షాయని ఎదుట ఆమె భర్త అయిన శివుని నిందించసాగాడు. తండ్రి మాటలు విని భరించలేని దాక్షాయని దుఃఖితురాలై ఆవేదనతో తనకు తానే అగ్నిని సృష్టించుకొని అందు ప్రవేశించి ఆత్మాహుతి చేసుకుంది. అందరూ నిశ్చేష్టులైనారు. ఇదంతా చూసిన నారదుడు శివుని వద్దకు వెళ్ళి ఈ అంశాలన్నీ వివరించాడు. రుద్రుడు రౌద్రరూపుడయినాడు. అతని శరీరం నుంచి, నేత్రముల నుంచి అగ్ని కీలలు, విష వాయువులు వెలువడి లోకాలను చుట్టముట్టసాగాయి. బ్రహ్మాండమంతా వేడిమికి విషజ్వాలకు ఉక్కిరిబిక్కిరి కాసాగినది. ఏం జరిగిందో తెలియక భయాందోందళనలకు లోనయినాయి. కైలాసంలో శివుడు రౌద్రంగా వేసిన అడుగులకు భూమిని మోస్తున్న నాగేంద్రుడు భారంతో క్రుంగిపోసాగాడు. ఏమి యీ విపరీతమని కలత చెందసాగాడు. సముద్రములు ఇంకి పోసాగాయి. కొండలన్నీ నుగ్గునుగ్గు కాసాగాయి. మహేశ్వరుని వాహనం అయిన నంది (వృషభం) పరుగుతో శివునిని సమీపింపబోయింది. త్రిలోకములు భయమునందు విధముగా ఉన్న ఆ శంకరుని ఆకృతిని చూసి నిలిచిపోయింది. కైలాసంలోనే కాక సమస్త భూవలయంలోనూ జరుగుతున్న విపరీతములకు ప్రమథ గణములు మిక్కిలి భయభ్రాంతులైనారు. ఏదో జరగబోతుందని, పుష్పదంతుడు, భృంగి, ఘంటాకర్ణ, మహాకర్ణ, వీరభోగ, వీరశంకర, వీరభద్ర వంటి రుద్ర గణాలు ఒకరితో

ఒకరు చర్చించుకొంటున్నారు. వారి చర్చలు శంకరుని విలయ సృష్టికి కారణాలు వెతుక్కోనే విధంగా ఉన్నాయి. హరిని కాని బ్రహ్మను కాని సంహరిస్తాడా. ఇంద్రాది అష్టదిక్పాలను శిక్షిస్తాడా, త్రిలోకాల్లో ఉన్నా అధినాథులకు ఏ హాని జరగనుందో, శివుడు ఎవరిమీద అలిగినాడో చూడవలయును అని ప్రమథ గణములు తమతో తాము చర్చించుకొంటూ శివుని రుద్ర ఆకారమును చూసిరి, భయపడ్డారు. ఆ సమయంలో శివుడు దక్షుని పై కోపగించుకొన్నాడనే విషయం వారికి తెలిసింది. వారిలో అంతవరకూ ఉన్న సందేహాలు తొలగిపోయాయి. బ్రహ్మాండమును నుజ్జుగా చేస్తాం. కులగిరులను పిండిగా చేస్తాం. భూమీద్వ సముద్రములను ఇంకింపజేస్తాం. ఈ సృష్టినంతటను ఇప్పుడే నాశనం చేస్తాం. బ్రహ్మతదితర దేవతలను పట్టి తెస్తాం. భూమీద్వనున్న రాజులునందరిని చంపివేస్తాం. అనుమతించండి స్వామి అంటూ మీ అలుకకు కారణమైన దక్షుడు అల్పుడు. అటువంటి వాడిని ఈ క్షణమే బంధించి మీ ముందుకు తెస్తాం. మమ్ము పంపుమని ప్రమథగణాలు ఎవరికివారే శివునితో ప్రార్థించారు.

ప్రమథగణాలు పలుకుతున్న మాటలను గణాధిపతి విని పరమేశ్వరునికి ఎదురుగా నిలచి గొప్ప గర్జన వంటి శబ్దము వచ్చే విధంగా మాట్లాడటం ప్రారంభించెను. ‘అల్పమైన వానికోసం పాశుపతము ప్రయోగించటం ఎందుకు, ముల్లును తీయటంకోసం గొడ్డలిని వాడటం ఎందుకు? చిన్న చిట్టెలుక వంటి వాడిని వేటాడటం కోసం సాక్షాత్తు మహాశివుడే తరలి వెళ్ళటమా? నన్ను పంపు తండ్రి ఇప్పుడు జరిగిన అవమానం నా తల్లిది. కుమారుడుగా నా తల్లి అవమానానికి హేతువయిన వానిని సంహరించవలసిన బాధ్యత నాది కదా! అలస్యం చేయకుండా నన్ను పంపినచో ఆ దక్షున్ని పట్టి తెస్తానని అనగా అతని తండ్రి అయిన శివుడు కుమారుని శక్తి సామర్థ్యములు తెలిసినవాడై. దక్షుని పట్టుకొని ప్రాణములతో తన వద్దకు తీసుకు రమ్మని గణపతికి అనుజ్ఞ ఇస్తాడు.

శివుని అనుమతి పొందిన గణపతిని చూసిన ప్రమథగణములు ఆనందపడ్డాయి. శాలములు ధరించినవారు, నుదుటి న చతురాస్రకారముగా శివనామములు దిద్దుకొన్నవారు. భయంకరమైన కత్తులు ధరించినవారు భీకరమైన ఆకృతి దాల్చిన ప్రమథగణాలు తమ తమ పరివారములో గణపతి వద్దకు వచ్చి నిలుచున్నారు. ఆ సమయంలో దేవగణములకు అధీశ్వరి అయిన, ధాకీనీ, కుశ్మాండ యోగిని కూడా తన పరివారంతో అక్కడకు చేరుకున్నది. ఆ సమయంలో లోకములలో గల చీకటిని తన శరీరచ్ఛాయగా పులుముకొన్నదా అన్నట్లుగా ఆకాశము నుండి మహా కాళీ మహాభయంకరాకారముతో అక్కడకు వచ్చెను. ఈ విధంగా వచ్చిన తన పరివారమును

వెంటబెట్టుకొని గణపతి దక్షుని యజ్ఞవాటిక చేరుకున్నాడు. ప్రజాపతి అయిన దక్షునిపైన విపరీతిమైన ఆగ్రహం కలిగింది. కోపంలో గణేశుడు తన పరివారమునకు సంజ్ఞ చేయగానే రెట్టించిన ఉత్సాహముతో ఆగ్రహంతో భూత, ప్రేత, పిశాచి, దేవతా గణాలు యజ్ఞ వాసులను ధ్వంసం చేయసాగాయి. క్రతువును రక్షిస్తున్న వారిని కనుగొని పట్టి సంహరించ సాగారు. ఆశ్రమ వాసాలను త్రోసివేసారు. యజ్ఞ వేదికలను కూల్చి వేసారు. అగ్ని గుండములను త్రవ్వి పారేశారు. ఋత్విగ్గణాన్ని హింసించసాగారు. యజ్ఞమును చూచుటకు వచ్చిన వారిని భయభ్రాంతులను చేసి పరుగులు పెట్టించారు. యజ్ఞమును పర్యవేక్షించే 'ఉపదర్శి'ని పట్టి మెడను నులిమి, త్రాడుతో బంధించారు. పరిచారకులను బంధించి హింసించారు. మంత్రాలు పఠించే వారి నాలుకలను రెండు ముక్కలు చేసారు. పరిజనులను నేలపాలు చేసారు. దక్షుని యజ్ఞ వాటికను నాశనం చేసారు. భయాపహ వాతావరణం సృష్టించారు. రాజులు, రాక్షసులు, దేవతల వంటి వారు వీరిని చూసిన మాత్రముననే కొందరికి పై ప్రాణాలు పైనే పోయాయనుకున్నారు. కొందరు వారితో పోరాడ దలచి, ఓడిపోయారు. అందరిని చుట్టుముట్టి భయం కలిగించారు. ఇలా అందరిని భయకంపితులు చేస్తూ, యజ్ఞవాటికను నాశనం చేసిన ఆ ప్రమథ గణముల ధాటికి, వీర విహారానికి అందరూ కకావికలమైపోయారు. చివరకు దేవతలు సహితం దిక్కులు మరచి పరుగెత్తసాగారు. హంసను వాహనంగా చేసుకొని వచ్చిన బ్రహ్మ తన వాహనమును అధిష్టించడం మరచిపోయాడు. హంసే బ్రహ్మను నోటి కరుచుకొని ఎఱ్ఱని కలువను నోట తీసుకుపోతున్న విధంగా బ్రహ్మను తీసుకు పోసాగింది. గరుడు వాహనదారి అయిన విష్ణువు తన వాహనమైన అధిరోహించ మరచిపోగా, గరుత్మంతుడే విష్ణువును తీసుకు పోసాగాడు. విష్ణువు నడుమును పట్టి తీసుకుపోతున్న సమయంలో అతని శరీరచ్ఛాయ హరివిల్లి ఆకాశలో కనిపించినట్లుగా ఉంది. అతని శరీరము నుంచి భూమిపై పడుతున్న చెమట నీరు వర్షపు చినుకులుగా ఉందని కవి వర్ణన. వేటగాడు తరుముతున్న విధంగా పరుగులు పెడుతున్న ఐరావతము మీదకు ఇంద్రుడు ఎక్కడం కాకుండా ఎగబ్రాకుతు పోయాడు. ప్రమథ గణములు సృష్టించిన బీభత్సమునకు జడిచిపోయిన యముడు తన వాహనమైన దున్నపోతు మీద అడ్డంగా పడి పారిపోయాడు. సముద్రములకు రాజయిన వరుణుడు భయం చేత నోట నీరు లేక ఎండిన నోటితో ఎండిపోయిన వాగులాగ భయముతో అక్కడనుండి మాయమైపోయాడు. తనను వాహనంగా తీసుకు వెళ్ళవలసిన 'మనిషి' ని తానే వాహనమైన తీసుకు వెళ్తున్నాడు భయంతో కుబేరుడు, ఇటువంటి భీతాపహ వాతావరణమును చూసిన దక్షుడు భయంతో యాగశాలకు పారిపోయాడు. అతడిని పట్టుకోవాలని ప్రమథగణాధీశులు అన్ని ప్రాంతాలను జల్లెడ

వేసిన విధంగా వెతకసాగారు. కాందీశీకుల వలె అతని కోసం అన్వేషణను కొనసాగిస్తున్నారు. దేవతలు, రాక్షసులు కోలహలముగా నున్న వాతావరణమది. ప్రమద గణాధీశులు ఎవరిని లెక్క చేయటం లేదు. దక్షుడి ఆచూకి చెప్పని వారికి తోలు వలుస్తున్నారు. ఎక్కడి వారక్కడే భయంతో కంపించసాగారు. ఒకరికొకరు కళ్ళతోనే సౌంజ్జులు చేసుకుంటూ తప్పించుకోసాగారు. దక్షుడు సహితం మిక్కిలి భయము కలిగినవాడై తన గురించి ఎవరికీ చెప్పవద్దని తనవారిని, తనవారుకాని వారిని కూడా కాళ్ళా వేళ్ళా పడి బ్రతిమాలుతున్నాడు. శివద్రోహం చేసిన దక్షున్ని రక్షించి ఎందుకు తమ ప్రాణాల మీదకు తెచ్చుకోవటమని కొంతమంది దేవతలు, ఋషులు గుసగుసలు ఆడసాగారు. కను చూపులతో ఒకరినొకరు హెచ్చరించుకోసాగారు. అటువంటి సమయంలో ప్రమథ గణములకు గోమేధికములతో చేసిన భవనములో దాక్కున్న దక్షుడు దొరికాడు. వీడే ఆ దుర్మార్గుడు పట్టుకొండి శివదూషణ చేసిన ఇతని నాలుకను కోయండి. ఉప్పు నిప్పుండి. ఉపద్రవమును ఒంటినిండా పూయండి. లోహమును కరిగించి నోట్లో పోయండి. ఆ దుర్మార్గుడి చర్మం ఒలిచి, కన్నులు పెకిలించండి అని అనేక విధములుగా నిందిస్తూ దక్షుని పట్టుకొన్నారు.

తనకు దొరికిన దక్షుడి కాళ్ళు చేతులను తాళ్ళతో బంధించి వేశారు. వేటగాళ్ళు మృగమును వేటాడి తెచ్చిన విధముగా దక్షుని శివుని ఎదుటకు తీసుకు వచ్చారు ప్రమథ గణాలతో గణపతి. ఆ సమయంలో కన్నీటి సముద్రమో అన్నట్టుగా శరీరం నిండా చెమటలు పట్టి, దీనమైన ముఖంతో, రాజసం నశించి, ఓటమి భారంతో తలదించుకొని ఉన్న దక్షుని చూసి అతని ధర్మపత్ని పరుగున వచ్చి శివుని పాదాలపై పడి తనకు పతిభిక్ష పెట్టమని వేడుకుంది.

2.8 ప్రశ్నలు - జవాబులు

1. దక్షయజ్ఞం పాఠ్యభాగ సారాంశమును వ్రాయుము.

లేదా

దక్షుడు గర్వభంగం చెందిన విధము వ్రాయుము.

దక్షుడు తన కుమార్తెల కాపురములను చూచుటకు వెళ్ళాడు. అందరి దగ్గర ఎంతగానో గౌరవింపబడి, సత్కారములందుకొన్న దక్షుడు - తన అల్లుడైన శివుడు మాత్రం తనను సత్కరించలేదు. ఇది దక్షునికి అవమానంగా తోచింది. శివుని తక్కువ

చేసేందుకు అతనిని ఆహ్వానించకుండానే దక్కుడు యజ్ఞం చేయదలిచాడు. యజ్ఞ కార్యక్రమాలు ప్రారంభమయాయి. సమస్త దేవతలను, అష్టదిక్పాలకులను, ఋషులు, యక్ష కిన్నెర గంధర్వ కింపురుషాదులను వర్గాలను ఆహ్వానించాడు అల్లుడయిన శివుడు ఆహ్వానం పంపలేదు. అతను చిరునవ్వుతోనే మిన్నకుండిపోయాడు. కాని.... పార్వతి తన పుట్టింటి వారు చేస్తున్న యజ్ఞమునకు వెళ్ళ దలచుకుంది. పిలువని పేరంటం అవమానకరమని రుద్రుడు తన భార్య అయిన దాక్షాయనిని హెచ్చరించాడు. అయినా ఆమె వెళ్ళాలనే వాంఛను కనబరిచింది. శివుడు కాదనలేకపోయాడు.

యజ్ఞవేదిక వద్దకు వెళ్ళిన దాక్షాయని తండ్రిని చూసింది. శివుడు యజ్ఞ ఆహ్వానానికి అనర్హుడా? శివుడు లేని యజ్ఞమా? ఇది తప్పని తండ్రికి చెప్పింది. అక్కడున్న బ్రహ్మ, విష్ణువు తదితరులు ఆమె చెప్పింది వాస్తవమని పలికారు. అందుకు ఇది దక్షునికి కోపం కలిగింది. దాక్షాయని ఎదుట ఆమె భర్త అయిన శివుని నిందించసాగాడు. తండ్రి మాటలు విని భరించలేని దాక్షాయని దుఃఖితురాలై ఆవేదనతో తనకు తానే అగ్నిని సృష్టించుకొని అందు ప్రవేశించి ఆత్మాహుతి చేసుకుంది అందరూ నిశ్చేష్టులైనారు. ఇదంతా చూసిన నారదుడు శివుని వద్దకు వెళ్ళి ఈ అంశాలన్నీ వివరించాడు. రుద్రుడు రౌద్రరూపుడయినాడు. అతని శరీరం నుంచి, నేత్రముల నుంచి అగ్ని కీలలు, విష వాయువులు వెలువడి లోకాలను చుట్టముట్టసాగాయి. బ్రహ్మాండమంతా వేడిమికి విషజ్వాలకు ఉక్కిరిబిక్కిరి కాసాగినది. ఏం జరిగిందో తెలియక భయాందోందళనలకు లోనయినాయి. కైలాసంలో శివుడు రౌద్రంగా వేసిన అడుగులకు భూమిని మోస్తున్న నాగేంద్రుడు భారంతో క్రుంగిపోసాగాడు. ఏమి యీ విపరీతమని కలత చెందసాగాడు. సముద్రములు ఇంకి పోసాగాయి. కొండలన్నీ నుగ్గునుగ్గు కాసాగాయి. మహేశ్వరుని వాహనం అయిన నంది (వృషభం) పరుగుతో శివునిని సమీపింపబోయింది. త్రిలోకములు భయమునందు విధముగా ఉన్న ఆ శంకరుని ఆకృతిని చూసి నిలిచిపోయింది.. కైలాసంలోనే కాక సమస్త భూవలయంలోనూ జరుగుతున్న విపరీతములకు ప్రమథ గణములు మిక్కిలి భయభ్రాంతులైనారు. ఏదో జరగబోతుందని, పుష్పదంతుడు, భృంగి, ఘంటాకర్ణ, మహాకర్ణ, వీరభోగ, వీరశంకర, వీరభద్ర వంటి రుద్ర గణాలు ఒకరితో ఒకరు చర్చించుకొంటున్నారు. వారి చర్చలు శంకరుని విలయ సృష్టికి కారణాలు వెతుక్కోనే విధంగా ఉన్నాయి. హరిని కాని బ్రహ్మను కాని సంహరిస్తాడా. ఇంద్రాది అష్టదిక్పాలను శిక్షిస్తాడా, త్రిలోకాల్లో ఉన్నా అధినాథులకు ఏ హాని జరగనుందో, శివుడు ఎవరిమీద అలిగినాడో చూడవలయును అని ప్రమథ గణములు తమతో తాము చర్చించుకొంటూ

శివుని రుద్ర ఆకారమును చూసిరి. భయపడిరి. ఆ సమయంలో శివుడు దక్షుని పై కోపగించుకొన్నాడనే విషయం వారికి తెలిసింది. వారిలో అంతవరకూ ఉన్న సందేహాలు తొలగిపోయాయి. బ్రహ్మాండమును నుజ్జుగా చేస్తాం. కులగిరులను పిండిగా చేస్తాం. భూమీద్ సముద్రములను ఇంకింపజేస్తాం. ఈ సృష్టినంతటను ఇప్పుడే నాశనం చేస్తాం. బ్రహ్మాతదితర దేవతలను పట్టి తెస్తాం. భూమీదనున్న రాజులునందరిని చంపివేస్తాం. అనుమతించండి స్వామి అంటూ మీ అలుకకు కారణమైన దక్షుడు అల్పుడు. అటువంటి వాడిని ఈ క్షణమే బంధించి మీ ముందుకు తెస్తాం. మమ్ము పంపుమని ప్రమథగణాలు ఎవరికివారే శివునితో ప్రార్థించారు.

ప్రమథగణాలు పలుకుతున్న మాటలను గణాధిపతి విని పరమేశ్వరునికి ఎదురుగా నిలచి గొప్ప గర్జన వంటి శబ్దము వచ్చే విధంగా మాట్లాడటం ప్రారంభించెను. ‘అల్పమైన వానికోసం పాశుపతము ప్రయోగించటం ఎందుకు, ముల్లును తీయటంకోసం గొడ్డలిని వాడటం ఎందుకు? చిన్న చిట్టెలుక వంటి వాడిని వేటాడటం కోసం సాక్షాత్తు మహాశివుడే తరలి వెళ్ళటమా? నన్ను పంపు తండ్రి ఇప్పుడు జరిగిన అవమానం నా తల్లిది. కుమారుడుగా నా తల్లి అవమానానికి హేతువయిన వానిని సంహరించవలసిన బాధ్యత నాది కదా! ఆలస్యం చేయకుండా నన్ను పంపినచో ఆ దక్షున్ని పట్టి తెస్తానని అనగా అతని తండ్రి అయిన శివుడు కుమారుని శక్తి సామర్థ్యములు తెలిసినవాడై. దక్షుని పట్టుకొని ప్రాణములతో తన వద్దకు తీసుకు రమ్మని గణపతికి అనుజ్ఞ ఇస్తాడు.

శివుని అనుమతి పొందిన గణపతిని చూసిన ప్రమథగణములు ఆనందపడ్డాయి. శూలములు ధరించినవారు, నుదుటి న చతురాస్రకారముగా శివనామములు దిద్దుకొన్నవారు. భయంకరమైన కత్తులు ధరించినవారు భీకరమైన ఆకృతి దాల్చిన ప్రమథగణాలు తమ తమ పరివారములో గణపతి వద్దకు వచ్చి నిలుచున్నారు. ఆ సమయంలో దేవగణములకు అధీశ్వరి అయిన, ధాకీనీ, కుశ్మాండ యోగిని కూడా తన పరివారంతో అక్కడకు చేరుకున్నది. ఆ సమయంలో లోకములలో గల చీకటిని తన శరీరచ్ఛాయగా పులుముకొన్నదా అన్నట్లుగా ఆకాశము నుండి మహా కాళీ మహాభయంకరాకారముతో అక్కడకు వచ్చెను. ఈ విధంగా వచ్చిన తన పరివారమును వెంటబెట్టుకొని గణపతి దక్షుని యజ్ఞవాటిక చేరుకున్నాడు. ప్రణామి అయిన దక్షునిపైన విపరీతిమైన ఆగ్రహం కలిగింది. కోపంలో గణేశుడు తన పరివారమునకు సంజ్ఞ

చేయగానే రెట్టించిన ఉత్సాహముతో అగ్రహంతో భూత, ప్రేత, పిశాచి, దేవతా గణాలు యజ్ఞ వాసులను ధ్వంసం చేయసాగాయి. క్రతువును రక్షిస్తున్న వారిని కనుగొని పట్టి సహరించ సాగారు. ఆశ్రమ వాసులను త్రోసివేసారు. యజ్ఞ వేదికలను కూల్చి వేసారు. అగ్ని గుండములను త్రవ్వి పారేశారు. ఋత్విగ్గణాన్ని హింసించసాగారు. యజ్ఞమును చూచుటకు వచ్చిన వారిని భయభ్రాంతులను చేసి పరుగులు పెట్టించారు. యజ్ఞమును పర్యవేక్షించే 'ఉపదర్శి'ని పట్టి మెడను నులిమి, త్రాడుతో బంధించారు. పరిచారకులను బంధించి హింసించారు. మంత్రాలు పఠించే వారి నాలుకలను రెండు ముక్కలు చేసారు. పరిజనులను నేలపాలు చేసారు. దక్షుని యజ్ఞ వాటికను నాశనం చేసారు. భయావహ వాతావరణం సృష్టించారు. రాజులు, రాక్షసులు, దేవతల వంటి వారు వీరిని చూసిన మాత్రముననే కొందరికి పై ప్రాణాలు పైనే పోయాయనుకున్నారు. కొందరు వారితో పోరాడ దలచి, ఓడిపోయారు. అందరిని చుట్టుముట్టి భయం కలిగించారు. ఇలా అందరిని భయకంపితులు చేస్తూ, యజ్ఞవాటికను నాశనం చేసిన ఆ ప్రమథ గణముల ధాటికి, వీర విహారానికి అందరూ కకావికలమైపోయారు. చివరకు దేవతలు సహితం దిక్కులు మరచి పరుగెత్తసాగారు. హంసను వాహనంగా చేసుకొని వచ్చిన బ్రహ్మ తన వాహనమును అధిష్టించడం మరచిపోయాడు. హంసే బ్రహ్మను నోటి కరుచుకొని ఎఱ్ఱని కలువను నోట తీసుకుపోతున్న విధంగా బ్రహ్మను తీసుకు పోసాగింది. గరుడు వాహనదారి అయిన విష్ణువు తన వాహనమైన అధిరోహించ మరచిపోగా, గరుత్మంతుడే విష్ణువును తీసుకు పోసాగాడు. విష్ణువు నడుమును పట్టి తీసుకుపోతున్న సమయంలో అతని శరీరచ్ఛాయ హరివిల్లు ఆకాశలో పొడసూపినట్లుగా ఉంది. అతని శరీరము నుంచి భూమిపై పడుతున్న చెమట నీరు వర్షపు చినుకులుగా ఉందని కవి వర్ణన. వేటగాడు తరుముతున్న విధంగా పరుగులు పెడుతున్న ఐరావతము మీదకు ఇంద్రుడు ఎక్కడం కాకుండా ఎగబ్రాకుతు పోయాడు. ప్రమథ గణములు సృష్టించిన బీభత్సమునకు జడిచిపోయిన యముడు తన వాహనమైన దున్నపోతు మీద అడ్డంగా పడి పారిపోయాడు. సముద్రములకు రాజయిన వరుణుడు భయం చేత నోట నీరు లేక ఎండిన నోటితో ఎండిపోయిన వాగులాగ భయముతో అక్కడనుండి మాయమైపోయాడు. తనను వాహనంగా తీసుకు వెళ్ళవలసిన 'మనిషి' ని తానే వాహనమైన తీసుకు వెళుతున్నాడు భయంతో కుబేరుడు, ఇటువంటి భీతావహ వాతావరణమును చూసిన దక్షుడు భయంతో యాగశాల

పారిపోయాడు. అతడిని పట్టుకోవాలని ప్రమదగణాధీశులు అన్ని ప్రాంతాలను జల్లెడ వేసిన విధంగా వెతకసాగాడు. కాందీశీకుల వలె అతని కోసం అన్వేషణను కొనసాగిస్తున్నారు. దేవతలు, రాక్షసులు కోలహలముగా నున్న వాతావరణమది. ప్రమద గణాధీశులు ఎవరిని లెక్క చేయటం లేదు. దక్షుడి ఆచూకీ చెప్పని వారికి తోలు వలుస్తున్నారు. ఎక్కడి వారక్కడే భయంతో కంపించసాగారు. ఒకరికొకరు కళ్ళతోనే సౌంజులు చేసుకుంటూ తప్పించుకోసాగారు. దక్షుడు సహితం మిక్కిలి భయము కలిగినవాడై తన గురించి ఎవరికీ చెప్పవద్దని తనవారిని, తనవారుకాని వారిని కూడా కాళ్ళా వేళ్ళా పడి బ్రతిమాలుతున్నాడు. శివద్రోహం చేసిన దక్షున్ని రక్షించి ఎందుకు తమ ప్రాణాల మీదకు తెచ్చుకోవటమని కొంతమంది దేవతలు, ఋషులు గుసగుసలు ఆడసాగారు. కను చూపులతో ఒకరినొకరు హెచ్చరించుకోసాగారు. అటువంటి సమయంలో ప్రమద గణములకు గోమేధికములతో చేసిన భవనములో దాక్కున్న దక్షుడు దొరికాడు. వీడే ఆ దుర్మార్గుడు పట్టుకొండి శివదూషణ చేసిన ఇతని నాలుకను కోయండి. ఉప్పు నిప్పుండి. ఉపద్రవమును ఒంటినిండా పూయండి. లోహమును కరిగించి నోట్లో పోయండి. ఆ దుర్మార్గుడి చర్మం ఒలిచి, కన్నులు పెకిలించండి అని అనేక విధములుగా నిందిస్తూ దక్షుని పట్టుకొన్నారు.

తనకు దొరికిన దక్షుడి కాళ్ళు చేతులను తాళ్ళతో బంధించి వేశారు. వేటగాళ్ళు మృగమును వేటాడి తెచ్చిన విధముగా దక్షుని శివుని ఎదుటకు తీసుకు వచ్చారు ప్రమద గణాలతో గణపతి. ఆ సమయంలో కన్నీటి సముద్రమో అన్నట్టుగా శరీరం నిండా చెమటలు పట్టి, దీనమైన ముఖంతో, రాజసం సశించి, ఓటమి భారంతో తలదించుకొని ఉన్న దక్షుని చూసి అతని ధర్మపత్ని పరుగున వచ్చి శివుని పాదాలపై పడి తనకు పతిభిక్ష పెట్టమని వేడుకుంది.

2. నన్నెచోడుడు కవితా లక్షణములు వ్రాయుము.

‘దక్షయజ్ఞం పాఠ్య భాగ రచయిత నన్నెచోడుడు. ఇతని కాలం క్రీ.శ. 1130 తల్లిదండ్రులు శ్రీసతి, చోడబల్లి అనువారు. ఇతని గురువు జంగమ మల్లికార్జునుడు. నన్నెచోడుడు అద్వైతి. ఇతను రచించిన ‘కుమారసంభవము’. కావ్యము ద్వితీయాశ్వాసమునుండి ఈ పాఠ్యభాగం గ్రహింపబడింది. ఈ గ్రంథము అష్టా ప్రబంధ లక్షణములకు నెలవు. శ్లేష, ఉపమ, రూపకము వంటి అలంకారాలరు స్థానం. ఇతని

కవిత్వంలో శబ్దసృష్టి, అర్థపుష్టి రససృష్టికి నిలయం. కల్పనల యందు, భావనల యందు ఈ కవిని మించిన వారు లేరు. ‘కుమారసంభవము’ సర్వ లక్షణ సంపన్నమైన కావ్యం.

తెలుగులో మార్గదేశి పదములను కవితవ్య పరముగ వాడినకవి నన్నెచోడుడు. అదే విధముగా జానుతెనుగు. వస్తు కవిత అనే పదములను తెలుగులో తొలిసారిగా పేర్కొన్నవాడు కూడా ఈ కవే! వస్తు కవీశ్వరుల నూత్న రుచిర కావ్య పద్ధతి ఎలా ఉండాలో తనకు తానే చెప్పుకున్నాడు. కుమార సంభవములో ‘మృదురీతి సూక్తులం పొందవింప మేలేల్ల భావము నెలమి క్రీడావహముగ/మిఱుమిట్లు వోపంగఁగాఁతి సుధా సూతి కాంతిఁజెనయు...’ పద్యంలో ఈ కవి వస్తు కవిత, మృదుసూక్తులు, మేలిభావములు, మిఱుమిట్లు గొలుపు మెఱుగులు, మనోహర కాంతులు, వర్ణనకెక్కు వర్ణనలు, తళుకొత్త రసములు, అలంకారములు వంటివి గొప్పగా కనిపిస్తాయి. “ఎలుక మీఁది కోపమున నిల్లేర్చునట్లు” “బలిమిఁబట్టి కలిగి పాశుపతము దొడుగ నేఁటిక/గలిక ములుక కాయ కెత్తు గల్లు గొనఁగ నేల” వంటి సూక్తులు అందంగా కనిపిస్తాయి. ఈశ్వరుని నేత్రముల నుండి ప్రజ్వరిల్లిన కోపానలము సృష్టిని ఆక్రమించిన క్రమమును “వివిధాస్రానేక జాతా విరల బహుళ/ సద్విస్ఫులింగాగ్ని యుంద/ త్వవమానాహారవక్త్ర ప్రకటిత విషవిభ్రాజితో గ్రానలంబు” అనే పద్యము పదగాంభీర్యము, భావస్ఫూర్తి కూడా చక్కగా కనిపిస్తుంది. ప్రమథ గణములు దక్షుని యజ్ఞ వాటికను ధ్వంసం చేసిన సమయంలో దేవతలు తమతమ వాహనములను ఆధిరోహించ లేక పడిన ఇక్కట్లను అతిశయోక్తులతో చిత్రించిన విధానం అతని కవితకు చమత్కారం అద్దినట్టు కనిపిస్తుంది. “వాహనంబు నెక్కవచ్చి గరుడి నడుము మెడయు.....” “వేటఁకాఱు ముట్టి పెనుకొనగాఁ ఇక్కుముట్టి చక్కనెక్కంగ... ఉరుతరాభీశు ఁడయును.....” వంటి వాటిలో శబ్దార్థ, భావార్థ, రసవృష్టిని చూడవచ్చు. గంభీరమైన భావములు అలంకారయుత వర్ణనలు నన్నెచోడుని కవితలో కనిపిస్తాయి. ‘మునిమనుజుసరాహిసురముఖుల వీఁపులతోఁకు లెత్తఁగా లో ఓ సుదీర్ఘమైన సమాస పదాలు కనిపిస్తాయి. రసజ్ఞులకు విందు చేస్తాయి. నన్నెచోరుడు వస్తుకవీశ్వరుడు. అతనిది వస్తు కవిత. ఈ కుమార సంభవమునందు దక్షయజ్ఞ ఘట్టం వస్తు కవితను ప్రతిపాదించాడు.

3. గణనాథులతో గణపతి దక్షుని గర్వమును ఏ విధముగా అణిచెను?

జ. దక్షుడు తన కుమార్తెల కాపురములను చూచుటకు వెళ్ళాడు. అందరి దగ్గర ఎంతగానో గౌరవింపబడి, సత్కారములందుకొన్న దక్షుడు - తన అల్లుడైన శివుడు

మాత్రం తనను సత్కరించలేదు. ఇది దక్షునికి అవమానంగా తోచింది. శివుని తక్కువ చేసేందుకు అతనిని ఆహ్వానించకుండానే దక్షుడు యజ్ఞం చేయదలిచాడు. యజ్ఞ కార్యక్రమాలు ప్రారంభమయాయి. సమస్త దేవతలను, అష్టదిక్పాలకులను, ఋషులు, యక్ష కిన్నెర గంధర్వ కింపురుషాదులను వర్గాలను ఆహ్వానించాడు అల్లుడయిన శివుడు ఆహ్వానం పంపలేదు. శివుని అనుమతితో యజ్ఞశాలకు వెళ్ళిన దాక్షాయని తండ్రిని చూసింది. శివుడు యజ్ఞ ఆహ్వానానికి అనర్హుడా? శివుడు లేని యజ్ఞమా? ఇది తప్పని తండ్రికి చెప్పింది. అక్కడున్న బ్రహ్మ, విష్ణువు తదితరులు ఆమె చెప్పింది వాస్తవమని పలికారు. అందుకు ఇది దక్షునికి కోపం కలిగింది. దాక్షాయని ఎదుట ఆమె భర్త అయిన శివుని నిందించసాగాడు. తండ్రి మాటలు విని భరించలేని దాక్షాయని దుఃఖితరాలై ఆవేదనతో తనకు తానే అగ్నిని సృష్టించుకొని అందు ప్రవేశించి ఆత్మాహుతి చేసుకుంది అందరూ నిశ్చేష్టులైనారు. ఇదంతా చూసిన నారదుడు శివుని వద్దకు వెళ్ళి ఈ అంశాలన్నీ వివరించాడు. రుద్రుడు రౌద్రరూపుడయినాడు. తత్ ఫలితంగా కైలాసంలోనే కాక సమస్త భూవలయంలోనూ జరుగుతున్న విపరీతములకు ప్రమథ గణములు మిక్కిలి భయభ్రాంతులైనారు. ఏదో జరగబోతుందని, పుష్పదంతుడు, భృంగి, ఘంటాకర్ణ, మహాకర్ణ, వీరభోగ, వీరశంకర, వీరభద్ర వంటి రుద్ర గణాలు ఒకరితో ఒకరు చర్చించుకొంటున్నారు. వారి చర్చలు శంకరుని విలయ సృష్టికి కారణాలు వెతుక్కోనే విధంగా ఉన్నాయి. హరిని కాని బ్రహ్మను కాని సంహరిస్తాడా. ఇంద్రాది అష్టదిక్పాలను శిక్షిస్తాడా, త్రిలోకాల్లో ఉన్నా అధినాథులకు ఏ హాని జరగనుందో, శివుడు ఎవరిమీద అలిగినాడో చూడాలని అని ప్రమథ గణములు తమతో తాము చర్చించుకొంటూ శివుని రుద్ర ఆకారమును చూసిరి. భయపడిరి. ఆ సమయంలో శివుడు దక్షుని పై కోపగించుకొన్నాడనే విషయం వారికి తెలిసింది. వారిలో అంతవరకూ ఉన్న సందేహాలు తొలగిపోయాయి. బ్రహ్మాండమును సుజ్ఞగా చేస్తాం. కులగిరులను పిండిగా చేస్తాం. భూమీద సముద్రములను ఇంకింపజేస్తాం. ఈ సృష్టినంతటను ఇప్పుడే నాశనం చేస్తాం. బ్రహ్మతదితర దేవతలను పట్టి తెస్తాం. భూమీదనున్న రాజులునందరిని చంపివేస్తాం. అనుమతించండి స్వామి అంటూ మీ అలుకకు కారణమైన దక్షుడు అల్పుడు. అటువంటి వాడిని ఈ క్షణమే బంధించి మీ ముందుకు తెస్తాం. మమ్ము పంపుమని ప్రమథగణాలు ఎవరికివారే శివునితో ప్రార్థించారు.

ప్రమథగణాలు పలుకుతున్న మాటలను గణాధిపతి విని పరమేశ్వరునికి ఎదురుగా నిలిచి గొప్ప గర్జన వంటి శబ్దము వచ్చే విధంగా మాట్లాడటం ప్రారంభించాడు. 'అల్పమైన వానికోసం పాశుపతము ప్రయోగించటం ఎందుకు, ముల్లును తీయటంకోసం గొడ్డలిని వాడటం ఎందుకు? చిన్న చిట్టెలుక వంటి వాడిని వేటాడటం కోసం సాక్షాత్తు మహాశివుడే తరలి వెళ్ళటమా? నన్ను పంపు తండ్రి ఇప్పుడు జరిగిన అవమానం నా తల్లిది. కుమారుడుగా నా తల్లి అవమానానికి హేతువయిన వానిని సంహరించవలసిన బాధ్యత నాది కదా! ఆలస్యం చేయకుండా నన్ను పంపినచో ఆ దక్షున్ని పట్టి తెస్తానని అనగా అతని తండ్రి అయిన శివుడు కుమారుని శక్తి సామర్థ్యములు తెలిసినవాడై. దక్షుని పట్టుకొని ప్రాణములతో తన వద్దకు తీసుకు రమ్మని గణపతికి అనుజ్ఞ ఇస్తాడు.

శివుని అనుమతి పొందిన గణపతిని చూసిన ప్రమథగణములు ఆనందపడ్డాయి. శూలములు ధరించినవారు, నుదుటిని చతురాస్రకారముగా శివనామములు దిద్దుకొన్నవారు. భయంకరమైన కత్తులు ధరించినవారు భీకరమైన ఆకృతి దాల్చిన ప్రమథగణాలు తమ తమ పరివారములో గణపతి వద్దకు వచ్చి నిలుచున్నారు. ఆ సమయంలో దేవగణములకు అధీశ్వరి అయిన, ధాకీనీ, కుశ్మాండ యోగిని కూడా తన పరివారంతో అక్కడకు చేరుకున్నది. ఆ సమయంలో లోకములలో గల చీకటిని తన శరీరచ్ఛాయగా పులుముకొన్నదా అన్నట్లుగా ఆకాశము నుండి మహా కాళీ మహాభయంకరాకారముతో అక్కడకు వచ్చెను. ఈ విధంగా వచ్చిన తన పరివారమును వెంటబెట్టుకొని గణపతి దక్షుని యజ్ఞవాటిక చేరుకున్నాడు. ప్రజాపతి అయిన దక్షునిపైన విపరీతిమైన ఆగ్రహం కలిగింది. కోపంలో గణేశుడు తన పరివారమునకు సంజ్ఞ చేయగానే రెట్టించిన ఉత్సాహముతో ఆగ్రహంతో భూత, ప్రేత, పిశాచి, దేవతా గణాలు యజ్ఞ వాసులను ధ్వంసం చేయసాగాయి. క్రతువును రక్షిస్తున్న వారిని కనుగొని పట్టి సంహరించ సాగారు. ఆశ్రమ వాసాలను త్రోసివేసారు. యజ్ఞ వేదికలను కూల్చి వేసారు. అగ్ని గుండములను త్రవ్వి పారేశారు. ఋత్విగ్గణాన్ని హింసించసాగారు. యజ్ఞమును చూచుటకు వచ్చిన వారిని భయభ్రాంతులను చేసి పరుగులు పెట్టించారు. యజ్ఞమును పర్యవేక్షించే 'ఉపదర్శి'ని పట్టి మెడను నులిమి, త్రాడుతో బంధించారు. పరిచారకులను బంధించి హింసించారు. మంత్రాలు పఠించే వారి నాలుకలను రెండు ముక్కలు చేసారు. పరిజనులను నేలపాలు చేసారు. దక్షుని యజ్ఞ వాటికను నాశనం చేసారు. భయావహ

వాతావరణం సృష్టించారు. రాజులు, రాక్షసులు, దేవతల వంటి వారు వీరిని చూసిన మాత్రముననే కొందరికి పై ప్రాణాలు పైనే పోయాయనుకున్నారు. కొందరు వారితో పోరాడ దలచి, ఓడిపోయారు. అందరిని చుట్టుముట్టి భయం కలిగించారు. ఇలా అందరిని భయకంపితులు చేస్తూ, యజ్ఞవాటికను నాశనం చేసిన ఆ ప్రమథ గణముల ధాటికి, వీర విహారానికి అందరూ కకావికలమైపోయారు. చివరకు దేవతలు సహితం దిక్కులు మరచి పరుగెత్తసాగారు. హంసను వాహనంగా చేసుకొని వచ్చిన బ్రహ్మ తన వాహనమును అధిష్టించడం మరచిపోయాడు. హంసే బ్రహ్మను నోటి కరుచుకొని ఎఱ్ఱని కలువను నోట తీసుకుపోతున్న విధంగా బ్రహ్మను తీసుకు పోసాగింది. గరుడు వాహనదారి అయిన విష్ణువు తన వాహనమైన అధిరోహించ మరచిపోగా, గరుత్మంతుడే విష్ణువును తీసుకు పోసాగాడు. విష్ణువు నడుమును పట్టి తీసుకుపోతున్న సమయంలో అతని శరీరచ్ఛాయ హరివిల్లు ఆకాశలో పొడసూపినట్లుగా ఉంది. అతని శరీరము నుంచి భూమిపై పడుతున్న చెమట నీరు వర్షపు చినుకులుగా ఉందని కవి వర్ణన. వేటగాడు తరుముతున్న విధంగా పరుగులు పెడుతున్న ఐరావతము మీదకు ఇంద్రుడు ఎక్కడం కాకుండా ఎగబ్రాకుతు పోయాడు. ప్రమథ గణములు సృష్టించిన బీభత్సమునకు జడిచిపోయిన యముడు తన వాహనమైన దున్నపోతు మీద అడ్డంగా పడి పారిపోయాడు. సముద్రములకు రాజయిన వరుణుడు భయం చేత నోట నీరు లేక ఎండిన నోటితో ఎండిపోయిన వాగులాగ భయముతో అక్కడనుండి మాయమైపోయాడు. తనను వాహనంగా తీసుకు వెళ్ళవలసిన 'మనిషి' ని తానే వాహనమైన తీసుకు వెళుతున్నాడు భయంతో కుబేరుడు, ఇటువంటి భీతావహ వాతావరణమును చూసిన దక్షుడు భయంతో యాగశాల పారిపోయాడు. అతడిని పట్టుకోవాలని ప్రమదగణాధీశులు అన్ని ప్రాంతాలను జల్లెడ వేసిన విధంగా వెతకసాగాడు. కాందీశీకుల వలె అతని కోసం అన్వేషణను కొనసాగిస్తున్నారు. దేవతలు, రాక్షసులు కోలహలముగా నున్న వాతావరణమది. ప్రమద గణాధీశులు ఎవరిని లెక్క చేయటం లేదు. దక్షుడి ఆచూకి చెప్పని వారికి తోలు వలుస్తున్నారు. ఎక్కడి వారక్కడే భయంతో కంపించసాగారు. ఒకరికొకరు కళ్ళతోనే సౌంజ్ఞలు చేసుకుంటూ తప్పించుకోసాగారు. దక్షుడు సహితం మిక్కిలి భయము కలిగినవాడై తన గురించి ఎవరికీ చెప్పవద్దని తనవారిని, తనవారుకాని వారిని కూడా కాళ్ళా వేళ్ళా పడి బ్రతిమాలుతున్నాడు. శివద్రోహం చేసిన దక్షున్ని రక్షించి ఎందుకు తమ ప్రాణాల

మీదకు తెచ్చుకోవటమని కొంతమంది దేవతలు, ఋషులు గుసగుసలు ఆడసాగారు. కను చూపులతో ఒకరినొకరు హెచ్చరించుకోసాగారు. అటువంటి సమయంలో ప్రమథ గణములకు గోమేధికములతో చేసిన భవనములో దాక్కొన్న దక్షుడు దొరికాడు. వీడే ఆ దుర్మార్గుడు పట్టుకొండి శివదూషణ చేసిన ఇతని నాలుకను కోయండి. ఉప్పు నిప్పండి. ఉపద్రవమును ఒంటినిండా పూయండి. లోహమును కరిగించి నోట్లో పోయండి. ఆ దుర్మార్గుడి చర్మం ఒలిచి, కన్నులు పెకిలించండి అని అనేక విధములుగా నిందిస్తూ దక్షుని పట్టుకొన్నారు.

తనకు దొరికిన దక్షుడి కాళ్ళు చేతులను తాళ్ళతో బంధించి వేశారు. వేటగాళ్ళు మృగమును వేటాడి తెచ్చిన విధముగా దక్షుని శివుని ఎదుటకు తీసుకు వచ్చారు ప్రమథ గణాలతో గణపతి. ఆ సమయంలో కన్నీటి సముద్రమో అన్నట్టుగా శరీరం నిండా చెమటలు పట్టి, దీనమైన ముఖంతో, రాజసం నశించి, ఓటమి భారంతో తలదించుకొని ఉన్న దక్షుని చూసి అతని ధర్మపత్ని పరుగున వచ్చి శివుని పాదాలపై పడి తనకు పతిభిక్ష పెట్టమని వేడుకుంది.

2.9 సంగ్రహ ప్రశ్నలు

1. యజ్ఞ వాటికలో జరిగిన పరిణామాలలో బ్రహ్మ, విష్ణుల పరిస్థితి వివరించండి?

జ. దేవతలు సహితం దిక్కులు మరచి పరుగెత్తసాగారు. హంసను వాహనంగా చేసుకొని వచ్చిన బ్రహ్మ తన వాహనమును అధిష్టించడం మరచిపోయాడు. హంసే బ్రహ్మను నోటి కరుచుకొని ఎఱ్ఱని కలువను నోటితో తీసుకుపోతున్న విధంగా బ్రహ్మను తీసుకు పోసాగింది. గరుడ వాహనుడైన విష్ణువు తన వాహనమును అధిరోహించ మరచిపోగా, గరుత్మంతుడే విష్ణువును తీసుకు పోసాగాడు. విష్ణువు నడుమును పట్టి తీసుకుపోతున్న సమయంలో అతని శరీరచ్ఛాయ హరివిల్లు ఆకాశలో పొడసూపినట్టుగా ఉంది. అతని శరీరము నుంచి భూమిపై పడుతున్న చెమట వర్షపు చినుకులుగా ఉందని కవి వర్ణన.

2. దక్షయజ్ఞ వాటిక భీతావహమైన వేళ, ఇంద్ర, కుబేరుల స్థితి తెలపండి.

జ. వేటగాడు తరముతున్న విధంగా పరుగులు పెడుతున్న ఐరావతము మీదకు ఇంద్రుడు ఎక్కడం కాకుండా ఎగబ్రాకుతు పోయాడు. ప్రమథ గణములు సృష్టించిన భీభత్సానికి

జడిసిపోయిన యముడు తన వాహనమైన దున్నపోతు మీద అడ్డంగా పడి పారిపోయాడు. సముద్రములకు రాజయిన వరుణుడు భయం చేత నోట నీరు లేక ఎండిన నోటితో ఎండిపోయిన వాగులాగా భయముతో అక్కడనుండి మాయమైపోయాడు. తనను వాహనంగా తీసుకు వెళ్ళవలసిన 'మనిషి' ని తానే వాహనమైన తీసుకు వెళుతున్నాడు భయంతో కుబేరుడు .

3. దక్షయజ్ఞ పాఠ్యభాగ నేపథ్యమును వ్రాయుము.

జ. దక్షుడు తన కుమార్తెల కాపురములను చూచుటకు వెళ్ళాడు. అందరి దగ్గర ఎంతగానో గౌరవింపబడి, సత్కారములందుకొన్న దక్షుడు - తన అల్లుడైన శివుడు మాత్రం తనను సత్కరించలేదు. ఇది దక్షునికి అవమానంగా తోచింది. శివుని తక్కువ చేసేందుకు అతనిని ఆహ్వానించకుండానే దక్షుడు యజ్ఞం చేయదలిచాడు. యజ్ఞ కార్యక్రమాలు ప్రారంభమయాయి. సమస్త దేవతలను, అష్టదిక్పాలకులను, ఋషులు, యక్ష కిన్నెర గంధర్వ కింపురుషాదులను వర్గాలను ఆహ్వానించాడు అల్లుడయిన శివుడు ఆహ్వానం పంపలేదు. అతను చిరునవ్వుతోనే మిన్నకుండిపోయాడు. కాని.... పార్వతి తన పుట్టింటి వారు చేస్తున్న యజ్ఞమునకు వెళ్ళ దలచుకుంది. పిలువని పేరంటం అవమానకరమని రుద్రుడు తన భార్య అయిన దాక్షాయనిని హెచ్చరించాడు. అయినా ఆమె వెళ్ళాలనే వాంఛను కనబరిచింది. శివుడు కాదనలేకపోయాడు. తరువాత జరిగే పర్యావసనాలు దక్షయజ్ఞం పాఠ్యభాగం నేపథ్యం.

2.10 అభ్యాసం

వ్యాస రూప ప్రశ్న

1. దాక్షాయని ఆత్మాహుతి అనంతర పరిణామాలను వివరించండి?

సంగ్రహ ప్రశ్నలు

1. కవి నన్నెచోడుడును గూర్చి వ్రాయుము.
2. దాక్షాయని అగ్ని ప్రవేశమునకు గల కారణములను విశ్లేషించండి.

ఈ క్రింది పద్యమునకు ప్రతి పదార్థం తాత్పర్యములు వ్రాయుము.

వీండే ఖలుండు దక్షుడను వీటిడి పాటుండు వీడు సర్వప -----

యుండు దురాత్ముచర్మపట మొల్పుండు గన్నులు మీటుం దుక్కాన్

క్రింది సందర్భ సహిత వ్యాఖ్యలు వ్రాయుము.

1. వప్పి జిహ్వ రెండు వ్రయ్యలుగాఁగోసి
2. ప్రాకిపాతెఁ బ్రమథ రాజియార్వ
3. కులముల నా గణము ముంచికొని వచ్చి వడిన్

క్రింది పదములకు సంధి నామములు వ్రాయుము.

1. ముఖాగారములు
2. ఉద్రోదేకము,
3. కోపానలము,
4. జగమెల్ల,
5. దోర్బలము,
6. వీధిజొచ్చె
7. తనయెక్కక, తదవసరము,
9. మున్నెలుకమే.

క్రింది పదములకు సమాసములను గుర్తించి విగ్రహ వాక్యములను వ్రాయుము.

1. కపవప్పి,
2. మహేశ్వరవృషభేంభం
3. జననీపరాభవము,
4. చతుర్భుజుడు,
5. సహస్రాక్షుడు.

విశేషాంశములు :

జ “ ఎలుకతోడి కోపమున ని లేర్చునట్లు”

ఇందు ఉపమాలంకారము కలదు.

జ “బలిమిఁ బిట్ట కలిగి పాశుపతము దొడుగ నేటి”

ఇందు అలంకారము దృష్టాంతము. మొదటి మూడు పాదములందును మూడు దృష్టాంతములు కలవు.

ఈ పద్యము “ ఉత్సాహ వృత్తము”. ఇందు నాలుగు పాదములుండును. ఒక్కొక్క పాదము ఏడు సూర్య గణములు, ఒక గురువు ఉండును. మొదటి గణము మొదటి అక్షరమునకు, ఐదవ గణము మొదటి అక్షరమునకు యతిమైత్రి. ప్రాసనియమము కలదు.

జ “ ఇక్కు మట్టి చక్కి నెక్కంగ మఱచి”

ఇందు అలంకారము ఉపమ మరియు స్వభావోక్తి అలంకారములు కలవు.

విద్యార్థులకు సూచనలు :

పాఠ్యాంశ పద్యములలో అలంకారములను గుర్తించవలెను.

ఛందస్సు అంశములను మీ పాఠ్యభాగమునుండి గ్రహించవలెను.

నక్షత్ర మార్కుగల పద్యములను కంఠస్థము చేయవలెను.

యూనిట్ - 3

ధౌమ్య ధర్మోపదేశం

తిక్కన

3.1 ఉద్దేశం

ఉన్నతులుగా జీవించిన వారు కూడా విధివశాత్తు ఇంకొకరి వద్ద ఊడిగం చేయవలసి వచ్చినపుడు ఎలా తమ జీవనాన్ని సాగించాలో ఈ పాఠ్యాంశంలో గమనించవచ్చు.

3.2 పరిచయం

తెలుగులో భారతాన్ని ఆంధ్రీకరించిన 'కవిత్రయం' లో తిక్కన రెండవవాడు. 13 వ శతాబ్దపు కవి మనుమసిద్ధికి మంత్రిగా, అస్థానకవిగా వ్యవహరించేవాడు. తల్లి అన్నమ్మ. తండ్రి కొమ్మన ఇతని శిష్యుడైన మూలఘటిక కేతన రచించిన 'దశకుమార చరిత్ర' లో తిక్కను గూర్చిన ఎన్నో వివరాలు తెలియజేసినాడు. తిక్కన 'నిర్వచనోత్తరరామాయణం' లభ్యం. 'విజయసేనం', 'కవిదిగ్భంధన' అనే ఛందో గ్రంథాన్ని, 'కృష్ణ శతకం' అనే రచనలు చేసాడు. ఇవి అలభ్యాలు. నన్నయకు రెండువందల సంవత్సరాల తరువాత తిక్కన 'విరాటపర్వం' మొదలుకొని ఆఖరది అయిన 'స్వర్గోరోహణ పర్వం' వరకు ఏకబిగిని రచించాడు. 'కవిబ్రహ్మ' 'ఉభయ కవిమిత్రుడు' అనేవి ఇతని బిరుదములు. ఈయన భారతరచనలో అలతి అలతి తేట తెలుగు పదాలు కోకొల్లలు. నాటకీయత, రసపోషణ, వర్ణనానైపుణ్యం, పాత్రపోషణ, వీరి రచనలో ప్రధానమైనవి. తెలుగుదనపు నుడికారాలు, జాతీయాలు వంటివి తిక్కన కవితా లక్షణాలుగా చెప్పుకోవచ్చు.

3.3 పాఠ్యభాగము

క. ఎఱింగెడు వారికి నైనను

గఱపక తక్కు రుచిత ప్రకారము శుభముం

గొఱలుహితు; లట్లగుటనం

దఱకును జెప్పంగ వలయుండగియెడు బుద్ధుల్ 116

వ. అదియునుం గాక 117

తే. కౌరవాన్వయజాతులైగారవమునఁ

బెరిగినట్టి మీ రొండొక నరునిఁగొలిచి

మనలి వర్తిల్లిమానావమానములకు

నోర్చి, యడఁకువతోడన యునికియరిది 118

క. వాలివివిధాస్త్రవిద్యా

జ్ఞాపల వెలుఁగొందు పాండవజ్వలనం బా

భీలత మండం దొడరినఁ

గాల విరోధంబు మఱిచికార్యము ఁదప్పున్ 119

వ. కావున మీకు నప్రమాదార్థంబుగా నా నేర్చిన విధంబుననుపదేశం బవశ్య
కర్తవ్యంబు; రాజులంఁగొలిచి యెమ్మొయి నయిననుబ్రదుకు జనంబులు
గీడునుం బొరయకుండునట్టి సాధారణనీతి సంక్షేప రూపంబున నెఱింగించెద
సావధానులరయి వినుండు 120

క. తగఁజొచ్చి తనకు నర్హం.

బగు నెడఁగూర్చుండి రూపమవికృతవేషం

బుగ సమయ మెఱింగి కొలచిన

జగతీవల్లభున కతడు సమ్మాన్యఁడగున్ 121

క. 'నరనాథుఁ గొలిచియలవడఁ

దిరిగితి నా కేమి ' యనుచుఁ దేఁకువలేమిన్

మరియాద దప్పుమెలఁగినఁ

బురుషార్థంబునకు హాని పుట్టుకయున్నే? 122

- ఉ. రాజగృహంబుకంటె నభిరామముగా నిలుగట్టంగూడ, దే
యోజ నృపాలుండాకృతికి నొప్పుగు వేషము లాచరించు, నే
యోజ విహరముల్ సలుపనుల్లమునం గడువేడ్చుసేయు, నే
యోజ విదగ్ధుండై పలుకు, నొడ్డులకుం దగదట్లుసేయంగన్ 123
- క. పుత్రులు పౌత్రులు భ్రాతలు
మిత్రులనరు రాజు లాజ్ఞ మిగిలిన చోటన్
శత్రులకా దమయలుకకు
బాత్రము సేయుదురు నిజశుభాస్థితి పొంటెన్ 124
- క. చనువాని చేయుకార్యం
బునకడ్డము సొచ్చి నేరువున మెలంగుచుండా
నును బయి బూసికొనటదన
మును మెలంగిన మెలకువకును ముప్పుగుం బిదపన్ 125
- అ. రాజునొడ్డం బలువురకు సంకటంబుగా
దిరుగు పనుల నెంత తేజమయిన
వాని బుద్ధి గలుగు వారొల్ల; రవి మీదం
జేటు తెచ్చుటెట్లు సిద్ధమగుట 126
- క. ఊరకయుండక, పలువుర
తో రవమెనంగంగం బలుకక దొడరకయు, మదిం
జేరువ గల నాగరికులు
దారుంగలసి పలుకవలయు ధరణీశుకడన్ 127
- క. వేతాక తెఱంగున నొరులకు
మాతాడక యునికి లెస్సమనుజేంద్రుకడం;
దీఱమి గల చోటులండా
మీతి కడంగి వచ్చి పంపుమెయికొన వలయున్ 128

- చ. ధరణీపు చక్క గట్టెదరు దక్కి పిఱందును గానియట్లుగా
నిరుగెలనం దగం గొలిచి యే మనునో, యెటు సూచునొక్కో! యె
వ్వరి దెసనెప్పుడే తలంపు వచ్చునొ యీతని కంచు జూడ్కిను
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- క. నగళులలో పలి మాటలు
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డుగడం బుట్టినం బతివిన
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- క. అంతిపురము చుట్టతీకం
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- ఆ. ఉత్తమాసనములు, నుత్కృష్ట వాహనం
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- క. మన్నన కుబ్జక, యవమతి
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మున్నున్న యట్ల మెలంగిన
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- క. జనపతియెవ్వరినైనను
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- ఉ. ఎండకు వానకోర్చి, తన యిల్లు ప్రవాసపుంజోటునాక, యీ
కొండు, నలంగుదున్, నిదురకుందఱిదప్పెడు, డప్పిపుట్టె, నొ
క్కండన యెట్లాకో యనక కార్యము ముట్టిన చోట నేలినా
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- క. తానెంత యావుడైన మ
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- అ. ఆవులింత, తుమ్ము, హాసంబు, నిష్ఠీవ
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- క. వైరుల దూతలు, నెరవగు
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- అ. వసుమతీశు పాలవనియించు నేనుంగు
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వైరమగు తెఱంగు వలవదు; తానెంత
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- క. కలిమికి భోగముల కదా
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చ్చలవిడి భోగింపక వే
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- వ. అని యిట్లు పురోహితుడు సేవా ధర్మంబు లెఱింగించిన ధర్మజ భీమార్జునకుల
సహదేవులు ప్రసన్న చిత్తులై యిట్లనిరి 141
- క. తల్లియు దండ్రీయు దైవము
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ర్తిల్లెడు తెఱంగు లెంతయుఁ
దెల్లము సేసితిరి; బ్రతికితిమి మీ కరుణన్ 142

- అ. అనిన ధౌమ్యుడిట్టలనియె; నీ వత్సర
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సంకటముల కోర్చి చరియించి యాపద
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- క. అనవుడు నట్టుల చేసెద
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దన మొనరించినఁ దగుదీ
వనలిచ్చెనతండు గాఢవాత్సల్యమునన్ 144
- క. భూదేవోత్తమునాశీ
ర్వాదంబులఁ బ్రీతిఁ బొంది వారలు ప్రస్థా
నాదరపరుల గుటయున
మౌడావహ పుణ్యకర్మముల కుద్యుతుడై 145
- అ. అతడు నియతితోడనగ్ని సముజ్జ్వలం
బుగనొనర్చి కామ్యపూజ దీర్చి
యాన సమయ మంగళార్థంబులగు మంత్ర
సంచయములు దగ జపించుచుండె 146

3.4 పాఠ్యభాగ పరిచయం

పాండవులు అరణ్యవాసం ముగిసింది. అజ్ఞాతవాసం ప్రారంభంకానున్నది. మత్స్యదేశాన్ని పాలిస్తున్న రాజు విరటుడు. ఈయన కొలువునే తమ అజ్ఞాత కాల ఆవాసంగా ధర్మరాజు నిర్ణయించాడు. భీముడు, అర్జునుడు, నకుల సహదేవులు, ద్రౌపదీలతో ఎవరెవరు ఏయే విధంగా కొలువులో ఉండి అజ్ఞాతంగా ఉండాలో నిర్ణయించాడు. తమ వెనుక వచ్చిన ఆత్మీయ పరివారాలను వారికి తగిన విధంగా చెప్పి వెనకకు పంపించివేసాడు.. గురుతుల్యుడైన ధౌమ్యుని అగ్నిహోత్రుని వలె గౌరవిస్తూ ప్రదక్షిణ సమస్కారాలు చేసి సెలవు తీసుకొని అజ్ఞాతవాసానికి వెళ్ళే సందర్భములో ధౌమ్యుడు పాండవులకు సేవా ధర్మము తెలియ జేయడమే ఈ పాఠ్యాంశము.

‘ధౌమ్యధర్మోపదేశము’ అనే ఈ పాఠ్యభాగము తిక్కన రచించిన ఆంధ్రమహాభారతంలోని ‘విరాటపర్వం’ ప్రథమాశ్వాసం నుంచి గ్రహించబడినది.

3.5 కఠిన పదాలకు అర్థాలు

హితులు	=	స్నేహితులు
కఱుపక తక్కురు	=	ఉపదేశం చేయకుండా వదిలిపెట్టరు
అట్లు + అగుటన్	=	అందుచేత
ఒండొక	=	మరొక
మనలివర్తిల్లి	=	అణగిమణిగి నడుచుకొని
కొలిచి	=	సేవించి
ఓర్చి	=	నహించి
అడఁకువ + తోడన్	=	వినయంతో
అరిది	=	కష్టం
వాలి	=	విజృంభించి
అభీలతన్	=	భయంకరంగా
మండన్ + తొడరినన్	=	మండటం మొదలు పెట్టితే
అప్రమాద + అర్థంబు	=	ఏమరపాటు కలుగకుండా
ఉపదేశంబు	=	హితవు చెప్పటం
అవశ్య కర్తవ్యంబు	=	తప్పక చేయదగినపని
సావధానులరు + అయి	=	ఏకాగ్రతచిత్తం కలవారై
అర్హంబు + అగు + ఎడన్	=	తగినచోటు
అవికృతవేషంబుగన్	=	వికారంకాని వేషం కలిగి ఉండేటట్లు
జగతివల్లభునకున్	=	రాజు
సమ్మాన్యుడు + అగున్	=	గౌరవించదగిన వాడవుతాడు.
తేఁకువలేమిన్	=	జంకుగొంకు లేకుండా
పురుషార్థంబునకున్	=	పురుష ప్రయోజనానికి

హాని + పుట్టుక + ఉన్నే	=	కీడు కలగకుండా ఉంటుందా?
ఇలు	=	ఇల్లు
నృపాలుడు	=	రాజు
చలువన్	=	చేయడానికి
ఉల్లమునన్	=	మనస్సులో
కడువేడ్డు + చేయున్	=	బాగా ఇష్టపడతాడు
ఏ + ఓజన్	=	ఏ విధంగా
అభిరామముగాన్	=	అందంగా
ఒండులకున్	=	ఇతరులకు
విదగ్ధుడు + ఐ	=	నేర్పరియై
పౌత్రులు	=	మనుమళ్ళు
బ్రాతలు	=	సొదరులు
అనరు	=	అని భావించరు
కోరువునన్	=	నేర్పుతో
మెలంగుచున్	=	ప్రవర్తిస్తూ
పయిన్ + పూనుకొనుటన్	=	తగుదమ్మా అంటూ ఏ పనిని మీద వేసుకోవటం
మెలంకువకును	=	జాగురూకతతో
ముప్పు + అగున్	=	ముప్పే అవుతుంది
రాజున్ + ఒద్దన్	=	రాజు దగ్గర
సంకటంబు + కాన్	=	ఇబ్బంది కలిగేటట్లు
తేజము + అయినన్	=	ఎంతతేజస్సు ఉన్నా
చేటు తెచ్చుట	=	ఇబ్బంది కలిగించటం
రవము + ఎసంగంగన్	=	ఆర్భాటాలు ప్రకటిస్తూ
పలుకన్ + తొడరకయున్	=	మాటలాడటం మొదలుపెట్టక
చేరువ	=	సాన్నిహిత్యం
తారున్	=	తామును

వేరొక తెఱంగునన్	=	ఇంకొక పద్ధతిలో
మాటు + ఆరక + ఉనికి	=	సమాధానం చెప్పకుండా ఉండటం
లెస్స	=	మంచిది
తీఱమి	=	అక్కర
కలచోటులన్	=	ఉన్నచోటులలో
పంపు	=	పంపుట (రాజాజ్ఞ)
మెయికొనవలయున్	=	అంగీకరించాలి
చక్కన్	=	సమక్షం
పిఱుందును	=	వెనుకవైపున
ఇరు + కెలగన్	=	రెండు ప్రక్కలా
నగకుల లోపలి	=	అంతఃపురాలలోని

1. రాజగృహంబుకంటె నభిరామముగా నిలుగట్టంగూడ, దే
యోజ నృపాలుండాకృతికి నొప్పుగు వేషము లాచరించు, నే
యోజ విహరముల్ సలుపనుల్లమునం గడువేడ్కసేయు, నే
యోజ విదగ్ధుండై పలుకు, నొడ్డులకుం దగుదట్టుసేయంగన్

ఈ పద్యం తిక్కనచే రచించబడిన ధౌమ్యధర్మోపదేశం నుండి గ్రహింపబడినది. ఈ పాఠ్యాంశము ఆంధ్ర మహా భారతమందలి విరాటపర్వం ప్రథమాశ్వాసం నుండి స్వీకరింపబడినది.

3.6 ప్రతిపదార్థ - తాత్పర్యాలు

రాజగృహంబుకంటెన్	=	రాజుగారి ఇంటి కన్నా
అభిరామముగాన్	=	అందముగా
ఇలు	=	ఇల్లు
కట్టన్ + కూడదు	=	కట్టకూడదు
నృపాలుడు	=	రాజు
ఏ + ఓజన్	=	ఏ రకంగా
అకృతికిన్	=	అకారానికి

ఒప్పు + అగు	=	తగిన
వేషములన్	=	వేషధారణలు
ఆచరించున్	=	ఆచరిస్తాడో
ఏ + ఓజస్	=	ఏ విధంగా
విసరముల్	=	విహారాలను
నలుపన్	=	చేయడానికి
ఉల్లమునన్	=	మనస్సులో
కడువేడ్క + చేయున్	=	బాగా ఇష్టపడతాడో
విదగ్ధుడు + ఐ	=	నేర్పరియై
పలుకున్	=	మాట్లాడతాడో
అట్లు చేయంగన్	=	ఆ విధంగా చేయటం
తగదు	=	తగదు

తాత్పర్యం: రాజు గారి ఇంటి కన్నా అందంగా ఇల్లు కట్టు కొనకూడదు. రాజు గారి వేషధారణ పద్ధతిలో తాను దుస్తులు తొడుగుకొనకూడదు. రాజు చేసే విహారం పఠే తానూ విహరించ కూడదు. రాజు మాట్లాడే పద్ధతిలో తాను మాట్లాడటం తగదు.

విశేషం: రాజులు అందరికంటే అధికంగా ఉండాలనుకుంటారు. రాజసం వారి లక్షణం. అందుచేత సేవకులు రాజు కంటే ఎందులోనూ అధికంగా ఉండరాదు.

సంధులు :

వేడ్కసేయు	=	వేడుక + చేయు	=	గసగదవా దేశ సంధి
అట్లు సేయగన్	=	అట్లు + చేయగ	=	గసగదవా దేశ సంధి
నృపాలుడాకృతి	=	నృపాలుడు + ఆకృతి	=	ఉత్వసంధి
వేషములాచరించు	=	వేషములు + ఆచరించు	=	ఉత్వసంధి

సహసములు :

రాజగృహము = రాజు యొక్క గృహము = షష్ఠీతత్పురుష

ఛందస్సు = ఈ పద్యము ఉత్పలమాల - వృత్తము నకు చెందినవి.

ఇందు ' భ ర న భ భ ర వ ' అనే గణములు వస్తాయి.

అక్షరములు సంఖ్య = 20

యతి 1- 10 అక్షరముములు

2. ధరణిపు చక్క గట్టెదరు దక్కి పిఱందును గానియట్లుగా
నిరుగెలనం దగం గొలిచి యే మనునో, యెటు సూచునొక్కో! యె
వ్వరి దెసనెప్పుడే తలంపు వచ్చునొ యీతని కంచు జూడ్కిగు
స్థిరముగదన్ముఖుంబునన చేర్చుచు నుండుట నీతి కొల్వునన్

ఈ పద్యం తిక్కనచే రచించబడిన ధౌమ్యధర్మపదేశం నుండి గ్రహింపబడినది. ఈ పాఠ్యాంశము ఆంధ్ర మహా భారతమందలి విరాటపర్వం ప్రథమాశ్వాసం నుండి స్వీకరింపబడినది.

ప్రతిపదార్థం :

ధరణిపు	=	రాజు యొక్క
చక్కన్	=	సమక్షంలో
కడు + ఎదురు + తక్కి	=	ఎట్టెదుట ఉండటాన్ని వదిలిపెట్టి (ఎదురుగా నిలబడకుండా)
పిఱందున్	=	వెనుకవైపున
కాని + అట్లుగాన్	=	కాని విధంగా
ఇరు + కెలన్	=	రెండు పక్కలా
తగన్	=	తగునట్లు
కొలిచి	=	సేవించి
ఏమి + అనున్	=	ఏమి అంటాడో
ఎటుచూచున్ + ఒక్క	=	ఎటువైపు చూస్తాడో
ఈతనికిన్	=	ఇతనికి (రాజుకు)
ఎవ్వరిదెసన్	=	ఎవరి పట్ల
ఏ తలపు	=	ఎటువంటి అభిప్రాయం
వచ్చునో	=	వస్తుందో (కలుగుతుందో)

అంచున్	=	అంటూ
చూడ్చి	=	చూపు
సుస్థిరముగన్	=	నిశ్చలంగా
తత్+ ముఖంబునన్	=	ఆరాజు ముఖం మీదనే
చేర్చుచున్	=	ఉంచుతూ
కొల్పునన్	=	సభలో
ఉండుట	=	ఉండడం
నీతి	=	న్యాయం

తాత్పర్యం : కొలువులో రాజుకు మరీ ఎట్ట ఎదురుగా ఉండకూడదు. అట్లాగని వెనుక వైపు ఉండకూడదు. ఏదో ఒక ప్రక్కన నిలబడి సేవించాలి. ఏమంటాడో, ఎటు చూస్తాడో ఎవరిని చూస్తే ఎటువంటి ఆలోచన కలుగుతుందో - మొదలైన భావాలను మనసులో ఉంచుకొని రాజు ముఖం మీదనే దృష్టి సారించి సభలో మెలగాలి.

సంధులు :

తన్ముఖంబున్	=	తత్+ ముఖము	=	అనునాసిక సంధి
కట్టెదుట	=	కడు + ఎదుట	=	ద్విరుక్తటకార సంధి
ఈతనికంచు	=	ఈతనికి + అంచు	=	ఇకార సంధి
అతండొక	=	అతండు+ ఒక	=	ఉత్వసంధి
వానకోర్చి	=	వానకు + ఓర్చి	=	ఉత్వసంధి
ప్రవాసపుచోటు	=	ప్రవాసము + చోటు	=	పుంప్వాదేశ సంధి

సమాసములు :

తన యిల్లు	=	తన యొక్క యిల్లు	=	షష్ఠీ తత్పురుష

ఛందస్సు : ఈ పద్యము చంపకమాల వృత్తముకు చెందినది

ఇందు న జ భ జ జ జ ర అను గణములు ఉంటాయి

అక్షరాల మొత్తం 21

1-11 అక్షరాలకు యతి వర్తిస్తుంది.

3. ఎండకు వానకోర్చి, తన యిల్లు ప్రవాసపుఁజోటునాక, యా
కొండు, నలంగుదున్, నిదురకుందతిదప్పెడు, డప్పిపుట్టె, నొ
క్కండన యెట్లాకో యనక కార్యము ముట్టిన చోట నేలినా
తం డొక చాయ చూపినను దత్తురతంబనిసేయు టొప్పుగున్

ఈ పద్యం తిక్కనచే రచించబడిన ధౌమ్యధర్మపదేశం నుండి గ్రహింపబడినది. ఈ పాఠ్యాంశము ఆంధ్ర మహా భారతమందలి విరాటపర్వం ప్రథమాశ్వాసం నుండి స్వీకరింపబడినది.

ప్రతిపదార్థం :

ఎండకున్	=	ఎండకూ
వానకున్	=	వానకూ
ఓర్చి	=	ఓర్చుకొని
తన ఇల్లు, ప్రవాసము+చోటు నాక	=	ఇది తన యిల్లు, ఇది పరాయి చోటు అనుకొనకుండా
ఆ కొండున్	=	ఆకలిగొందును;
నలంగుదున్	=	నలిగి (అలసి) పోతాను;
నిదురకున్ + తతి తప్పెడన్	=	నిద్రకు సమయం మించిపోతుంది.
డప్పి+ పుట్టెన్	=	దాహం వేస్తున్నది;
ఒక్కండన + ఎట్లు+ ఒకో	=	ఒక్కడినే ఎట్లాగో;
అనక	=	అని తలపక;
కార్యము	=	పని;
ముట్టినచోటన్	=	కలిగినచోట;
ఏలిన + అతండు	=	రాజు;
ఒక చాయ	=	ఒక రీతి;
చూపినను	=	చూపిస్తే కూడా;
తత్తురతన్	=	నిష్ఠతో, ఏకాగ్రతతో

పనిచేయుట = పనిచేయడం;
ఒప్పు+ అగున్ = ఉచితమౌతుంది.

సమాసములు :

ఎండకు వానకు = ఎండకును, వానకున్ = ద్వంద్వ సమాసము
తన యిల్లు = తన యొక్క యిల్లు = షష్ఠీ తత్పురుష సమాసము

తాత్పర్యం:

ఎండకూ, వానకూ సహించాలి. తన యిల్లనీ, పొరుగుచోటనీ అనుకొనరాదు. ఆకలివేస్తుంది. అలసిపోతాను. నిద్రకు సమయం మించిపోతుంది. దాహం వేస్తున్నది. ఒక్కడినే ఎట్లా? అనే ఆలోచనలకు అవకాశం ఎప్పుడూ ఇవ్వకూడదు. అనుకోకుండా రాజు ఒక పనిని సూచించినట్లయితే ఆ పనిని శ్రద్ధతో, భక్తితో చెయ్యాలి.

3.7 సందర్భ సహిత వ్యాఖ్యలు

1. కాల విరోధంబు మఱచి కార్యముండప్పున్

కవి పరిచయం : భారతాన్ని ఆంధ్రీకరించిన కవులలో తిక్కన రెండవవాడు. 13 వ శతాబ్దపు కవి. తల్లి అన్నమ్మ. తండ్రి కొమ్మన. మనుమసిద్ధికి మంత్రిగా, ఆస్థానకవిగా వ్యవహరించేవాడు. తిక్కన ' నిర్వచనోత్తరరామాయణం', అనే గ్రంథాన్ని రచించెను. ఈయనకు 'కవిబ్రహ్మ' ఉభయ కవిమిత్రుడు అనే బిరుదులు కలవు. ఈ వాక్యం విరాటపర్వం - ప్రథమాశ్వాసం 'ధౌమ్య ధర్మోపదేశము ' అనే పాఠ్యాంశములోనిది.

సందర్భం : పాండవులకు గురుతుల్కుడైన ధౌమ్యుడు పాండవులకు అజ్ఞాతవాస కాలంలో మనలుకోవలసిన ధర్మములను గూర్చి వివరించిన సందర్భం.

భావం : కాల విరోధాన్ని మరచి పోకూడదు. కాదాని పరాక్రమాదులను ప్రదర్శిస్తే అజ్ఞాతవాసం భంగమవుతుంది. కార్యం చెడిపోతుంది.

2. పురుషార్థంబునకు హాని పుట్టుకయున్నే

కవి పరిచయం : భారతాన్ని ఆంధ్రీకరించిన కవులలో తిక్కన రెండవవాడు. 13 వ శతాబ్దపు కవి. తల్లి అన్నమ్మ. తండ్రి కొమ్మన. మనుమసిద్ధికి మంత్రిగా, ఆస్థానకవిగా వ్యవహరించేవాడు. తిక్కన ' నిర్వచనోత్తరరామాయణం', అనే గ్రంథాన్ని రచించెను.

ఈయనకు 'కవిబ్రహ్మ' ఉభయ కవిమిత్రుడు అనే బిరుదులు కలవు. ఈ వాక్యం విరాటపర్వం - ప్రథమాశ్వాసం 'ధౌమ్మ్య ధర్మోపదేశము' అనే పాఠ్యాంశములోనిది.

సందర్భం : పాండవులకు గురుతుల్యుడైన ధౌమ్మ్యుడు పాండవులకు అజ్ఞాతవాస కాలంలో మసలుకోవలసిన ధర్మములను గూర్చి వివరించిన సందర్భం.

భావం : మర్యాదను అతిక్రమించి నడుచుకుంటే మొదటికే మోసం వస్తుంది అని భావన.

3. కాంతాదులతోడి పొందు కలిమి భటునకున్

కవి పరిచయం : భారతాన్ని ఆంధ్రీకరించిన కవులలో తిక్కన రెండవవాడు. 13 వ శతాబ్దపు కవి. తల్లి అన్నమ్మ. తండ్రి కొమ్మన. మనుమసిద్ధికి మంత్రిగా, అస్థానకవిగా వ్యవహరించేవాడు. తిక్కన 'నిర్వచనోత్తర రామాయణం', అనే గ్రంథాన్ని రచించెను. ఈయనకు 'కవిబ్రహ్మ' ఉభయ కవిమిత్రుడు అనే బిరుదులు కలవు. ఈ వాక్యం విరాటపర్వం - ప్రథమాశ్వాసం 'ధౌమ్మ్య ధర్మోపదేశము' అనే పాఠ్యాంశములోనిది.

సందర్భం : పాండవులకు గురుతుల్యుడైన ధౌమ్మ్యుడు పాండవులకు అజ్ఞాతవాస కాలంలో మసలుకోవలసిన ధర్మములను గూర్చి వివరించిన సందర్భం.

భావం : భటుడికి అంతఃపురంలో సంబంధం మంచిదికాదు. అక్కడ స్త్రీలలో గూనివారు, వామనులు వంటివారు ఉండురు. వారి పొందు కీడు కలిగిస్తుందని భావం.

4. పూజ్యుడైన జనుల పొందు లెస్స

కవి పరిచయం : భారతాన్ని ఆంధ్రీకరించిన కవులలో తిక్కన రెండవవాడు. 13 వ శతాబ్దపు కవి. తల్లి అన్నమ్మ. తండ్రి కొమ్మన. మనుమసిద్ధికి మంత్రిగా, అస్థానకవిగా వ్యవహరించేవాడు. తిక్కన 'నిర్వచనోత్తర రామాయణం', అనే గ్రంథాన్ని రచించెను. ఈయనకు 'కవిబ్రహ్మ' ఉభయ కవిమిత్రుడు అనే బిరుదులు కలవు. ఈ వాక్యం విరాటపర్వం - ప్రథమాశ్వాసం 'ధౌమ్మ్య ధర్మోపదేశము' అనే పాఠ్యాంశములోనిది.

సందర్భం : పాండవులకు గురుతుల్యుడైన ధౌమ్మ్యుడు పాండవులకు అజ్ఞాతవాస కాలంలో మసలుకోవలసిన ధర్మములను గూర్చి వివరించిన సందర్భం.

భావం : భటుడు తానెంత పూజనీయుడయినా రాజు కొలువుకు సంబంధించిన జనులతో స్నేహంతో మెలిగి ఉండటం మేలు.

5. జేటు తెచ్చుటెట్లు సిద్ధమగుట

కవి పరిచయం: భారతాన్ని ఆంధ్రీకరించిన కవులలో తిక్కన రెండవవాడు. 13 వ శతాబ్దపు కవి. తల్లి అన్నమ్మ. తండ్రి కొమ్మన. .. మనుమసిద్ధికి మంత్రిగా, ఆస్థానకవిగా వ్యవహరించేవాడు. తిక్కన ‘ నిర్వచనోత్తర రామాయణం’,అనే గ్రంథాన్ని రచించెను. ఈయనకు ‘కవిబ్రహ్మ’ ఉభయ కవిమిత్రుడు అనే బిరుదులు కలవు. ఈ వాక్యం విరాటపర్వం - ప్రథమాశ్వాసం ‘ధౌమ్య ధర్మోపదేశము ’ అనే పాఠ్యాంశములోనిది.

సందర్భం: పాండవులకు గురుశుశ్రూషైన ధౌమ్యుడు పాండవులకు అజ్ఞాతవాస కాలంలో మసలుకోవలసిన ధర్మములను గూర్చి వివరించిన సందర్భం.

భావం : రాజుతో చనువుగా ఉన్న మర్యాదను అతిక్రమించరాదు. మర్యాదను అతిక్రమిస్తే చేటు కలుగుతుంది.

3.8 పాఠ్యభాగ సారాంశము

పాండవుల అరణ్యవాసం ముగిసిన పిదప అజ్ఞాతవాసం ప్రారంభంకానున్నది. ధర్మరాజు తన సోదరులతో చర్చించి అజ్ఞాత వాసానికి తగిన ఆవాసం మత్సదేశమని నిర్ణయించాడు. మత్సదేశ రాజు విరాటుడు. పాండవులు అందరూ ఎవరెవరు ఏయే పనులు చేయాలో నిర్ణయించుకున్నారు. అందుకు తగిన వేషధారణను గూర్చి చర్చించుకున్నారు. ధర్మరాజు తన వెంట ఉన్న పరివారాన్ని వెనక్కి పంపివేశాడు. ధౌమ్యుని అడ్వివోత్రుడు వలె గౌరవిస్తూ ప్రదక్షిణ నమస్కారాలు చేసి సెలవు తీసుకుంటున్న సందర్భంలో ధర్మరాజు యొక్క జైవిత్యవర్తనానికి తగిన విధంగా వివిధ సేవా ధర్మాలను గురించి ధౌమ్యుడు బోధ చేసిన సందర్భం.

ధౌమ్యుడు పాండవులకు సేవా ధర్మంబులును తెలుపుట : ఓ రాజా! కురువంశంలో పుట్టినవారు. గౌరవంగా పెరిగినవారు. మీ వంటి వారు మరొక సామాన్య మానవులముడిని (రాజుని) సేవిస్తూ మానావమానాలు సహిస్తూ అణగమణిగి సవినయంగా ఉండటం వీలు కాదు. వివిధాస్త్రాలు మంటలు వంటివి. వాటిని ధరించిన పాండవులు అగ్నులు వంటివారు. కాల విరోధాన్ని మరచి పోకూడదు. మరచి మండిపడితే, పరాక్రమాదులను ప్రదర్శిస్తే తమ ఉనికి బహిర్గతం అవుతుంది. అజ్ఞాతవాసం భంగమవుతుంది. మీకు ఎటువంటి ప్రమాదం కలుగకుండా ఉండాలని నా కోరిక. అందుచేత నాకు చేతనయిన విధంగా ఉపదేశం చేస్తాను. రాజులను సేవించవలసిన వారు జాగ్రత్తగా ఉండాలి. రాజసేవలో ఇబ్బందులకు లోనుగాకుండే విధంగా సాధారణ నీతిని సంగ్రహంగా మీకు చెబుతాను. శ్రద్ధగా వినండి.

తగిన పద్ధతిలో సభలోనికి అడుగుపెట్టాలి. తనకిచ్చిన స్థానంలో కూర్చోవాలి. తన రూపం, వేషం వికృతంగా ఉండకుండా జాగ్రత్త వహించాలి. సమయం తెలిసికొని, మసలుకొంటూ సేవించాలి. ఆ విధంగా చేయగల వ్యక్తి రాజులకు గౌరవ పాత్రుడవుతాడు. రాజు కొలువులో ఉన్నానని, రాజుతో చనువుగా తిరుగుతున్నానని, 'నాకేమిటి' అనే విధంగా నిర్భయంగా, మర్యాదను అతిక్రమించే విధంగా నడుచుకోరాదు. అలా చేస్తే మొదటికే మోసం వస్తుందని గ్రహించాలి. రాజుగారి ఇంటికన్నా అందంగా ఇల్లు కొట్టుకొనకూడదు. రాజుగారి వేషధారణ పద్ధతిలో తాను దుస్తులు ధరించరాదు. రాజు చేసే విహారం వలె తాను విహారం చేయకూడదు. రాజు మాట్లాడే విధంగా మాట్లాడటం మంచిదికాదు. తమ ఆజ్ఞ మీరినవారు కొడుకులైన, బంధువులైన, స్నేహితులైన, మనుషులు అయిన రాజులు క్షమించరు. భద్రత కొరకు అటువంటివారిని శత్రువులుగా చూస్తారు. కోపం పెంచుకుంటారు. వారి అంతు చూస్తారు. ఏదయినా సరే రాజు సమర్థుడు చేస్తున్న పనికి అడ్డు వెళ్ళకూడదు. అట్లా చేస్తే మొదటికే ముప్పు తప్పదని గ్రహించు కోవాలి. రాజుతో సన్నిహితంగా ఉండటం తప్పుకాదు. కాని, అతని వద్ద ఉండే చాలామందికి కష్టం కలిగించే పనులలో మాత్రం జోక్యం పనికిరాదు. అటువంటి పనుల వలన సేవకుడి శక్తి బహిర్గతం కావచ్చు. కాని, ఆ తరువాత హాని కలుగుటం మాత్రం తథ్యం. తెలివిగలవారు అటువంటి పనులకు దూరంగా ఉంటారు.

రాజు దగ్గర మౌనంగా ఉండకూడదు. పదిమందితో ఆర్భాటంగా మాట్లాడటం పనికిరాదు. తనకు దగ్గర వారైన కొలువుకాండ్రతో కలసి తాను రాజుతో మాట్లాడటం సబబు. తాను రాజు దగ్గర ఉన్నప్పుడు వ్యతిరేకత తోచే విధంగా ఇతరులకు సమాధానం చెప్పకూడదు. అవసరం ఏర్పడితే మాత్రం తనంతట తానే ముందుకు వచ్చి రాజాజ్ఞను నిర్వర్తించాలి. కొలువులో రాజుకు మరీ ఎట్ట ఎదురుగా ఉండకూడదు. వెనుక వైపునా ఉండకూడదు. ఏదో ఒక ప్రక్కన నిలబడి సేవించాలి. ఏమంటాడో ఎటు చూస్తాడో, ఎవరిని చూస్తే ఎటువంటి ఆలోచన కలుగుతుందో మొదలయిన భావాలను మనసులో ఉంచుకొని రాజు ముఖంమీదనే దృష్టి సారించి సభలో మెలగాలి.

అంతఃపుర వార్తలను ఎప్పుడీకీ బయట పెట్టరాదు. ఇతరత్రా మరెక్కడయినా రాజుకు సంబంధించిన మాటలు వింటే ముందు ఆలోచించాలి. ఆ తరువాత రాజు వినదగినవయితే చెప్పాలి. భటుడికి అంతఃపురంతో సంబంధం మంచిదికాదు. అక్కడ తిరిగే గూనివారు, వామనులు, పరిచారికలు మొదలైన వారితో స్నేహం కీడు కలిగిస్తుంది. రాజు అనుగ్రహిస్తేనే ఆసనాలు అధిరోపించాలి. అట్లాగే వాహనాలు కూడా. రాజునుగ్రహం

లేకుండా శ్రేష్ఠమైన ఆసనాలు వాహనాలను తమంతట తామే ఎన్నుకోరాదు. ఆ రెండింటిని లెక్కచేయక వెనుకటి వలెనే రాజు దగ్గర ప్రవర్తించే సేవకులకు మంచి జరుగుతుంది. ఆపదలు తొలగిపోతాయి.

రాజు ఎవరినైనా రక్షించాలన్నా, శిక్షించాలన్నా అటువంటి విషయాలు తెలిసినా సేవకుడు తనంతట తాను బయట పెట్టరాదు. అలా చేసేవాడు మూర్ఖుడు. ఎండకు, వానకు సహించాలి. ఆకలి, అలసట, నిద్ర, దాహం, ఒంటరితనం వంటి ఆలోచనలకు అవకాశం ఇవ్వకూడదు. అనుకోకుండా రాజు ఒక పనిని సూచించినట్లయితే ఆ పనిని శ్రద్ధతో భక్తితో చేయాలి. రాజుకు తాను ఎంత ఆప్తుడయినా రాజు ధనాన్ని పాము వలె భావించాలి. వాటిని సంగ్రహించే గుణం మానితే గాని మానము, ప్రాణము నిలువవు. రాజు కొలువు తీరినప్పుడు సేవకులు ఆవులించకూడదు. తుమ్మటం మంచిదికాదు. ఉమ్మటం, నవ్వుటం వంటివి తప్పని గ్రహించుకోవాలి. శత్రువుల యొక్క దూతలు వద్ద గాని, రాజు అగ్రహానికి గురైన వారి వద్ద గాని, పాపాత్ములు వద్ద గాని మీరు ఉండకుండా చూసుకోవాలి. లేకుంటే చివరకు కీడు, నిందా వస్తాయి. భటుడు తానెంత పూజనీయుడైనా, రాజు కొలువుకు సంబంధించిన వ్యక్తులతో స్నేహం మంచిది. భోగాల కొరకే సంపదలని సేవకుడు విచ్చలవిడిగా భావించరాదు. రాజునకు కంటగింపు కలుగకుండా నమ్రతతో మసలుకోవాలి. అని ధౌమ్యుడు సేవా ధర్మములను పాండవులకు విశదపరచినాడు.

పాండవుల సమాధానం : ధౌమ్యుడు చెప్పిన సేవా ధర్మములకు సంతోషించిన పాండవులు ఓ! మునిశ్రేష్ఠా! మాకు తలైన, తండైనా, దైవమైనా, మిత్ర సమూహమైనా అన్నీ మీరే. మేము కొలువు చేసేటప్పుడు పాటించవలసిన పద్ధతులను మీరు ఎంతో స్పష్టముగా తెలియజేసారు. నిజంగా మీ దయ వలన మేము ధన్యులమని చెప్పారు. అంతట ధౌమ్యుడు వారితో ‘ ఈ ఒక్క సంవత్సరకాలం ఎట్లాగయినా అణగమణిగి ఉండాలి. కష్టాలకు ఓర్చుకోవాలి. ఆపదలనుండి గట్టిక్కి బయటపడాలి.’ అని వక్కాణించెను. పాండవులు ధౌమ్యునితో అట్లాగే నడుచుకుంటామని మాట యిచ్చి నమస్కరించారు. అతిశయించిన వాత్సల్యంతో ధౌమ్యుడు పాండవులకు దీవెనలు ఇచ్చాడు. పాండవులు ఎంతగానో ఆనందించారు ఆయన ఆశీస్సులతో మత్స్యదేశానికి ప్రయాణమయ్యారు.

3.9 ప్రశ్నలు -సమాధానములు

1. ధౌమ్య ధర్మపదేశము పాఠ్యాంశ ఆధారంగా తిక్కన వివరించిన సేవా ధర్మములను వివరింపుము. లేదా

ధౌమ్యుడు పాండవులకు ఉపదేశించిన సేవా ధర్మములను వ్రాయుము.

జ. పాండవుల అరణ్యవాసం ముగిసిన పిదప అజ్ఞాతవాసం ప్రారంభంకానున్నది. ధర్మరాజు తన సోదరులతో చర్చించి అజ్ఞాత వాసానికి తగిన ఆవాసం మత్సదేశమని నిర్ణయించాడు. మత్సదేశ రాజు విరాటుడు. పాండవులు అందరూ ఎవరెవరు ఏయే వసులు చేయాలో నిర్ణయించుకున్నారు. అందుకు తగిన వేషధారణను గూర్చి చర్చించుకున్నారు. ధర్మరాజు తన వెంట ఉన్న పరివారాన్ని వెనక్కి పంపివేశాడు. ధౌమ్యుని అడ్మిహోత్రుడు వలె గౌరవిస్తూ ప్రదక్షిణ నమస్కారాలు చేసి సెలవు తీసుకుంటున్న సందర్భంలో ధర్మరాజు యొక్క జెచిత్యవర్తనానికి తగిన విధంగా వివిధ సేవా ధర్మాలను గురించి ధౌమ్యుడు బోధ చేసిన సందర్భం.

ధౌమ్యుడు పాండవులకు సేవా ధర్మములను తెలుపుట: ఓ రాజా! కురువంశంలో పుట్టినవారు. గౌరవంగా పెరిగినవారు. మీ వంటి వారు మరొక సామాన్య మానవులవలె (రాజుని) సేవిస్తూ మానావమానాలు సహిస్తూ అణిగమణిగి సవినయంగా ఉండటం మీలు కాదు. వివిధాస్త్రాలు మంటలు వంటివి. వాటిని ధరించిన పాండవులు అగ్నులు వంటివారు. కాల విరోధాన్ని మరచి పోకూడదు. మరచి మండిపడితే, పరాక్రమాదులను ప్రదర్శిస్తే తమ ఉనికి బహిర్గతం అవుతుంది. అజ్ఞాతవాసం భంగమవుతుంది. మీకు ఎటువంటి ప్రమాదం కలుగకుండా ఉండాలని నా కోరిక. అందుచేత నాకు చేతనయిన విధంగా ఉపదేశం చేస్తాను. రాజులను సేవించవలసిన వారు జాగ్రత్తగా ఉండాలి. రాజసేవలో ఇబ్బందులకు లోనుగాకుండా విధంగా సాధారణ నీతిని సంగ్రహంగా మీకు చెబుతాను. శ్రద్ధగా వినండి.

తగిన పద్ధతిలో సభలోనికి అడుగుపెట్టాలి. తనకిచ్చిన స్థానంలో కూర్చోవాలి. తన రూపం, వేషం వికృతంగా ఉండకుండా జాగ్రత్త వహించాలి. సమయం తెలిసికొని, మసలుకొంటూ సేవించాలి. ఆ విధంగా చేయగల వ్యక్తి రాజులకు గౌరవ పాత్రుడవుతాడు. రాజు కొలువులో ఉన్నానని, రాజుతో చనువుగా తిరుగుతున్నానని, 'నాకేమిటి' అనే విధంగా నిర్భయంగా, మర్యాదను అతిక్రమించే విధంగా నడుచుకోరాదు. అలా చేస్తే మొదటికే మోసం వస్తుందని గ్రహించాలి. రాజుగారి ఇంటికన్నా అందంగా ఇల్లు

కొట్టుకొనకూడదు. రాజుగారి వేషధారణ పద్ధతిలో తాను దుస్తులు ధరించరాదు. రాజు చేసే విహారం వలె తాను విహారం చేయకూడదు. రాజు మాట్లాడే విధంగా మాట్లాడటం మంచిదికాదు. తమ ఆజ్ఞ మీరినవారు కొడుకులైన, బంధువులైన, స్నేహితులైన, మనుమలు అయిన రాజులు క్షమించరు. భద్రత కొరకు అటువంటివారిని శత్రువులుగా చూస్తారు. కోపం పెంచుకుంటారు. వారి అంతు చూస్తారు. ఏదయినా సరే రాజు సమర్థుడు చేస్తున్న పనికి అడ్డు వెళ్ళకూడదు. అట్లా చేస్తే మొదటికే ముప్పు తప్పదని గ్రహించు కోవాలి. రాజుతో సన్నిహితంగా ఉండటం తప్పుకాదు. కాని, అతని వద్ద ఉండే చాలామందికి కష్టం కలిగించే పనులలో మాత్రం జోక్యం పనికిరాదు. అటువంటి పనుల వలన సేవకుడి శక్తి బహిర్గతం కావచ్చు. కాని, ఆ తరువాత హాని కలుగటం మాత్రం తథ్యం. తెలివిగలవారు అటువంటి పనులకు దూరంగా ఉంటారు.

రాజు దగ్గర మౌనంగా ఉండకూడదు. పదిమందితో ఆర్భాటంగా మాట్లాడటం పనికిరాదు. తనకు దగ్గరి వాడైన కొలువుకాండ్రతో కలసి తాను రాజుతో మాట్లాడటం సబబు. తాను రాజు దగ్గర ఉన్నప్పుడు వ్యతిరేకత తోచే విధంగా ఇతరులకు సమాధానం చెప్పకూడదు. అవసరం ఏర్పడితే మాత్రం తనంతట తానే ముందుకు వచ్చి రాజాజ్ఞను నిర్వర్తించాలి. కొలువులో రాజుకు మరీ ఎట్ట ఎదురుగా ఉండకూడదు. వెనుక వైపునా ఉండకూడదు. ఏదో ఒక ప్రక్కన నిలబడి సేవించాలి. ఏమంటాడో ఎటు చూస్తాడో, ఎవరిని చూస్తే ఎటువంటి ఆలోచన కలుగుతుందో మొదలయిన భావాలను మనసులో ఉంచుకొని రాజు ముఖంమీదనే దృష్టి సారించి సభలో మెలగాలి.

అంతఃపుర వార్తలను ఎప్పటికీ బయట పెట్టరాదు. ఇతరత్రా మరెక్కడయినా రాజుకు సంబంధించిన మాటలు వింటే ముందు ఆలోచించాలి. ఆ తరువాత రాజు వినదగినవయితే చెప్పాలి. భటుడికి అంతఃపురంతో సంబంధం మంచిదికాదు. అక్కడ తిరిగే గూనివారు, వామనులు, పరిచారికలు మొదలైన వారితో స్నేహం కీడు కలిగిస్తుంది. రాజు అనుగ్రహిస్తేనే ఆసనాలు అధిరోపించాలి. అట్లాగే వాహనాలు కూడా. రాజానుగ్రహం లేకుండా శ్రేష్ఠమైన ఆసనాలు వాహనాలను తమంతట తామే ఎన్నుకోరాదు. ఆ రెండింటిని లెక్కచేయక వెనుకటి వలెనే రాజు దగ్గర ప్రవర్తించే సేవకులకు మంచి జరుగుతుంది. ఆపదలు తొలగిపోతాయి.

రాజు ఎవరినైనా రక్షించాలన్నా, శిక్షించాలన్నా అటువంటి విషయాలు తెలిసినా సేవకుడు తనంతట తాను బయట పెట్టరాదు. అలా చేసేవాడు మూర్ఖుడు.

ఎందకు, వానకు సహించాలి. ఆకలి, అలసట, నిద్ర, దాహం, ఒంటరితనం వంటి ఆలోచనలకు అవకాశం ఇవ్వకూడదు. అనుకోకుండా రాజు ఒక పనిని సూచించినట్లయితే ఆ పనిని శ్రద్ధతో భక్తితో చేయాలి. రాజుకు తాను ఎంత ఆప్తుడయినా రాజు ధాన్యాన్ని పాము వలె భావించాలి. వాటిని సంగ్రహించే గుణం మానితే గాని మానము, ప్రాణము నిలువవు. రాజు కొలువు తీరినప్పుడు సేవకులు ఆవులించకూడదు. తుమ్మటం మంచిదికాదు. ఉమ్మటం, నవ్వుటం వంటివి తప్పని గ్రహించుకోవాలి. శత్రువుల యొక్క దూతలు వద్ద గాని, రాజు ఆగ్రహానికి గురైన వారి వద్ద గాని, పాపాత్ములు వద్ద గాని మీరు ఉండకుండా చూసుకోవాలి. లేకుంటే చివరకు కీడు, నిందా వస్తాయి. భటుడు తానెంత పూజనీయుడైనా, రాజు కొలువుకు సంబంధించిన వ్యక్తులతో స్నేహం మంచిది. భోగాల కొరకే సంపదలని సేవకుడు విచ్చలవిడిగా భావించరాదు. రాజునకు కంటగింపు కలుగకుండా నమ్రతతో మసలుకోవాలి. అని ధౌమ్మ్యుడు సేవా ధర్మములను పాండవులకు విశదపరచినాడు.

2. తిక్కన కవితా లక్షణములు వివరింపుము

జ. తెలుగు భారతాన్ని రచించిన కవిత్రయంలో తిక్కన రెండవవాడు. క్రీ.శ. 13 వ శతాబ్దం కవి. మనుమసిద్ధి ఆస్థానకవిగా, మంత్రిగా పనిచేసాడు. తల్లి అన్నమ్మ తండ్రి కొమ్మన తిక్కనను గూర్చిన మరెన్నో విషయాలు అతని శిష్యుడైన మూలఘటిక కేతన రచించిన 'దశకుమార చరిత్ర' లో ఉన్నాయి. తిక్కన 'నిర్వచనోత్తర రామాయణం' అనే కావ్యమును రాసి మనుమసిద్ధికి అంకితమిచ్చాడు. ఇవి కాక 'విజయసేనం' 'కవిదిగ్బంధం', అనే ఛంధో గ్రంథమును 'కృష్ణశతకము'ను రచించినా ప్రస్తుతం ఇవి అలభ్యములు. నన్నయ్య పూర్తి చేయని అరణ్యపర్వాన్ని వదలి 'విరాటపర్వం' మొదలుకొని ఆఖరుది అయిన స్వర్గారోహణ పర్వం వరకూ ఏకబిగిని ఆంధ్రీకరించారు. నన్నయకు రెండ వందల సంవత్సరాల తరువాతి వాడు తిక్కన. ఈయన భారత రచనకు ఉపక్రమించాడు. 'కవిబ్రహ్మ' అని కీర్తి పొందాడు. మహా భారత రచన కోసం 'దీక్ష' ను చేపట్టి, అందుకోసం మొదట 'సోమయాగం' చేసాడు. ఇందువలన తిక్కన సోమయాజిగా ప్రసిద్ధుడయ్యాడు.

తిక్కన తాను రచించిన భారత భాగాన్ని హరిహరనాథునికి అంకితం చేసాడు. హరి అనగా విష్ణువు. హరుడు అనగా శివుడు. “విష్ణు రూపాయ నమశ్శివాయ” అని శివుడికి విష్ణువుకి మధ్య బేధం లేదని ప్రకటించాడు. దీనితో వీరవైష్ణవం, వీరశైవం అనే మత భేదాలతో అశాంతితో అట్టుడికి పోయే సమకాలీక సమాజానికి అద్వైతమనే సందేశాన్ని అందించిన కవి తిక్కన.

కవితారీతులు : తిక్కన ఆంధ్రావళి మోదం కోసం మహాకవిత్వ దీక్షను చేపట్టి భవ్య కవితావేశంతో భారతాన్ని రచిస్తున్నానని చెప్పాడు. తన ‘నిర్వచనోత్తర రామాయణం’లో అమలోదాత మనీషనేను భయకావ్య ప్రౌఢి బాటించి శిల్పమునబారగుడ కళావిదుడ అని చెప్పుకున్నాడు. సంస్కృత, ఆంధ్రభాషలలో గొప్ప కవిత్వాన్ని సృష్టించిన తిక్కన ఉ భయకవి మిత్రుడుగా కీర్తి పొందాడు.

శైలి : తిక్కన రచనలో అలతి అలతి తేటతెలుగు పదాలు కనిపిస్తాయి. ఈయన శైలిలో నాటకీయత ప్రధానమైనది. ఈ పాఠ్యాంశములో ‘పుత్రులు పౌత్రులు భాత్రులు మిత్రులనరు రాజు లాజ్ఞ మిగిలిన చోటన్ శత్రులకాఁ దమయలు”.

అనే పద్యములో ఎంతో తేలికైన పదాలతో భావాన్ని సులభంగా అర్థం చేసుకొనే విధంగా అతని శైలి కాన వస్తుంది. తన వ్యతిరేకులైన వారు ఎవరైనా వారు రాజుకు శత్రువులే! వారి వివిధాస్త్ర విద్యా..... అనే పద్యమును రూపకాలంకారములో అస్త్రాలు మంటలు వంటి వని చెబుతూనే వాటి అండతో పరాక్రమాదులు చూపితే కార్యం చెడుతుందని ఎంతో నాటకీయంగా పాండవులు అస్త్రాలను దాచి పెట్టుకోవాలని ధ్వని మాత్రంగా చెప్పటం కనిపిస్తుంది.

తిక్కన అలంకారాలలో ఉపమను ఎక్కువగా ఉపయోగించియున్నాడు.. జీవితంలో గమనించిన ఉపమనాలను ఉపయోగిస్తాడు. విరాటపర్వంలో ఇందుకు ఎన్నెన్నో ఉదాహరణలున్నాయి. ‘నివులు గనిసిన మెఱయని నిప్పువోవె’ మంటల్లో మిడతలు సొచ్చినట్లయిన’ ఏనుంగునకు సిళ్ళు చూపినట్లు’ ఇలా ఎన్నో ఉన్నాయి.

తిక్కన కవిత్వంలో రసపోషణ, వర్ణనా నైపుణ్య, పాత్ర పోషణ తెలుగుదనం ఉట్టి పడే నుడికారాలు, జాతీయాలు, వ్యంగ్య సంభాషణలు ఇలా గొప్ప అర్థ వివరణతో కూడిన లక్షణాలు కనిపిస్తాయి.

3 ధౌమ్యుడు పాండవులకు వివరించిన ధర్మోపదేశములను వివరింపుము?

జ. పాండవుల అరణ్యవాసం ముగిసిన పిదప అజ్ఞాతవాసం ప్రారంభంకానున్నది. ధర్మరాజు తన సోదరులతో చర్చించి అజ్ఞాత వాసానికి తగిన ఆవాసం మత్స్యదేశమని నిర్ణయించాడు. మత్స్యదేశ రాజు విరాటుడు. పాండవులు అందరూ ఎవరెవరు ఏయే పనులు చేయాలో నిర్ణయించుకున్నారు. అందుకు తగిన వేషధారణను గూర్చి చర్చించుకున్నారు. ధర్మరాజు తన వెంట ఉన్న పరివారాన్ని వెనక్కి పంపివేశాడు. ధౌమ్యుని అడ్మినిస్ట్రేటరు వలె గౌరవిస్తూ ప్రదక్షిణ నమస్కారాలు చేసి సెలవు తీసుకుంటున్న సందర్భంలో ధర్మరాజు యొక్క జిచిత్యవర్తనానికి తగిన విధంగా వివిధ సేవా ధర్మాలను గురించి ధౌమ్యుడు బోధ చేసిన సందర్భం.

ధౌమ్యుడు పాండవులకు వివరించిన ధర్మోపదేశములు : ఓ రాజా! కురువంశంలో పుట్టినవారు. గౌరవంగా పెరిగినవారు. మీ వంటి వారు మరొక సామాన్య మానమపుత్రుడిని (రాజుని) సేవిస్తూ మానావమానాలు సహిస్తూ అణిగమణిగి సవినయంగా ఉండటం వీలు కాదు. వివిధాస్త్రాలు మంటలు వంటివి. వాటిని ధరించిన పాండవులు అగ్నులు వంటివారు. కాల విరోధాన్ని మరచి పోకూడదు. మరచి మండిపడితే, పరాక్రమాదులను ప్రదర్శిస్తే తమ ఉనికి బహిర్గతం అవుతుంది. అజ్ఞాతవాసం భంగమవుతుంది. మీకు ఎటువంటి ప్రమాదం కలుగకుండా ఉండాలని నా కోరిక. అందుచేత నాకు చేతనయిన విధంగా ఉపదేశం చేస్తాను. రాజులను సేవించవలసిన వారు జాగ్రత్తగా ఉండాలి. రాజసేవలో ఇబ్బందులకు లోనుగాకుండే విధంగా సాధారణ నీతిని సంగ్రహంగా మీకు చెబుతాను. శ్రద్ధగా వినండి.

తగిన పద్ధతిలో సభలోనికి అడుగుపెట్టాలి. తనకిచ్చిన స్థానంలో కూర్చోవాలి. తన రూపం, వేషం వికృతంగా ఉండకుండా జాగ్రత్త వహించాలి. సమయం తెలిసికొని, మసలుకొంటూ సేవించాలి. ఆ విధంగా చేయగల వ్యక్తి రాజులకు గౌరవ పాత్రుడవుతాడు. రాజు కొలువులో ఉన్నానని, రాజుతో చనువుగా తిరుగుతున్నానని, 'నాకేమిటి' అనే విధంగా నిర్భయంగా, మర్యాదను అతిక్రమించే విధంగా నడుచుకోరాదు. అలా చేస్తే మొదటికే మోసం వస్తుందని గ్రహించాలి. రాజుగారి ఇంటికన్నా అందంగా ఇల్లు కొట్టుకొనకూడదు. రాజుగారి వేషధారణ పద్ధతిలో తాను దుస్తులు ధరించరాదు. రాజు చేసే విహారం వలె తాను విహారం చేయకూడదు. రాజు మాట్లాడే విధంగా మాట్లాడటం మంచిదికాదు. తమ ఆజ్ఞ మీరినవారు కొడుకులైన, బంధువులైన, స్నేహితులైన, మనుషులు

అయిన రాజులు క్షమించరు. భద్రత కొరకు అటువంటివారిని శత్రువులుగా చూస్తారు. కోపం పెంచుకుంటారు. వారి అంతు చూస్తారు. ఏదయినా సరే సాధించుకోనగలిగిన సమర్థుడు చేస్తున్న పనికి అడ్డు వెళ్ళకూడదు. అట్లా చేస్తే మొదటికే ముప్పు తప్పదని గ్రహించు కోవాలి. రాజుతో సన్నిహితంగా ఉండటం తప్పుకాదు. కాని, అతని వద్ద ఉండే చాలామందికి కష్టం కలిగించే పనులలో మాత్రం జోక్యం పనికిరాదు. అటువంటి పనుల వలన సేవకుడి శక్తి బహిర్గతం కావచ్చు. కాని, ఆ తరువాత హాని కలుగటం మాత్రం తథ్యం. తెలివిగలవారు అటువంటి పనులకు దూరంగా ఉంటారు.

రాజు దగ్గర మౌనంగా ఉండకూడదు. పదిమందితో ఆర్భాటంగా మాట్లాడటం పనికిరాదు. తనకు దగ్గరి వారైన కొలువుకాండ్రతో కలసి తాను రాజుతో మాట్లాడటం సబబు. తాను రాజు దగ్గర ఉన్నప్పుడు వ్యతిరేకత తోచే విధంగా ఇతరులకు సమాధానం చెప్పకూడదు. అవసరం ఏర్పడితే మాత్రం తనంతట తానే ముందుకు వచ్చి రాజాజ్ఞను నిర్వర్తించాలి. కొలువులో రాజుకు మరీ ఎట్ట ఎదురుగా ఉండకూడదు. వెనుక వైపునా ఉండకూడదు. ఏదో ఒక ప్రక్కన నిలబడి సేవించాలి. ఏమంటాడో ఎటు చూస్తాడో, ఎవరిని చూస్తే ఎటువంటి ఆలోచన కలుగుతుందో మొదలయిన భావాలను మనసులో ఉంచుకొని రాజు ముఖంమీదనే దృష్టి సారించి సభలో మెలగాలి.

అంతః పురాలలో మాటలను ఎప్పటికీ బయట పెట్టరాదు. ఇతరత్రా మరెక్కడయినా రాజుకు సంబంధించిన మాటలు వింటే ముందు ఆలోచించాలి. ఆ తరువాత రాజు వినదగినవయితే చెప్పాలి. భటుడికి అంతఃపురంతో సంబంధం మంచిదికాదు. అక్కడ తిరిగే గూనివారు, వామనులు, పరిచారికలు మొదలైన వారితో స్నేహం కీడు కలిగిస్తుంది. రాజు అనుగ్రహిస్తేనే ఆసనాలు అధిరోపించాలి. అట్లాగే వాహనాలు కూడా. రాజునుగ్రహం లేకుండా శ్రేష్ఠమైన ఆసనాలు వాహనాలను తమంతట తామే ఎన్నుకోరాదు. ఎంతగా రాజు గౌరవం పొందినా సరే ఇటువంటి కార్యములు మంచివికావు. రాజు గౌరవిస్తే పొంగిపోవటం, అవమానిస్తే కృంగిపోవటం మంచిదికాదు. ఆ రెండింటిని లెక్కచేయక వెనుకటి వలెనే రాజు దగ్గర ప్రవర్తించే సేవకులకు మంచి జరుగుతుంది. ఆపదలు తొలగిపోతాయి.

రాజు ఎవరినైనా రక్షించాలన్నకున్నా, శిక్షించాలనుకొన్నా అటువంటి విషయాలు తెలిసినా సేవకుడు తనంతట తాను బయట పెట్టరాదు. అలా చేసేవాడు మూర్ఖుడు. ఎండకు, వానకు సహించాలి. ఆకలి, అలసట, నిద్ర, దాహం, ఒంటరితనం వంటి

ఆలోచనలకు అవకాశం ఇవ్వకూడదు. అనుకోకుండా రాజు ఒక పనిని సూచించినట్లయితే ఆ పనిని శ్రద్ధతో భక్తితో చేయాలి. రాజుకు తాను ఎంత ఆప్తుడయినా రాజు ధనాన్ని పాము వలె భావించాలి. వాటిని పరికించాలి. వాటిని సంగ్రహించే గుణం మానితే గాని మానము, ప్రాణము నిలువవు. రాజు కొలువు తీరినప్పుడు సేవకులు ఆవులించకూడదు. తుమ్మటం మంచిదికాదు. ఉమ్మటం, నవ్వుటం వంటివి తప్పని గ్రహించుకోవాలి. శత్రువుల యొక్క దూతలు వద్ద గాని, రాజు ఆగ్రహానికి గురైన వారి వద్ద గాని, పాపాత్ములు వద్ద గాని ఉండకుండా చూసుకోవాలి. లేకుంటే చివరకు కీడు, నిందా వస్తాయి. భటుడు తానెంత పూజనీయుడైనా, రాజు కొలువుకు సంబంధించిన వ్యక్తులతో స్నేహం మంచిది. భోగాల కొరకే సంపదలని సేవకుడు విచ్చలవిడిగా భావించరాదు. రాజునకు కంటగింపు కలుగకుండా నమ్రతతో మసలుకోవాలి. అని ధౌమ్మడు సేవా ధర్మములను పాండవులకు విశదపరచినాడు.

3.10 సంగ్రహ ప్రశ్నలు

1. రాజు కొలువులో ఉన్న ఉద్యోగులు గోప్యముగా ఉంచవలసిన అంశములేవి?

జ. అంతఃపురాలలో మాటలను ఎప్పటికీ బయట పెట్టరాదు. ఇతరత్రా మరెక్కడయినా రాజుకు సంబంధించిన మాటలు వింటే ముందు ఆలోచించాలి. ఆ తరువాత రాజు వినదగినవయితే చెప్పాలి. భటుడికి అంతఃపురంతో సంబంధం మంచిదికాదు. రాజు ఎవరినైనా రక్షించాలన్నకున్నా, శిక్షించాలనుకున్నా అటువంటి విషయాలు తెలిసినా సేవకుడు తనంతట తానుగా బయట పెట్టరాదు.

2. రాజసేవకుని లక్షణములను వ్రాయుము.

జ. ఎండకు, వానకు సహించాలి. విధి నిర్వహణలో తన యిల్లు, పొరుగుయిల్లు అని అనుకోరాదు. ఆకలి, అలసట, నిద్ర, దాహం, ఒంటరితనం వంటి ఆలోచనలకు అవకాశం ఇవ్వకూడదు. అనుకోకుండా రాజు ఒక పనిని సూచించినట్లయితే ఆ పనిని శ్రద్ధతో భక్తితో చేయాలి. రాజుకు తాను ఎంత ఆప్తుడయినా రాజు ధనాన్ని పాము వలె భావించాలి. వాటిని సంగ్రహించే గుణం మానితే గాని మానము, ప్రాణము నిలువవు. రాజు కొలువు తీరినప్పుడు సేవకులు ఆవులించకూడదు. తుమ్మటం మంచిదికాదు. ఉమ్మటం, నవ్వుటం వంటివి తప్పని గ్రహించుకోవాలి. వాటిని గోప్యంగా చేసుకోవాలి. శత్రువుల దూతలు గాని, రాజు ఆగ్రహానికి పాత్రులై నిరాకరించబడినవారుగాని, పాపాత్ములు గాని తమకు దగ్గరగా ఉండకుండా చూసుకోవాలి. లేకుంటే చివరకు కీడు, నిందా వస్తాయి.

3. తిక్కనను గూర్చి వ్రాయుము.

జ. తెలుగు భారతాన్ని రచించిన కవిత్వంలో తిక్కన రెండవవాడు. క్రీ.శ. 13 వ శతాబ్దం కవి. మనుమసిద్ధి ఆస్థానకవిగా, మంత్రిగా పనిచేసాడు. తల్లి అన్నమ్మ తండ్రి కొమ్మన తిక్కనను గూర్చిన మరెన్నో విషయాలు అతని శిష్యుడైన మూలఘటిక కేతన రచించిన 'దశకుమార చరిత్ర' లో ఉన్నాయి. తిక్కన 'నిర్వచనోత్తర రామాయణం' అనే కావ్యమును రాసి మనుమసిద్ధికి అంకితమిచ్చాడు. ఇవి కాక 'విజయసేనం' 'కవిదిగ్బంధం' అనే ఛంధో గ్రంథమును 'కృష్ణశతకము'ను రచించినా ప్రస్తుతం ఇవి అలభ్యములు. నన్నయ్య పూర్తి చేయని అరణ్యపర్వాన్ని వదలి 'విరాటపర్వం' మొదలుకొని ఆఖరుది అయిన స్వర్ణారోహణ పర్వం వరకూ ఏకబిగిని ఆంధ్రీకరించాడు. నన్నయకు రెండ వందల సంవత్సరాల తరువాత తిక్కన భారత రచనకు ఉపక్రమించాడు. 'కవిబ్రహ్మ' అని కీర్తి పొందాడు. మహా భారత రచన కోసం 'దీక్ష' ను చేపట్టి, అందుకోసం మొదట 'సోమయాగం' చేసాడు. ఇందువలన తిక్కన సోమయాజిగా ప్రసిద్ధుడయ్యాడు.

4. రాజు దగ్గర సేవకుడు ఏ విధంగా ఉండాలి?

జ. రాజు దగ్గర మౌనంగా ఉండకూడదు. పదిమందితో ఆర్భాటంగా మాట్లాడటం పనికిరాదు. తనకు దగ్గరి వారైన కొలువుకాండ్రతో కలసి తాను రాజుతో మాట్లాడటం సబబు. తాను రాజు దగ్గర ఉన్నప్పుడు వ్యతిరేకత తోచే విధంగా ఇతరులకు సమాధానం చెప్పకూడదు. అవసరం ఏర్పడితే మాత్రం తనంతట తానే ముందుకు వచ్చి రాజాజ్ఞను నిర్వర్తించాలి. కొలువులో రాజుకు మరీ ఎట్ట ఎదురుగా ఉండకూడదు. వెనుక వైపునా ఉండకూడదు. ఏదో ఒక ప్రక్కన నిలబడి సేవించాలి. ఏమంటాడో ఎటు చూస్తాడో, ఎవరిని చూస్తే ఎటువంటి ఆలోచన కలుగుతుందో మొదలయిన భావాలను మనసులో ఉంచుకొని రాజు ముఖంమీదనే దృష్టి సారించి మెలగాలి.

5. అంతఃపుర మర్యాదచేవి?

జ. అంతః పురాలలో మాటలను ఎప్పటికీ బయట పెట్టరాదు. ఇతరత్రా మరెక్కడయినా రాజుకు సంబంధించిన మాటలు వింటే ముందు ఆలోచించాలి. ఆ తరువాత రాజు వినదగినవయితే చెప్పాలి. భటుడికి అంతఃపురంతో సంబంధం మంచిదికాదు. అక్కడ తిరిగే గూనివారు, వామనులు, పరిచారికలు మొదలైన వారితో స్నేహం కీడు కలిగిస్తుంది.

రాజు అనుగ్రహిస్తేనే ఆసనాలు అధిరోపించాలి. అట్లాగే వాహనాలు కూడా. రాజానుగ్రహం లేకుండా శ్రేష్ఠమైన ఆసనాలు వాహనాలను తమంతట తామే ఎన్నుకోరాదు. ఎంతగా రాజు గౌరవం పొందినా సరే ఇటువంటి కార్యములు మంచివికావు. రాజు గౌరవిస్తే పొంగిపోవటం, అవమానిస్తే కృంగిపోవటం మంచిదికాదు. ఆ రెండింటిని లెక్కచేయక వెనుకటి వలెనే రాజు దగ్గర ప్రవర్తించే సేవకులకు మంచి జరుగుతుంది. ఆపదలు తొలగిపోతాయి.

6. భాష్యభర్తృపదేశం పాఠ్యభాగ నేపథ్యమును వివరింపుము.

జ. అంతః పురాలలో మాటలను ఎప్పటికీ బయట పెట్టరాదు. ఇతరత్రా మరెక్కడయినా రాజుకు సంబంధించిన మాటలు వింటే ముందు ఆలోచించాలి. ఆ తరువాత రాజు వినదగినవయితే చెప్పాలి. భటుడికి అంతఃపురంతో సంబంధం మంచిదికాదు. అక్కడ తిరిగే గూనివారు, వామనులు, పరిచారికలు మొదలైన వారితో స్నేహం కీడు కలిగిస్తుంది. రాజు అనుగ్రహిస్తేనే ఆసనాలు అధిరోపించాలి. అట్లాగే వాహనాలు కూడా. రాజానుగ్రహం లేకుండా శ్రేష్ఠమైన ఆసనాలు వాహనాలను తమంతట తామే ఎన్నుకోరాదు. ఎంతగా రాజు గౌరవం పొందినా సరే ఇటువంటి కార్యములు మంచివికావు. రాజు గౌరవిస్తే పొంగిపోవటం, అవమానిస్తే కృంగిపోవటం మంచిదికాదు. ఆ రెండింటిని లెక్కచేయక వెనుకటి వలెనే రాజు దగ్గర ప్రవర్తించే సేవకులకు మంచి జరుగుతుంది. ఆపదలు తొలగిపోతాయి.

3.11 అభ్యాసం

1. ఈ క్రింది ప్రశ్నలకు సమాధానములు వ్రాయుము.

1. ఎట్టివానిని మూఢుడు అంటారు.
2. రాజు అనుగ్రహంతో చేయవలసిన పనులు ఏవి?

2. క్రింది పద్యమునకు ప్రతిపదార్థ తాత్పర్యములు వ్రాయుము.

1. ' ఎండకు వాన కోర్చి..... దత్తుర తంబని సేయుటొప్పుగున్

3. క్రింది వాటికి సందర్భ సహిత వ్యాఖ్యలు వ్రాయుము.

1. బురుషార్థంబునకు హాని పుట్టుకయున్నే?
2. మన్నన, గలుగువారికైనఁ గార్యమగునె?
3. మానినఁగాకేల కలుగు మానముబ్రదుకున్

4. క్రింది పదములను విడదీసి సంధినామములను వ్రాయుము.

1. కౌరవాన్వయము
2. పురుషార్థములు
3. వేషములాచరించు,
4. వేడక్కసేయు,
5. అట్లుసేయు,
6. అడ్డముసొచ్చి,
7. ఊరకయుండక,
8. ధారణీశుడు
9. మనుజేంద్రుడు,
10. కట్టెదుర,
11. అన్నరునకు.

5. క్రింది పదములకు సమాస నామములు, విగ్రహ వాక్యములు వ్రాయుము.

1. మానావమానములు,
2. అంతిపురము,
3. ఉత్తమాసనములు,
4. భూమిపాలుడు,
5. తనయిల్లు,
6. వైరుల దూతలు.

విద్యార్థులకు సూచనలు

నక్షత్రము గుర్తున్న పద్యములు కంఠస్తమ చేయవలెను.

పద్యముల నందలి అలంకారములు, ఛందస్సును గుర్తించవలెను.

యూనిట్ - 4

పలనాటి బెబ్బులి

శ్రీనాథుడు

4.1 ఉద్దేశం

ప్రజారక్షణ కోసం చేస్తున్న ప్రచున్న యుద్ధంలో బలపరాక్రమాదులు ఎలా ప్రదర్శించాలో వీరులకు ఎటువంటి లక్షణాలు ఉండాలో ఈ పాఠ్యాంశం తెలియజేస్తుంది.

4.2 పరిచయం

శ్రీనాథుడు 1385-1475 క్రీ.శ. కాలపు అగర్భకవి. అనేక గ్రంథములను రచించిన మహాకవి. మారయ, భీమాంబలు ఈతని తల్లిదండ్రులు. తాత కమలనాభామాత్యుడు కాల్పట్టణాధీశ్వరుడు. శ్రీనాథుడు బాల్యమునుండి కవి పండితుడుగా ప్రఖ్యాతి పొందాడు. సకల విద్యాసనాథుడు, కవి సార్వభౌముడు, బ్రాహ్మీదత్త వరప్రసాదుడు, ఈశ్వరార్చన కళాశీలుడు. తెలుగులో శ్రీనాథుడంతటి ప్రజ్ఞావంతుడైన పండితకవి మరొకడు కానరాదు. వివిధ భాషా పండితులతో పాండిత్య గోష్టి జరిపినాడు. నానారాజు సందర్శనం గావించినాడు. విద్యాధికారిగా, బహు గ్రంథకర్తగా, విద్వత్కవిగా విఖ్యాతుడు. ఇతని రచనలు - 'మరుత్తరాట్పురిత్ర' 'శాలివాహన సప్తశతి', 'పండితారాధ్య చరిత్ర', 'భీమేశ్వర పురాణము', 'క్రీడాభిరామం, కాశీకాండము', 'శివరాత్రి మాహాత్మ్యము', 'శృంగార నైషధము' మొదలగునవి. పల్నాటి వీరచరిత్ర తెలుగులో మొదటి వీరగాథా కావ్యము. ఇది 'మంజరి ద్విపద' అనే దేశీయ ఛందస్సులో వ్రాయబడినది.

4.3 పాఠ్యభాగము

మణికట్లదునుమాడి మస్తకవితతి
ధరమీదనారంగంగ దట్టించినరకి
మో చేతు లెడచేసి ముక్కులు చెక్కి
ఫాలంబులంజింపి ప్రక్కలగోసి
దొడలూగమాకి దండముల్ ద్రుంచి
కనుగ్రుడ్లు పగులంగ కర్ణముల్ వ్రాల
బలువైన రొమ్ములు పరియలుగాగ
తొడలెల్ల తునుకలై తూగాడుచుండ

తానువులూడంగ జంఘలువిరుగ
చీలలుపట్టేది చీకాకునొంద
ఈరీతి గొంతసే పీష్పిత మడర
అనుజులతో గూడ నని చేసిపిదప
దంతావళంబుల దట్టంబుచూచి

బాలుడుకోపంబు ప్రకటంబుగాగ
కొదమసింహము భంగి కుప్పించి యెగిరి
బలిమిమై కుంభముల్ పగులుగమోది
తొండముల్ తోకలు తునకలు సేసి
మావంతులనుగొట్టి మరణమెందించి

పైనున్నదొరలను పడిపోవపొడచి
దంతముల్ ముక్కులై ధరవ్రాలజిదిమి
చెవులను కత్తితో చీలికల్ చేసి
పిల్లదంతంబుల బెకలిచివైచి
ఘనపదంబుల దున్నికంఠముల్ నరికి

కొంతనేపిమ్మాడ్కి గురుశౌర్యమలర
 సమరంబు గావించి జవనాశ్వువితతి
 చక్కాడపైబడి సాహసగరిమ
 ఖడ్గకుంతంబులు కరములుబట్టి
 పైనున్న రాహుత్త పటలిని చంపి
 తొడిగినజోడంగి తుక్కుగజేసి
 సింగిణివిండ్లను చిదుకలొనర్చి
 బాణతూణీరముల్ భగ్గుముచేసి
 ఖడ్గఖేటకములు ఖండించిమించి
 మెడలురెండుగజేసి మేనులుచించి

యెదురు రొమ్ములలెన్న యీటెలగ్రుచ్చి
 కొంకులు తెగగొట్టి ఖరములుచెక్కి
 చాలసేపీగతి సమరంబొనర్చె
 బలమెల్లనీలాగు భంగంబునొంది
 కంఠముల్ దెగిపడ గ్రక్కుననురికి

నలగామరాజు సైన్యము కలతఁనొందుట

పడితన్ని కొనిచచ్చు బలసమూహంబు
 మస్తకంబులుపోయి మహిమీదమడిసి
 కన్నులు తెరచుచు గంతలువైచి
 ప్రాణముల్విడిచెడు వారునుమరియు
 పాదముల్ విరుగగ బవరంబుచేయ

పండ్లు గీటుచు నేలపై గూలువారు
 కరములుతునిసిన గత్తులు వదలి
 బాలునిగనివచ్చు భయదోగ్రభటులు
 ప్రేవులువెడలిన పెడచేతనెత్తి
 కడిమిచెబల్లెంబు గట్టిగా బట్టి

అహమహమికతోడ అరుదెంచగడిగి
సంచలింపనిదీర్ఘ సాహసఘనులు
మూల్గుచుచచ్చెడు మదియోధవరులు
బాలునికనుగొని భయమంది బెగడి
పారిపోయెడుపంద భట సమూహంబు

పారిపోవగలేక బ్రతుకుపైనాశ
బ్రతిమాలుచుండెడు బలనిచయంబు
లిటువంటి జగడంబు లెన్నడెరుంగ
మేలాగుపోదు మన్నేడ్చేడువారు

ఆలుబిడ్డలబాసి అన్నంబుకొరకు
వచ్చితిమీనేల వ్రాసెనుమృత్యు
పనిదుఃఖమొందుచు నసురుసురంచు
వేగమెప్రాణముల్ విడిచెడువారు
బహుదినంబులు మేము పాలేరుచేసి
మునికోల్లలెల్లను ముంజూర్లదోపి

పణతులుదిట్టిన పడకలేక వచ్చి
చచ్చుచునుంటమీ సమరరంగమున
పారిపోనిచ్చిన బ్రతుకుదుమయ్య
అని మ్రొక్కుచుండెడు అతిదీనభటులు
బోయవారము మేము పూర్వంబునందు
బుజముల కాయలు పూనికన్నొనుడి
పగవారుమముగని పారిపోవుదురు
మీకేమిభయమని మెలతనాగమ్మ
బాగుగా నమ్మించి పంపవచ్చితిమి
జీవముల్ దక్కిన చిన్నలగలిసి

బలుసాకుదినియైన బ్రతుకగగలము
 మీరుపిల్చినవేళ మేమరుదెంచు
 మనియంజలియొనర్చి యవమాన మొంది
 మగసిరి విడిచిన మానహీనులను
 వీలు చిక్కినరణ వీరులవదలి
 పోయెడునట్టి దుర్బుద్ధియుక్తులను
 చచ్చినవిధమున సమరోర్ధియందు
 పలుకకయూరక వ్రాలెడువారు
 చనలేకభయమున చచ్చిన వారి
 మీదద్రోసుక యుండి మెదలనివారు

చచ్చినగజముల చాటునడాగి
 పందతనంబున పడియుండువారు
 పెండ్లాలదలచుక బిట్టేడ్చువారు
 వల్మీకముల మీద వసియించువారు
 గడ్డిలోజొరబడి కదలనివారు
 వ్రేళ్ళుచీకెడువారు వెన్నిచ్చువారు
 వెండ్రుకల్ విప్పుక విదిలించువారు
 నీ వారమని పల్కి నిల్చుండవారు
 ఆయుధాల్ పడవైచి యలికెడువారు
 పడలేకచతికిలబడి యుండువారు

బవరంబులోగూలి ప్రాణజాలంబు
 విడిచియు ఖడ్గముల్ విడువనివారు
 భయదమైయిబ్బంగి పరికింపరాక
 సమరరంగము భయజనకమైయుండె

బాలచంద్రుడు శాత్రవబలంబులఁ జక్కాడుట

కొందరు విలుకాండ్రు గుంపులు గూడి
బహుబాణములు మీద బరపెడువేళ
తమ్ములనందర తగనిల్వజేసి
పరిఘమొక్కటిచేత పట్టుకతూరి
తనువునబాణముల్ దాకకుండంగ
భ్రమణనైపుణ్యంబు బల్విడిజూపి

పరతెంచువిశిఖముల్ పాయగొట్టుచును
ఖడ్గమాడించుచు గర్జలోనర్చి
అట్టహాసంబున నావిలుకాండ్ర
పైకేగిధనువుల భంగంబు చేసి
శింజనులెల్లను జిదురుపల్ చేసి

తూణముల్ శరములు తుమురుగా గొట్టి
చుట్టు పేరెమువారిశూరతమెరయ
పండతరిగినట్లు వడిమేను లెల్ల
ఖండించియము జేర గ్రక్కుననంపె
చొక్కచువ్వల వారు శూరత హెచ్చ

వంచుకపైకుర్కి వచ్చుటసూచి
బాలుడు వెసనార్చి పకపకనవ్వి
కమ్ములతోడు రాదంటయైతొడరి
కుప్పించిపైబడి గొడ్డండ్ల తోడ
చెరకులునరికిన చెలువుఘట్టిల్ల
అలుగులనీటెల నన్నింటిదునిమి

శూలంబులంబొడ్చి సురియల గ్రుమ్మి
గండ్రగొడ్డండ్రతో గనెలుగాగొట్టి
బాకులరొమ్ములు పరియలుచేసి
గదలచేశిరముల గడునుగ్గొనర్చి

బాధించిపొట్టల పటిమచేజించి
కత్తుల మేనులు కండలుడుచ్చి
పంపించెజముజూడ బలములనెల్ల
సంగ్రామ మీరితి జరిగిన వేళ
పారిరి మిగిలిన బంటులు గూడి
ఆవేశ నరసింగు అధిక కోపమున

పారిపోవుచున్న సైన్యమునకు నరసింహ భూపతి ధైర్యవాక్యములు చెప్పుట

పారెడువారికి బలుకంగసాగె
విరిగిపోవుట యిట్లువీరధర్మంబె
బాలురకనుగొని పరువిడనేల
మిమ్ముగాచీనవారి మేలెత్తజింప

బలిమిమీనరములఁ బారురక్తంబు
రాజాన్నవర్ధిత రక్తంబుగాదె
ధూర్తులైన్యపునకు ద్రోహంబొనర్చి
నమ్మినరాజును నట్టేటముంచీ
పోవుటయేనీతి పుణ్యాత్ములారా

తనువులస్థిరములు ధనములుకల్ల
కీర్తియొక్కటి భువిఖిలముగాకుండు
ధైర్యహీనత వీరధర్మంబుమాని
భంగురంబై మలభాండమైనట్టి
దేహంబుకొరకు సత్కీర్తిపోనాడి
విరిగిపోయెడునట్టి వెల్లులుగలరె

వీరసింహములకు వినుతినిగాంచు
సమరరంగంబులే సంచారవనులు
చచ్చినబ్రతికిన సౌఖ్యమచ్చటనే

బుద్ధులుచెడి పాఠిపోవుదురేని
భుక్తియుక్తులు రెండుపొవునుదొలంగి
ననుబాసిపోవుట న్యాయంబుగాదు
తప్పునామరణంబు తలచెడిపార
మృత్యుదేవతవచ్చి మేనులనిల్చె
బంటుపంతంబులే పారిపోవుటలు

పరికింపపెండ్లికి వచ్చుటలేదు
సమరకార్యమునకై చనుదెంచినాము
వచ్చినకార్యంబు వరదలోగలిపి
బంధులుమిత్రులు పగవారునవ్వ
పోవుట నీచతపుట్టదన్నంబు
పోవద్దురాజాన పోయితిరేని
అనియిట్లుపల్కిన ఆబలంబెల్ల
పారిపోవకరోష భరితమై నిల్చె
బాలచంద్రుండంత భ్రాతలగూడి

నలగామ రాజు సైన్యంబు బాలచంద్రునిపైఁ గవయుట

అట్టహాసముచేసె అరిసేనలపుడు
జడిసిగుండెలు వ్రీల చలనంబునొంది
ధైర్యంబువహించి దర్భముల్మీర
కదలుచక్రంబులు గండ్రగొడ్డండ్లు
పెద్దవిసురియలు భిండివాలములు
బల్లెముల్కుంతముల్ పరుశూలచయము
కొనికరంబుల తీవ్రకోపులై వచ్చి

మిడుతలుమంటపై మిడిపివడ్డట్లు
బాలునిదాకిరి భయధూరులగుచు
విక్రమాటోపత వెలసిబాలుండు

జలధిలోమందర శైలంబుతిరిగి
కలకనొందించిన కైవడిమీరి
కాలాగ్నిలోకముల్ కాచించినట్లు
దవవప్పివిపినంబు దారొన్నభంగి
మనుజులలోమారి మరిగినరీతి
శత్రుపైన్యంబుపై చయ్యనగదిసి

వారుప్రయోగించు వరశస్త్రవితతి
బహువిధంబులద్రుంచె భంగముగాక
ఒకబంటునొకకాలు నొయ్యనబట్టి
యొకబంటుతొడవట్టి హుంకరించుచును
ఇద్దరముగ్గుర నేకకాలమున

కుంతంబులంజిమ్మి కూలజేయుచును
బాణంబులంగ్రుచ్చి పట్టియెత్తుచును
కత్తులతోతలల్ గట్టిగానరకి
ప్రయ్యలైతనువులు వసుధపైబడగ
కడిదేశములయందు కత్తులవేయ

తునకలైభూస్థలి దొరుగుచునుండె
కుంతంబులెడ గ్రుమ్మికూల్చెడువేళ
నెత్తురుభూమిపై నిండుగపారె
ఎదురులేక సమరమీగతిచెల్ల
కనుగొనినరసింగు కంపంబుగదుర
తలయూచిశ్రీహరి దలచినెమ్మదిని
వ్రేలిడిముక్కుపై వెరగందికుంది.

4.4 పాఠ్యభాగ పరిచయం

తెలుగులో మొట్టమొదటి వీరగాథా కావ్యము పల్నాటి వీరచరిత్ర. అందరూ చదువుకొనేందుకుగాను పల్నాటి వీర చరిత్రలోని 'కల్లు ప్రతిష్ఠ, బాలచంద్రుని యుద్ధము అనే భాగాలను మంజరీద్వీపంలో రచించాడు. భారతకథకు పల్నాటి యుద్ధ కథకు పెక్కు పోలికలుండుటచే దీనిని పల్నాటి భారతము అని కూడా వ్యవహరించడం కద్దు. ఆర్యులకు భారతమెట్టిదో ఆంధ్రులకు పల్నాటి వీరచరిత్ర అట్టిది. బాలచంద్రుని కథను భారతము నందలి అభిమన్యుని కథతో పోలుస్తారు. బాలచంద్రుని తండ్రి బ్రహ్మనాయుడు. తల్లి ఐతాంబ ఈ దంపతులకు లేకలేక కలిగిన సంతానం బాలచంద్రుడు. ఇతని భార్య మాంచాలా, ఈమె వీరనారి.

యుద్ధ రంగంలో బాలచంద్రుని యొక్క పరాక్రమాన్ని వర్ణించడం ఈ పాఠంలో వివరించబడింది.

4.5 కఠిన పదాలకు అర్థాలు

ధర	=	భూమి
ఒదగంగా	=	పడిపోయినట్లు
ఫాలంబు	=	నుదురు
త్రుంచి	=	ముక్కలు చేసి (నాశనం చేసి)
కర్ణములు	=	చెవులు
రీతి	=	విధము
దంతావళంబులు	=	పళ్ళభాగము (దంతములు గల ఏనుగులు)
ప్రకటించు	=	ప్రకటించే విధం - ప్రకటన
భంగి	=	విధము
బలిమి	=	బలం
మావంతులు	=	మావటులు (ఏనుగును నడిపేవారు)
ఖడ్గము	=	కత్తి
సమరంబు	=	యుద్ధం
కుంతంబులు	=	బల్లెములు

జవనాశ్వము	=	మేలైన పరుగెత్తగల గుఱ్ఱము
సింగిణీవిండ్ల	=	బాణములు
బాణతూణీరములు	=	అమ్ములతో కూడిన పొది
మేనులు	=	శరీరాలు
యీటెలు	=	ఈటెలు (ఒక రకమైన ఆయుధం)
ఖురములుచే	=	డెక్కలు
కంఠములు	=	కంఠములు (గొంతుభాగం)
సమూహంబు	=	గుంపులు
మహి	=	భూమి
కరములు	=	చేతులు
కడిమి	=	మిక్కిలి
అవమహమిక	=	నువ్వా? నేనా?
యోధవరులు	=	వీరులైన వారు
జగడంబు	=	యుద్ధం
సమరాంగణము	=	యుద్ధభూమి
జీవములు	=	ప్రాణములు
సమరోర్వియందు	=	యుద్ధ భూమియందు
దుర్బుద్ధి	=	చెడు ఆలోచన
యుక్తులు	=	ఉపాయాలు
చనలేక	=	వెళ్ళలేక
గజములు	=	ఎనుగులు
వల్మీకములు	=	పుట్టలు
చొరబడి	=	ప్రవేశించి
బవరంబు	=	యుద్ధభూమిలో
విడువని	=	వదలని

సమరము	=	యుద్ధం
భయదము + అయి + భంగి	=	భయం గొలిపేటట్లు
విలుకాండ్రు	=	విల్లు ధరించి పోరాడేవారు
ధనువు	=	ధనస్సు (విల్లు)
(శింజినులు + ఎల్లు)		
శింజినులెల్లు	=	వింటినారి
శరీరములు	=	బాణములు
తుమురు	=	ముక్కలు
శూరతము	=	పరాక్రమము
శిరములు	=	తలలు
సంగ్రామము	=	యుద్ధము
పారిరి	=	పారిపోయెరు
బంటులు	=	సేవకులు, భటులు
ధూర్తులు	=	దుర్మార్గులు
అస్థిరములు	=	స్థిరము కానిది
కల్ల	=	అబద్ధం, అశాశ్వతం
రాజాన్య వర్ధితం	=	రాజు వలన కలిగినది
మేలు + త్యజింప	=	మంచిన వదిలేసి
భంగురం	=	అశాశ్వతమైనది.
దైర్యహీనత	=	దైర్యం లేకపోవటం
దేహంబు	=	శరీరం
భాండము	=	కుండ(నిండినది)

(సత్ + కీర్తి) సత్కీర్తి = గొప్పదైన పేరు ఖ్యాతి

వెల్లులు	=	వెర్రివారు, మూర్ఖులు
సౌఖ్యము	=	సుఖము
భుక్తి	=	ఆహారం
ముక్తి	=	మోక్షం
బాసిపోవుట	=	వదిలివెళ్ళటం
బంటులు	=	సేవకులు
పంతంబు	=	పని కార్యము
నీచ	=	నీచమైన
ఆబలంబెల్ల	=	సైనికులు (బలగములు)
రోషభరితమై	=	కోపం కలిగినవారై
అరిసేనలు	=	శత్రు సైన్యం
ఖండివాలములు	=	సూది మొన కలిగిన ఈటె
కుంతముల్	=	బల్లెము
పరుశూలచయము	=	శూలములు
దావహిన్ని	=	అడవికార్చిచ్చు
విపినంబు	=	అడవి
భంగి	=	విధముగా
చయ్యనగదిపి	=	ఎదుర్కొని
ద్రుంచె	=	నాశనం చేసే
కుంతంబులం	=	బల్లెము
తునకులు	=	ముక్కలు
భూస్థలి	=	భూమిపై ప్రదేశము
సమరము	=	యుద్ధం

4.6 సందర్భ సహిత వ్యాఖ్యాలు

1. కనుగ్రుడ్లు పగులంగ కర్ణములు వ్రాల

కవిపరిచయం: ఈ వాక్యం 15 వ శతాబ్దానికి చెందిన కవి సార్వభౌముడు 'శ్రీనాథ' మహాకవిచే రచింపబడిన 'పలనాటి వీరచరిత్ర' అనే గ్రంథము నుండి గ్రహింపబడిన 'పలనాటి బెబ్బలి' అనే పాఠ్యభాగం నుండి స్వీకరింపబడింది.

సందర్భం: యుద్ధ రంగమున బాలచంద్రుడు చేస్తున్న వీర విహారమునకు శత్రువుల యొక్క శరీర భాగములు ముక్కలవుతున్న వని కవి వివరిస్తున్న సందర్భం.

భావం: కనుగ్రుడ్లు పగిలిపోయి చెవుల వరకు వ్రాలిపోయినవని భావం.

2. విరిగిపోవుట యిట్లు వీరధర్మంబె

కవిపరిచయం: ఈ వాక్యం 15 వ శతాబ్దానికి చెందిన కవి సార్వభౌముడు 'శ్రీనాథ' మహాకవిచే రచింపబడిన 'పలనాటి వీరచరిత్ర' అనే గ్రంథము నుండి గ్రహింపబడిన 'పలనాటి బెబ్బలి' అనే పాఠ్యభాగమునుండి స్వీకరింపబడినది.

సందర్భం: బాలచంద్రుని పోరాట పటిమకు భయమంది నరసింహ భూపతి సైన్యం పారిపోవటం చూసి తన సైన్యమునకు ధైర్యం కలిగెట్ట పౌరషపు పలుకులు పలుకుతున్న సందర్భం

భావం: పారిపోవటం వీర ధర్మం కాదు

3. 'మిమ్ము గాచిన వారి మేలెత్తజింప

కవిపరిచయం: ఈ వాక్యం 15 వ శతాబ్దానికి చెందిన కవి సార్వభౌముడు 'శ్రీనాథ' మహాకవిచే రచింపబడిన 'పలనాటి వీరచరిత్ర' అనే గ్రంథము నుండి గ్రహింపబడిన 'పలనాటి బెబ్బలి' అనే పాఠ్యభాగంనుండి స్వీకరింపబడింది.

సందర్భం: నరసింహభూపతి సమర భూమిని వీడి భయంతో పారిపోతున్న తన సైన్యమునకు ధైర్య వాక్యాలు చెబుతున్న సందర్భం.

భావం : 'మిమ్మల్ని పోషిస్తున్న వారి మేలును వదిలేసి' వెళ్ళడం ధర్మంకాదు అని భావం.

4. తనువుల స్థిరములు ధనములు కల్ల

కవిపరిచయం : ఈ వాక్యం 15 వ శతాబ్దానికి చెందిన కవి సార్వభౌముడు 'శ్రీనాథ' మహాకవిచే రచింపబడిన 'పలనాటి వీరచరిత్ర' అనే గ్రంథము నుండి గ్రహింపబడిన 'పలనాటి బెబ్బలి' అనే పాఠ్యభాగంనుండి స్వీకరింపబడింది.

సందర్భం : నరసింహభూపతి సమర భూమిని వీడి భయంతో పారిపోతున్న తన సైన్యమునకు ధైర్య వాక్యాలు చెబుతున్న సందర్భం.

భావం : శరీరములు స్థిరమైనవి కావు. ఏనాటికైనా నశించేవే. సిరిసంపదలు అశాశ్వతములే అని భావం.

5. ' కీర్తి యొక్కటి భవినిఖిలముగాకుండు

కవిపరిచయం : ఈ వాక్యం 15 వ శతాబ్దానికి చెందిన కవి సార్వభౌముడు 'శ్రీనాథ' మహాకవిచే రచింపబడిన 'పలనాటి వీరచరిత్ర ' అనే గ్రంథము నుండి గ్రహింపబడిన 'పలనాటి బెబ్బలి' అనే పాఠ్యభాగంనుండి స్వీకరింపబడింది.

సందర్భం : బాలచంద్రుని యుద్ధ ధాటికి సమర రంగాన్ని వీడి వెనుతిరిగిపోతున్న సైన్యమును చూసి నరసింహభూపతి ధైర్య వనచనములు చెప్పు సందర్భం.

భావం : కీర్తి ఒక్కటే ఈ భూమి మీది శాశ్వతంగా నిలుస్తుంది. మిగిలినవన్నీ అశాశ్వతములేనని భావం.

6. పెండ్లాల దలచుక బిట్టేడ్చువారు

కవిపరిచయం : ఈ వాక్యం 15 వ శతాబ్దానికి చెందిన కవి సార్వభౌముడు 'శ్రీనాథ' మహాకవిచే రచింపబడిన 'పలనాటి వీరచరిత్ర ' అనే గ్రంథము నుండి గ్రహింపబడిన 'పలనాటి బెబ్బలి' అనే పాఠ్యభాగంనుండి స్వీకరింపబడింది.

సందర్భం : బాలచంద్రుని యుద్ధ ధాటికి సమర రంగమును వీడి వెనుతిరిగిపోతున్న సైన్యమును చూసి నరసింహభూపతి ధైర్య వనచనములు చెప్పు సందర్భం.

భావం : వివాహితులు తన భార్యను తలచుకొని విచారిస్తున్నారని భావము

7. చచ్చిన బ్రతికిన సౌఖ్యమచ్చటనే

కవిపరిచయం : ఈ వాక్యం 15 వ శతాబ్దానికి చెందిన కవి సార్వభౌముడు 'శ్రీనాథ' మహాకవిచే రచింపబడిన 'పలనాటి వీరచరిత్ర ' అనే గ్రంథము నుండి గ్రహింపబడిన 'పలనాటి బెబ్బలి' అనే పాఠ్యభాగం నుండి స్వీకరింపబడింది.

సందర్భం : బాలచంద్రుని యుద్ధ ధాటికి సమర రంగాన్ని వీడి వెనుతిరిగిపోతున్న సైన్యమును చూసి నరసింహభూపతి ధైర్య వనచనములు చెప్పు సందర్భం.

భావం : నరసింహభూపతి, వీరులు.... చచ్చినా బ్రతికినా యుద్ధరంగమునే.....అని తన సైన్యమునకు ధైర్యము చెప్పుట.

4.7 పాఠ్యభాగం సారాంశం

బాలచంద్రుడు ఆంధ్ర అభిమన్యుడని పేరు గాంచిన గొప్ప వీరుడు. బ్రహ్మనాయుని కుమారుడు. భారత వీరులలో సుప్రసిద్ధమయిన అభిమన్యునితో పోల్చదగినవాడు.

పాఠ్యాంశమునకు ముందుగా కొంత పలనాటి వీరచరిత్రను రేఖామాత్రంగా తెలుసుకోవలసిన అవసరం ఉంది. ఈ కావ్య కథలో గురజాలను రాజధానిగా చేసుకొని అనుగురాజు పల్నాటి రాజ్యాన్ని పాలించేవాడు. ఇతనికి ముగ్గురు భార్యలు. వీరవిద్యాదేవి, భూరమాదేవి, మైలమాదేవి. ఇతనికి మొదటి భార్య అయిన వీరవిద్యాదేవి వలన పెదమల్లదేవుడు.. పినమల్లదేవుడు, బాలమల్లదేవుడు అను ముగ్గురును, రెండవ భార్య అయిన భూరమాదేవికి “కామరాజు. నరసింహరాజు, జెట్టిరాజు పెరుమాళ్ళరాజు” అను నలుగురును. మూడవ భార్య అయిన మైలమాదేవికి నలగామరాజును, బిడ్డలుగా జన్మించిరి. నలగాముడే అందరి కన్నా పెద్దవాడు. అనుగురాజు తన మరణ కాల సమయమున తన కుమారులు చిన్నవారగుటచే వెలమ వీరుడైన, శీలవంతుడయిన బ్రహ్మనాయుని కప్పగించి వారిని పెద్దవారిని చేయమని కోరినాడు. అంతవరకు మంత్రిగా ఉంటూ రాజ్యవ్యవహారములు పర్యవేక్షించమని వేడుకొన్నాడు. వీరందరిని కంటికి రెప్ప వలే చూసుకొంటూ బ్రహ్మనాయుడు రాజ్యపాలనము చేయసాగెను. అతనిని పలనాటి ప్రజలు పలనాటి కృష్ణుడని కొనియాడేవారు. అభ్యుదయ భావాలతో బ్రహ్మనాయుడు ‘చాపకూడు’, దళితులకు ఆలయ ప్రవేశము కల్పించుట వంటి సంఘ సంస్కరణ కార్యక్రమాలు చేపట్టినాడు. మతావలంబులైనవారు అతని ధోరణి నచ్చక కొందరు దాయాదులతో కలసి నాగాంబ అను ఆమె సహాయమును కోరెను. ఆమె తన రాజకీయ తంత్రములతో కొన్నాళ్ళకు గురజాలకు మంత్రిణిగా విచ్చేసినది. ఆనాటి నుంచి బ్రహ్మనాయుడు, నాగాంబుల మధ్య రాజకీయ ప్రచ్ఛనయుద్ధము కొనసాగింది. బ్రహ్మనాయుని భార్య ఐతాంబకు కలిగిన ఏకైక సంతానము బాలచంద్రుడు. ఒకానొక సందర్భములో నాగాంబ ఏర్పాటు చేసిన కోడి పందెములు వలన బ్రహ్మనాయుని కోడిపుంజు ఓడిపోయినది. ఈ కారణంగా దాయాదుల మధ్య యుద్ధం అనివార్య మయెను. యుద్ధములో భాగంగా బాలచంద్రుడు యుద్ధ భూమిలో ప్రవేశించినాడు. కొద్దికాలము క్రితమే వీరమాంచాలతో వివాహితుడైనందున బాలచంద్రుడు యుద్ధభూమికి వెళ్ళకుండా ఉండేందుకు తల్లిదండ్రులు ప్రయత్నము చేసి విఫలమయిరి.

బాలుడైన బాలచంద్రుడు యుద్ధ రంగమున ప్రవేశించి శత్రు సైన్యము పాలిట యముని లాగా విజృంభించినాడు. అతని పరాక్రమానికి నరసింహ భూపతి సైన్యము

భయపడి పారిపోసాగింది. చేత మణికట్లను నరికివేసి భూమీద్ద పడేటట్లుగా, మోచేతులు మడచి ముక్కలు ముక్కలుగా చేస్తూ, నుదుటి భాగాలు కత్తివేటకు వికృతంగా మారిపోతూ కనుగ్రుడ్లు వెలుపలకు వచ్చి చెవుల వరకు వ్రేలాడుతూ ఉన్నాయి. బరువయిన రొమ్ములు చిద్రం అవుతున్నాయి. తొడలు ముక్కలు అవుతున్నాయి. నడుములు విరుగుతున్నాయి. ఈ విధంగా భీకరమైన వాతావరణం నెలకొని ఉంది. ఆ సమయంలో అనుచరులతో వచ్చిన బాలచంద్రుడు కొదమ సింహంలాగా కుప్పించి ఎగిరి ఏనుగుల కుంభ స్థలములను నాశనం చేస్తున్నాడు. తోకలు, తొండములను ముక్కలు చేస్తున్నాడు. ఏనుగులను నడుపుతున్న మావటలను సంహరించుచూ, ఏనుగులనధిరోహించిన దొరలు క్రింద పడగానే వారి కంఠాలను కత్తిరిస్తున్నాడు. ఈ విధంగా కొంతసేపు, గొప్ప శౌర్యముతో, తను అధిరోహించిన మేలు జాతి అశ్వపు గొప్పదైన పరుగుతో శత్రువుల యొక్క వీరత్వాన్ని నాశనం చేసాడు. శత్రువుల కత్తులను, బాణములను, శరీరములను తుత్తునియులుగా చేసాడు. కత్తులను ముక్కలు చేస్తూ, శత్రువుల మెడలను రెండుగా విరిచేస్తూ రొమ్ములో యీటిలను గ్రుచ్చి, శత్రు బలగం యొక్క బలాన్ని భగ్నం చేసి తనదైన రీతిలో యుద్ధం చేస్తున్నాడు.

నలగామ రాజు సైన్యం కలత చెందడం : బలవంతులైనవారు తన సైనికులు బాలచంద్రునితో తలపడలేక గుంపులుగా చనిపోతూ భూమీద్ద పడిపోతున్నారు. కన్నులు తెరిచే మరణించిన వారు కొందరు. పాదములు విరిగి నేలపై పడిపోతున్నారు. చేతులు తెగిపడినవారు. కొందరు నువ్వా నేనా అను విధంగా యుద్ధము చేస్తున్నటువంటి సాహసవంతులున్నారు. చలించని వీరత్వముతో యుద్ధం చేస్తున్న వయసు మళ్ళినవారు బాలుడి యొక్క సాహసమునకు ఆశ్చర్యపోతున్నారు. కొందరు భటులు భయపడిపారిపోసాగారు. బ్రతుకపై ఆశతో పారిపోలేక కొందరు తమను విడువమని బ్రతిమాలు కోసాగారు. ఇటువంటి యుద్ధం ఎన్నడూ చూడలేదని కొందరు విస్మయం పొందుతున్నారు. ఆలుబిడ్డలను వదిలేసి అన్నం కోసం వచ్చిన జీతగాళ్ళు తమకు మృత్యువు దాపురించిందని విచారించసాగారు. ఎంతోకాలంగా పాలేరు పనిచేస్తున్నవారు తమ ఆడువారు చెప్పిన మాటలు విని యుద్ధమునకు వచ్చామని అవకాశమిస్తే పారిపోతామని వేడుకోసాగారు. భుజబలంతో ఉన్న మిమ్ములను చూసి శత్రువులు భయంతో పారిపోతారని నాగమ్మ చెప్పిన మాటలు విని యుద్ధానికి వచ్చామని కొందరు బాధపడసాగారు. ప్రాణాలు దక్కితే చాలని వేడుకున్నారు. బ్రతికుంటే బలుసాకు తిని బ్రతుకుతామని, మీరు ఎప్పుడు పిలిస్తే అప్పుడు వచ్చి మీకు సహాయం చేయగలమని కొందరు చేతులు జోడించి ప్రార్థించసాగారు. పౌరుషం విడిచిన మానహీనులు, భయంతో చచ్చినవారి లాగా

పడియుండినవారు, అదుగు ముందుకు వేయలేక బిక్కచచ్చినవారు, చనిపోయిన వారి శరీరాలను మీద వేసుకొని ప్రాణాలను నిలుపుకొనే ప్రయత్నం చేస్తూ కొందరు, చచ్చిన ఏనుగుల మాటున దాగినవారు కొందరు, అవివాహిత యువత ఆవేదనను తమలోనే దాచుకొని వేదన చెందుతున్నారు. పుట్టల ప్రక్కన దాక్కున్నవారు కొందరు, గడ్డివాములోని దూరి కొందరు ప్రాణములను రక్షించుకోసాగారు. వ్రేళ్ళు చీకెడివారు, వెన్ను చూపిన వారు కొందరు. ప్రాణములు విడిచినా కూడా చేత కత్తిని విడువని వారు ఇంకొందరు. ఇలా భయానకమైన యుద్ధ రంగమును చూచి నలగాముడు కలతచెంద సాగాడు.

బాలచంద్రుడు తన యుద్ధ సైన్యమును ప్రదర్శించుట : బాలచంద్రుడు తన దగ్గర ఉన్న అస్త్రములతో యుద్ధ రంగమున తన యొక్క వీరత్వమును ప్రదర్శించెను. కొంతమంది విల్లంబులు ధరించినవారు అతనిపై శరములు వేస్తుండుగా వాటిని తన వద్దనున్న వాడియైన కత్తితో నాశనం చేస్తూనే, వారి తూజీరములను నాశనం చేసాడు. భ్రమణ సైన్యంతో కత్తి యుద్ధం చేస్తున్నాడు. గర్జన చేస్తూ, తలలను త్రుంచి వేసాడు. ధనుస్సులు విరిగేటట్లు చేసాడు. అందరూ తనను కేంద్రంగా చేసుకొని తన పైకి వస్తున్న శత్రు భటుల యొక్క తలలను నరుకుతున్నాడు. తనపై బాణాలు వేస్తున్న వారిని శూలముతో పొడిచాడు. గండ్రగొడ్డలితో వారిని ముక్కలు చేస్తున్నాడు. బాకులను రొమ్ములలో గ్రుచ్చుతున్నాడు. గదతో శిరములను విరగ్గడుతున్నాడు. కత్తులతో వారి శరీరాలను మ్రుక్కలు చేస్తున్నాడు. వారిని యమపురికి పంపిస్తున్నాడు. ఇలా భీకరంగా యుద్ధం చేస్తున్న బాలచంద్రుని నిపుణతకు, ఉగ్రరూపానికి భయపడిపారిపోతున్న భటులను సమీపించి నరసింహభూపతి వారికి ధైర్య వచనాలు చెప్పసాగాడు.

నరసింహభూపతి ధైర్య వాక్యములు చెప్పడం: పారిపోతున్న సైన్యమును నిలువరించి “ ఈ బాలుని చూసి ఇలా పారిపోవడం వీర ధర్మమేనా? మిమ్ము నమ్మిన వారి మేలును వదిలి వేస్తారా? మీ బలము, మీ నరాల్లో ప్రవహించే రక్తం రాజు యిచ్చిన ఆహారముతో కలిగింది కదా! యుద్ధానికి భయపడి రాజుకు ద్రోహం చేస్తారా? నమ్మిన రాజును నట్టేట ముంచి పారిపోవటం ఏ రకమైన నీతి. ఓ సైనికులారా! జీవితం అశాశ్వతం. సంపద భ్రమ. కీర్తి ఒక్కటే భూమ్మీద కలకాలం నిలిచి ఉంటుంది. పిరికితనంతో వీరధర్మమును వదలి, మలినమైన ఈ శరీరం కొరకు తపన ఎందుకు? ఇందుకోసం సత్కీర్తిని వదులుకుంటారా? వీరులైన వారికి యుద్ధరంగమే చక్కని వేదిక. చచ్చినా, బ్రతికినా అక్కడే ! భయపడి పారిపోయిన్నంత మాత్రమున మరణం తప్పిపోతుందా? పిరికివారి లక్షణమే పారిపోవటం. మనమంతా పెళ్ళికి రాలేదు. యుద్ధ రంగానికి వచ్చాము. వెన్నుచూపి పారిపోతే బంధువులు, శత్రువులు కూడా నవ్విపోతారు. ఇటువంటి నీచపు

పుట్టుక వ్యర్థం. పారిపోవద్దు. ఇది రాజాజ్ఞ సుమీ! అనే పరుష వాక్యాలు తన సైనికుల్లో పొరుషాన్ని నింపాయి. వారు బాలచంద్రునిపై రెట్టించిన పరాక్రమముతో విరుచుకుపడి యుద్ధం చేశారు.

నలగామరాజు సైన్యం బాలచంద్రునిపై పడుట : అట్టహాసంగా శత్రు సైన్యం ఎదుటవారి గుండెలు అదురునట్లుగా, మిక్కిలి ధైర్యముతో గండ్రగొడ్డలు, పెద్ద శూలములు, బల్లెములు, కత్తులు, పరుశువులతో మిడుతల దండు వచ్చినట్లుగా, భయము వదలి బాలుడైన బాలచంద్రునిపై పడి సముద్రంలో మంధర పర్వతం తిరిగిన విధంగా, కాలాగ్ని లోకములను కాల్చినట్లుగా యుద్ధ రంగమున అగ్నిజ్వాల ప్రజ్వరిల్లినట్లు శత్రు సైన్యంబుపై బాలచంద్రుడు పడి వారు ప్రయోగించిన అస్త్ర, శస్త్రములను వివిధ రీతులో నాశనం చేయిసాగాడు. ఒక బంటు కాలు పట్టుకొని, మరొక బంటును తొడవట్టి హంకరించుచు, ఇద్దరు ముగ్గురిని ఏకకాలమున చంపివేస్తూ, బాణంబులు గ్రుచ్చి, కత్తితో తలలు నరికి, ముక్కలైన వారి శరీరములు భూమీద్ద పడేటట్లు చేస్తున్నాడు. నెత్తురు భూమిపై ఏరుల వలే ప్రవహించింది. ఎదురు లేకుండా సాగుతున్న యుద్ధము నరసింహునిలో భయాన్ని కలిగించింది.

4.8 వ్యాసరూప ప్రశ్నలు

1 పలనాటి బెబ్బలి కథా సారాంశాన్ని వివరించండి.

జ. బాలచంద్రుడు ఆంధ్ర అభిమన్యుడని పేరు గాంచిన గొప్ప వీరుడు. బ్రహ్మనాయుని కుమారుడు. భారత వీరులలో సుప్రసిద్ధమయిన అభిమన్యునితో పోల్చదగినవాడు.

పాఠ్యాంశమునకు ముందుగా కొంత పలనాటి వీరచరిత్రను రేఖామాత్రంగా తెలుసుకోవలసిన అవసరం ఉంది. ఈ కావ్య కథలో గురజాలను రాజధానిగా చేసుకొని అనుగురాజు పల్నాటి రాజ్యాన్ని పాలించసాగెను. ఇతనికి ముగ్గురు భార్యలు. వీరవిద్యాదేవి, భూరమాదేవి, మైలమాదేవి. ఇతనికి మొదటి భార్య అయిన వీరవిద్యాదేవి వలన పెదమల్లదేవుడు.. పినమల్లదేవుడు, బాలమల్లదేవుడు అను ముగ్గురును, రెండవ భార్య అయిన భూరమాదేవికి “కామరాజు. నరసింహరాజు, జెట్టిరాజు పెరుమాళ్ళరాజు” అను నలుగురును. మూడవ భార్య అయిన మైలమాదేవికి నలగామరాజును, బిడ్డలుగా జన్మించిరి. నలగాముడే అందరి కన్నా పెద్దవాడు. అనుగురాజు తన మరణ కాల సమయమున తన కుమారులు చిన్నవారగుటచే వెలమ వీరుడైన, శీలవంతుడయిన బ్రహ్మనాయుని కప్పగించి వారిని పెద్దవారిని చేయమని కోరినాడు. అంతవరకు మంత్రిగా ఉంటూ రాజ్యవ్యవహారములు పర్యవేక్షించమని వేడుకొన్నాడు. వీరందరిని కంటికి రెప్ప వలే చూసుకొంటూ బ్రహ్మనాయుడు రాజ్యపాలనము చేయసాగెను. అతనిని పలనాటి

ప్రజలు వలనాటి కృష్ణుడని కొనియాడేవారు. అభ్యుదయ భావాలతో బ్రహ్మనాయుడు 'చాపకూడు', దళితులకు ఆలయ ప్రవేశము కల్పించుట వంటి సంఘ సంస్కరణ కార్యక్రమాలు చేపట్టినాడు. మతావలంబులైనవారు అతని ధోరణి నచ్చక కొందరు దాయాదులతో కలసి నాగాంబ అను ఆమె సహాయం కోరింది. ఆమె తన రాజకీయ తంత్రములతో కొన్నాళ్ళకు గురజాలకు మంత్రిణిగా విచ్చేసింది. ఆనాటి నుంచి బ్రహ్మనాయుడు, నాగాంబుల మధ్య రాజకీయ ప్రచ్ఛనయుద్ధము కొనసాగింది. బ్రహ్మనాయుని భార్య ఐతాంబకు కలిగిన ఏకైక సంతానము బాలచంద్రుడు. ఒకానొక సందర్భములో నాగాంబ ఏర్పాటు చేసిన కోడి పందెములు వలన బ్రహ్మనాయుని కోడిపుంజు ఓడిపోయింది. ఈ కారణంగా దాయాదుల మధ్య యుద్ధం అనివార్య మైంది. యుద్ధములో భాగంగా బాలచంద్రుడు యుద్ధ భూమిలో ప్రవేశించినాడు. కొద్దికాలము క్రితమే వీరమాంచాలతో వివాహితుడైనందున బాలచంద్రుడు యుద్ధభూమికి వెళ్ళకుండా ఉండేందుకు తల్లిదండ్రులు ప్రయత్నం చేసి విఫలమైనారు.

బాలుడైనా బాలచంద్రుడు యుద్ధ రంగమున ప్రవేశించి శత్రు సైన్యము పాలిట కాలుడు వలే విజృంభించినాడు. అతని పరాక్రమునకు నరసింహ భూపతి సైన్యము భయపడి పారిపోసాగెను. చేత మణికట్లను నరికివేసి భూమీద్ పడేటట్లుగా, మోచేతులు మడచి ముక్కలు ముక్కలుగా చేస్తూ, నుదుటి భాగాలు కత్తివేటకు వికృతంగా మారిపోతున్నాయి. కనుగ్రుడ్లు వెలువలకు వచ్చి చెవుల వరకు వ్రేలాడుతున్నాయి. బరువయిన రొమ్మలు చిద్రం అవుతున్నాయి. నడుములు విరుగుతున్నాయి. ఈ విధంగా భీకరమైన వాతావరణం నెలకొని ఉంది. ఆ సమయంలో అనుచరులతో వచ్చిన బాలచంద్రుడు కొదమ సింహంలాగా కుప్పించి ఎగిరి ఏనుగుల కుంభ స్థలాలను నాశనం చేస్తున్నాడు. తోకలు, తొండాలను ముక్కలు చేస్తున్నాడు. ఏనుగులను నడుపుతున్న మావటులను సంహరిస్తూ, ఏనుగులనధిరోహించిన దొరలు క్రింద పడగానే వారి కంఠాలను కత్తిరిస్తున్నాడు. ఈ విధంగా కొంతసేపు, గొప్ప శౌర్యముతో, తను అధిరోహించిన మేలు జాతి అశ్వపు గొప్పదైన పరుగుతో శత్రువుల యొక్క వీరత్వాన్ని నాశనం చేసాడు. శత్రువుల కత్తులను, బాణాలను, శరీరాలను తుత్తునియులుగా చేసాడు. కత్తులను ముక్కలు చేస్తూ, శత్రువుల మెడలను రెండుగా విరిచేస్తూ, రొమ్ములో ఈటలను గ్రుచ్చి, శత్రు బలగం యొక్క బలాన్ని భగ్నం చేసి తనదైన రీతిలో యుద్ధం చేస్తున్నాడు.

నలగామ రాజు సైన్యం కలత చెందుట : బలవంతులైనవారు తన సైనికులు బాలచంద్రునితో తలపడలేక గుంపులుగా చనిపోతూ భూమీద్ పడిపోతున్నారు. కన్నులు

తెరిచే మరణించిన వారు కొందరు. కాళ్ళువిరిగి నేలపై పడిపోతున్నారు. చేతులు తెగిపడినవారు. కొందరు నువ్వా నేనా అనే విధంగా యుద్ధము చేస్తున్నటువంటి సాహసవంతులున్నారు. చలించని వీరత్వముతో యుద్ధం చేస్తున్న వయసు మళ్ళినవారు బాలుడి యొక్క సాహసమునకు ఆశ్చర్యపోతున్నారు. కొందరు భటులు భయపడిపారిపోసాగారు. బ్రతుకపై ఆశతో పారిపోలేక కొందరు తమను విడువమని బ్రతిమాలు కోసాగారు. ఇటువంటి యుద్ధం ఎన్నడూ చూడలేదని కొందరు విస్మయం పొందుతున్నారు. అలుబిడ్డలను వదిలేసి అన్నం కోసం వచ్చిన జీతగాళ్ళు తమకు మృత్యువు దాపురించిందని విచారించసాగారు. ఎంతోకాలంగా పాలేరు పనిచేస్తున్నవారు తమ అడువారు చెప్పిన మాటలు విని యుద్ధమునకు వచ్చామని, అవకాశమిస్తే పారిపోతామని వేడుకోసాగారు. భుజబలంతో ఉన్న మిమ్ములను చూసి శత్రువులు భయంతో పారిపోతారని నాగమ్మ చెప్పిన మాటలు విని యుద్ధానికి వచ్చామని కొందరు బాధపడసాగారు. ప్రాణాలు దక్కితే చాలని వేడుకున్నారు. బ్రతికుంటే బలుసాకు తిని బ్రతుకుతామని, మీరు ఎప్పుడు పిలిస్తే అప్పుడు వచ్చి మీకు సహాయం చేయగలమని కొందరు చేతులు జోడించి ప్రార్థించసాగారు. పౌరుషం విడిచిన మానహీనులు, భయంతో చచ్చినవారు వలె పడియుండినవారు, అడుగు ముందుకు వేయలేక బిక్కచచ్చినవారు, చనిపోయిన వారి దేహములను మీద వేసుకొని ప్రాణములును నిలుపుకొనే ప్రయత్నం చేస్తున్నా కొందరు, చచ్చిన ఏనుగుల మాటున దాగినవారు కొందరు, అవివాహిత యువత ఆవేదనను తమలోనే దాచుకొని వేదన చెందుతున్నారు. పుట్టల ప్రక్కన దాక్కున్నవారు కొందరు, గడ్డివాములోని దూరి కొందరు ప్రాణములను రక్షించుకోసాగారు. వెన్ను చూపిన వారు కొందరు. ప్రాణములు విడిచినా కూడా చేత కత్తిని విడువని వారు ఇంకొందరు. ఇలా భయానకమైన యుద్ధ రంగమును చూచి నలగాముడు కలతచెంద సాగాడు.

బాలచంద్రుడు తన యుద్ధ నైపుణ్యమును ప్రదర్శించుట : బాలచంద్రుడు తన దగ్గర ఉన్న అస్త్రములతో యుద్ధ రంగంలో తన యొక్క వీరత్వమును ప్రదర్శించాడు. కొంతమంది విల్లంబులు ధరించినవారు అతనిపై బాణాలు వేస్తుండుగా వాటిని తన వద్దనున్న పదునైన కత్తితో నాశనం చేస్తూనే, వాటిని నాశనం చేసాడు. భ్రమణ నైపుణ్యంతో కత్తి యుద్ధం చేస్తున్నాడు. గర్జన చేస్తూ, తలలను త్రుంచి వేసాడు. ధనుస్సులు విరిగేటట్లు చేసాడు. అందరూ తనను కేంద్రంగా చేసుకొని తన పైకి వస్తున్న శత్రు భటుల యొక్క తలలను నరుకుతున్నాడు. తనపై బాణాలు వేస్తున్న వారిని శూలంతో పొడిచాడు. గండ్రగొడ్డలితో వారిని ముక్కలు చేస్తున్నాడు. బాకులను రొమ్ముల్లో గ్రుచ్చుతున్నాడు. గదతో తలలను

కొడుతున్నాడు. కత్తులతో వారి శరీరాలను మ్రుక్కలు చేస్తున్నాడు. వారిని యమపురికి పంపిస్తున్నాడు. ఇలా భీకరంగా యుద్ధం చేస్తున్న బాలచంద్రుని నిపుణతకు, ఉగ్రరూపానికి భయపడిపారిపోతున్న భటులను సమీపించి నరసింహభూపతి వారికి ఇలా ధైర్య వచనాలు పలికాడు.

నరసింహభూపతి ధైర్య వాక్యములు చెప్పడం: పారిపోతున్న సైన్యమును నిలువరించి “ఈ బాలుని చూసి ఇలా పారిపోవడం వీర ధర్మమేనా? మిమ్ము నమ్మిన వారి మేలును వదిలి వేస్తారా? మీ బలము, మీ నరములలో ప్రవహించే రక్తం రాజు యిచ్చిన ఆహారముతో కలిగినది కదా! యుద్ధానికి భయపడి రాజుకు ద్రోహం చేస్తారా? నమ్మిన రాజును నట్టేట ముంచి పారిపోవటం ఏ రకమైన నీతి. ఓ సైనికులారా! జీవితం అశాశ్వతం. సంపద భ్రమ. కీర్తి ఒక్కటే భూమ్మీద కలకాలం నిలిచి ఉంటుంది. పిరికితనంతో వీరధర్మమును వదలి, మలినమైన ఈ శరీరం కొరకు తపన ఎందుకు? ఇందుకోసం సత్పీఠిని వదులుకుంటారా? వీరులైన వారికి యుద్ధరంగమే చక్కని వేదిక. చచ్చినా, బ్రతికినా అక్కడే ! భయపడి పారిపోయిన్నంత మాత్రమున మరణం తప్పిపోతుందా? పిరికివారి లక్షణమే పారిపోవటం. మనమంతా పెళ్ళికి రాలేదు. యుద్ధ రంగానికి వచ్చాము. వెన్నుచూపి పారిపోతే బంధువులు, శత్రువులు కూడా నవ్విపోతారు. ఇటువంటి నీచపు పుట్టుక వ్యర్థం. పారిపోవద్దు. ఇది రాజాజ్ఞ సుమీ! అనే పరుష వాక్యాలు తన సైనికుల్లో పౌరుషాన్ని నింపాయి. వారు బాలచంద్రునిపై రెట్టించిన పరామ్రుకమముతో విరుచుకుపడి యుద్ధం చేసినారు.

నలగామరాజు సైన్యం బాలచంద్రునిపై పడుట : అట్టహాసంగా శత్రుసైన్యం ఎదుటవారి గుండెలు అదిరేటట్లుగా, మిక్కిలి ధైర్యంతో గండ్రగొడ్డకట్టు, పెద్ద చూలాలు, బల్లెములు, కత్తులు, పరుశువులతో మిడుతల దండు వచ్చినట్లుగా, భయము వదలి బాలుడైన బాలచంద్రునిపై పడి సముద్రమున మంధర పర్వతము తిరుగు విధంగా, కాలాగ్ని లోకములను కాల్చినట్లుగా యుద్ధ రంగమున అగ్నిజ్వాల ప్రజ్వలిల్లెనా అన్నట్లుగా శత్రుసైన్యంపై బాలచంద్రుడు పడి, వారు ప్రయోగించిన అస్త్ర, శస్త్రములను వివిధ రీతులో నాశనం చేయిసాగాడు. ఒక బంటు కాలు పట్టుకొని, మరొక బంటును తొడపట్టి హంకరించుచు, ఇద్దరు ముగ్గురిని ఏకకాలమున చంపివేస్తూ, బాణంబులు గ్రుచ్చి, కత్తితో తలలు నరికి, ముక్కలైన వారి శరీరములు భూమ్మీద పడేటట్లు చేస్తున్నాడు. నెత్తురు భూమిపై ఏరుల వలే ప్రవహించింది. ఎదురు లేకుండా సాగుతున్న యుద్ధము నరసింహునిలో భయాన్ని కలిగించింది.

2. బాలచంద్రుని పరాక్రమమును వివరింపుము?

జ. బాలుడైనా బాలచంద్రుడు యుద్ధ రంగమున శత్రు సైన్యము పాలిట యమునిలాగా విజృంభించాడు. అతని పరాక్రమానికి నరసింహ భూపతి సైన్యం భయపడి పారిపోసాగింది. చేత మణికట్లను నరికివేసి భూమ్మీద పడేటట్లుగా, మోచేతులు మడచి ముక్కులు ముక్కులుగా చేస్తూ, నుదిటి భాగాలు కత్తివేటకు వికృతంగా మారిపోతున్నాయి. కనుగ్రుడ్లు వెలుపలకు వచ్చి చెవుల వరకు వ్రేలాడుతున్నాయి. బరువయిన రొమ్ములు చిద్రం అవుతున్నాయి. నడుములు విరుగుతున్నాయి. ఈ విధంగా భీకరమైన వాతావరణం నెలకొని ఉంది. ఆ సమయంలో అనుచరులతో వచ్చిన బాలచంద్రుడు కొదమ సింహంలాగా కుప్పించి ఎగిరి ఏనుగుల కుంభ స్థలములను నాశనం చేస్తున్నాడు. తోకలు, తొండములను ముక్కులు చేస్తున్నాడు. ఏనుగులను నడుపుతున్న మావటులను సంహరించుచూ, ఏనుగులనధిరోహించిన దొరలు క్రింద పడగానే వారి కంఠాలను కత్తిరిస్తున్నాడు. ఈ విధంగా కొంతసేపు, గొప్ప శౌర్యంతో, తను అధిరోహించిన మేలు జాతి అశ్వపు గొప్పదైన పరుగుతో శత్రువుల యొక్క వీరత్వాన్ని నాశనం చేశాడు. శత్రువుల కత్తులను, బాణాలను, శరీరాలను తుత్తునియులుగా చేసాడు. కత్తులను ముక్కులు చేస్తూ, శత్రువుల మెడలను రెండుగా విరిచేస్తూ రొమ్ములో ఈటెలను గ్రుచ్చి, శత్రు బలగం యొక్క బలాన్ని భంగం చేసి తనదైన రీతిలో యుద్ధం చేస్తున్నాడు.

3. నలగామరాజు ధైర్యమును తెలియజేయండి.

జ. బాలచంద్రుడు అరవీర పరాక్రమంతో యుద్ధరంగంలో చెలరేగాడు. నలగాముని సైన్యం అతని పరాక్రమము ధాటికి తట్టుకోలేక పారిపోసాగింది. ఆ సందర్భంలో నలగామ రాజు, అతని సైన్యం కలత చెందింది. నలగాముని యొక్క ధైర్యమును కవి ఈ సందర్భంగా ఇలా వివరించాడు. బలవంతులైనవారు తన సైనికులు బాలచంద్రునితో తలపడలేక గుంపులుగా చనిపోతూ భూమ్మీద పడిపోతున్నారు. కన్నులు తెరిచే మరణించిన వారు కొందరు, పాదములు విరిగి నేలపై పడిపోతున్నారు. చేతులు తెగిపడినవారు, కొందరు నువ్వా నేనా అను విధంగా యుద్ధము చేస్తున్నటువంటి సాహసవంతులున్నారు. చలించని వీరత్వంతో యుద్ధం చేస్తున్న వయసు మళ్ళినవారు బాలుడి యొక్క సాహసానికి ఆశ్చర్యపోతున్నారు. కొందరు భటులు భయపడిపారిపోసాగారు. బ్రతుకపై ఆశతో పారిపోలేక కొందరు తమను విడిచిపెట్టమని బ్రతిమాలు కోసాగారు. ఇటువంటి యుద్ధం ఎన్నడూ చూడలేదని కొందరు విస్మయం పొందుతున్నారు. ఆలుబిడ్డలను వదిలేసి అన్నం కోసం వచ్చిన జీతగాళ్ళు తమకు మృత్యువు దాపురించిందని విచారించసాగారు.

ఎంతోకాలంగా పాలేరు పనిచేస్తున్నవారు తమ భార్యలు చెప్పిన మాటలు విని యుద్ధమునకు వచ్చామని, అవకాశమిస్తే పారిపోతామని వేడుకోసాగారు. భుజబలంతో ఉన్న మమ్ములను చూసి శత్రువులు భయంతో పారిపోతారని నాగమ్మ చెప్పిన మాటలు విని యుద్ధానికి వచ్చామని కొందరు బాధపడసాగారు. ప్రాణాలు దక్కితే చాలని వేడుకున్నారు. బ్రతికుంటే బలుసాకు తిని బ్రతుకుతామని, మీరు ఎప్పుడు పిలిస్తే అప్పుడు వచ్చి మీకు సహాయం చేయగలమని కొందరు చేతులు జోడించి ప్రార్థించసాగారు. పౌరుషం విడిచిన మానహీనులు, భయంతో చచ్చినవారిలాగా పడిపోయినవారు, అడుగు ముందుకు వేయలేక బిక్కుచచ్చినవారు, చనిపోయిన వారి శరారాలను మీద వేసుకొని ప్రాణములను నిలుపుకొనే ప్రయత్నం చేస్తున్నా కొందరు, చచ్చిన ఏనుగుల మాటున దాగినవారు కొందరు, అవివాహిత యువత ఆవేదనను తమలోనే దాచుకొని వేదన చెందుతున్నారు. పుట్టల ప్రక్కన దాక్కొన్నవారు కొందరు, గడ్డివాములోని దూరి కొందరు ప్రాణములను రక్షించుకోసాగారు. వెన్ను చూపిన వారు కొందరు. ప్రాణములు విడిచినా కూడా చేత కత్తిని విడువని వారు ఇంకొందరు. ఇలా భయానకమైన యుద్ధ రంగమును చూచి నలగాముడు కలతచెంద సాగాడు.

4.9 సంగ్రహ ప్రశ్నలు

1. శ్రీనాథుని గూర్చి రాయండి.

జ. శ్రీనాథుడు 1385-1475 క్రీ.శ. కాలపు ఆగర్భకవి. మారయ, భీమాంబలు ఇతని తల్లిదండ్రులు. తాత కమలనాభామాత్యుడు కాల్పట్టణాధీశ్వరుడు. శ్రీనాథుడు బాల్యమునే కవి పండితుడుగా ప్రఖ్యాతి పొందాడు. సకల విద్యాసనాధుడు. కవిసార్వభౌముడు. బ్రాహ్మదత్త వరప్రసాదుడు. ఈశ్వరార్చన కళాశీలుడు. తెలుగులో శ్రీనాథుడంతటి ప్రజ్ఞావంతుడైన పండితకవి మరొకడు కానరాదు. ఈ కవి వివిధ భాషా పండితులతో పాండిత్య గోష్టి జరిపినాడు. వివిధ ప్రాంతాలను దర్శించాడు. విద్యాధికారిగా, బహు గ్రంథకర్తగా, విద్వత్కవిగా ఇతడు ప్రసిద్ధి. ఇతని రచనలు - మరుత్తరాట్మరిత్ర, శాలివాహన సప్తశతి, పండితారాధ్య చరిత్ర, భీమేశ్వర పురాణము, క్రీడాభిరామం కాశీఖండము, శివరాత్రి మహాత్మ్యము, శృంగార నైషధము, పల్నాటి వీరచరిత్ర. తెలుగులో మొదటి వీరగాధాకావ్యము. పలనాటి వీరచరిత్ర మంజరి ద్విపదలో వ్రాయబడినది.

2. నలగామరాజు ఎందుకు కలత చెందాడు?

జ. బలవంతులైనవారు తన సైనికులు బాలచంద్రునితో తలపడలేక గుంపులుగా చనిపోతూ భూమీద్ధ పడిపోతున్నారు. కన్నులు తెరిచే మరణించిన వారు కొందరు.

పాదములు విరిగి నేలపై పడిపోతున్నారు. చేతులు తెగిపడినవారు. కొందరు నువ్వా నేనా అను విధంగా యుద్ధము చేస్తున్నటువంటి సాహసవంతులున్నారు. చలించని వీరత్వముతో యుద్ధం చేస్తున్న వయసు మళ్ళినవారు బాలుడి యొక్క సాహసానికి ఆశ్చర్యపోతున్నారు. కొందరు భటులు భయపడిపారిపోసాగారు. బ్రతుకపై ఆశతో పారిపోలేక కొందరు తమను విడువమని బ్రతిమాలు కోసాగారు. ఇటువంటి యుద్ధం ఎన్నడూ చూడలేదని కొందరు విస్మయం పొందుతున్నారు. అలుబిడ్డలను వదిలేసి అన్నం కోసం వచ్చిన జీతగాళ్ళు తమకు మృత్యువు దాపురించిందని విచారించసాగారు. ఎంతోకాలంగా పాలేరు పనిచేస్తున్నవారు తమ ఆడువారు చెప్పిన మాటలు విని యుద్ధమునకు వచ్చామని అవకాశమిస్తే పారిపోతామని వేడుకోసాగారు. భుజబలంతో ఉన్న మమ్ములను చూసి శత్రువులు భయంతో పారిపోతారని నాగమ్మ చెప్పిన మాటలు విని యుద్ధానికి వచ్చామని కొందరు బాధపడసాగారు. ప్రాణాలు దక్కితే చాలని వేడుకున్నారు. బ్రతికుంటే బలుసాకు తిని బ్రతుకుతామని, మీరు ఎప్పుడు పిలిస్తే అప్పుడు వచ్చి మీకు సహాయం చేయగలమని కొందరు చేతులు జోడించి ప్రార్థించసాగారు. పౌరుషం విడిచిన మానహీనులు, భయంతో చచ్చినవారు వలె పడియుండినవారు, అడుగు ముందుకు వేయలేక బిక్కచచ్చినవారు, చనిపోయిన వారి దేహములను మీద వేసుకొని ప్రాణములను నిలుపుకొనే ప్రయత్నం చేస్తున్నా కొందరు, చచ్చిన ఏనుగుల మాటున దాగినవారు కొందరు, అవివాహిత యువత ఆవేదనను తమలోనే దాచుకొని వేదన చెందుతున్నారు. పుట్టల ప్రక్కన దాక్కున్నవారు కొందరు, గడ్డివాములోని దూరి కొందరు ప్రాణములను రక్షించుకోసాగారు. వ్రేళ్ళు చీకెడివారు, వెన్న చూపిన వారు కొందరు. ప్రాణములు విడిచినా కూడా చేతి కత్తిని విడువని వారు ఇంకొందరు. ఇలా భయానకమైన యుద్ధ రంగాన్ని చూసి నలగాముడు కలతచెంద సాగాడు.

3. నరసింహభూపతి సైన్యమునకు చెప్పిన ధైర్య వచనములు ఏవి?

జ. పారిపోతున్న సైన్యాన్ని ఆపి “ఈ బాలుని చూసి ఇలా పారిపోవడం వీర ధర్మమేనా? మిమ్ము నమ్మిన వారి మేలును వదిలి వేస్తారా? మీ బలము, మీ నరములలో ప్రవహించు రక్తము రాజు యిచ్చిన ఆహారముతో కలిగినది కదా! యుద్ధానికి భయపడి రాజుకు ద్రోహం చేస్తారా? నమ్మిన రాజును నట్టేట ముంచి పారిపోవటం ఏ రకమైన నీతి. ఓ సైనికులారా! జీవితం అశాశ్వతం. సంపద భ్రమ. కీర్తి ఒక్కటే భూమీద కలకాలం నిలిచి ఉంటుంది. పిరికితనంతో వీరధర్మమును వదలి, మలినమైన ఈ శరీరం కొరకు తపన ఎందుకు? ఇందుకోసం సతీర్థిని వదులుకుంటారా? వీరులైన వారికి యుద్ధరంగమే

చక్కని వేదిక. చచ్చినా, బ్రతికినా అక్కడే ! భయపడి పారిపోయిన్నంత మాత్రమున మరణం తప్పిపోతుందా? పిరికివారి లక్షణమే పారిపోవటం. మనమంతా పెళ్ళికి రాలేదు. యుద్ధ రంగానికి వచ్చాము. వెన్నుచూపి పారిపోతే బంధువులు, శత్రువులు కూడా నవ్విపోతారు. ఇటువంటి నీచపు పుట్టుక వ్యర్థం. పారిపోవద్దు. ఇది రాజాజ్ఞ సుమీ! అనే పరుష వాక్యాలు తన సైనికుల్లో పౌరుషాన్ని నింపాయి. వారు బాలచంద్రునిపై రెట్టించిన పరాక్రమముతో విరుచుకుపడి యుద్ధం చేసినారు.

4. బాలచంద్రుని తల్లిదండ్రులెవరు? వారిని గూర్చి వ్రాయుము.

జ. బ్రహ్మనాయుని భార్య ఐతాంబకు కలిగిన ఏకైక సంతానము బాలచంద్రుడు. ఒకానొక సందర్భములో నాగాంబ ఏర్పాటు చేసిన కోడి పండేల వల్ల బ్రహ్మనాయుని కోడిపుంజు ఓడిపోయినది. ఈ కారణంగా దాయాదుల మధ్య యుద్ధం అనివార్య మయెను. యుద్ధములో భాగంగా బాలచంద్రుడు యుద్ధ భూమిలో ప్రవేశించినాడు. కొద్దికాలము క్రితమే వీరమాంచాలతో వివాహితుడైనందున బాలచంద్రుడు యుద్ధభూమికి వెళ్ళకుండా ఉండేందుకు తల్లిదండ్రులు ప్రయత్నము చేసి విఫలమయిరి.

5. పలనాటి బెబ్బులి పాత్రభాగ సారాంశాన్ని సంక్షిప్తంగా రాయండి.

జ. శ్రీనాథుడు తన పలనాటి వీరచరిత్రలో బాలచంద్రుని యొక్క వీర పరాక్రమమును అద్భుతంగా వర్ణించిన ఘట్టము “పలనాటి బెబ్బులి” పాత్రభాగం. బాలచంద్రుడు ఆంధ్ర అభిమన్యుడని పేరుగాంచిన గొప్ప వీరుడు. ఇతడు బ్రహ్మ నాయుని కుమారుడు. భారత వీరులలో సుప్రసిద్ధమైన అభిమన్యునితో పోల్చదగ్గవాడు. యుద్ధరంగంలో బాలచంద్రుని పోరాట పటిమను, పరాక్రమ స్ఫూర్తి ఈ పాఠ్యాంశములో కనిపిస్తుంది.

4.10 అభ్యాసం

సంగ్రహరూప ప్రశ్నలు

1. శ్రీనాథుని ఇతర రచనలు ఏవి?
2. నలగామరాజు ఎందుకు విచారించెను.

సందర్భ సహిత వ్యాక్యాలు

1. కన్నులు తెరుచుచు గంతులు వైచి

యూనిట్ - 5

సీతారావణ సంవాదం

- మొల్ల

5.0 ఉద్దేశం

దుర్మార్గునికి- సన్మార్గునికి గల తేడాను ఈ పాఠ్యాంశం ద్వారా నేర్చుకుంటారు.

5.1 కవియిత్రి పరిచయం

‘తేనె సోక నోరు తీయనగురీతి, తోడనర్థమెల్ల’ తోచునట్లు తేట తెలుగు మాటలతో రామాయణాన్ని వ్రాసి, కీర్తి గడించిన మొదటి తెలుగు కవియిత్రి మొల్ల. ఆతుకూరి కేసన కుమార్తె. గోపవరపు శ్రీకంఠమల్లేశు వరము చేత కవిత్వం చెప్పడం నేర్చుకుంది. 16 వ శతాబ్దానికి చెందిన ఏకావ్రునాథుడు ‘సిద్ధేశ్వర చరిత్ర’ అనే తన గ్రంథంలో ఈమెను గురించిన ప్రస్తావన చేసాడు. ఈమె రామభక్తురాలు. తన జీవితాన్ని రామాంకింతం చేసింది. ఈమె కవిత్వంలో దేశీయపదాలు, తెలుగు పదాలు, తత్సమ పదాలతో కూడి రసభావచమత్కారాలతో అలరారుతూ రసస్ఫూర్తిని కలిగిస్తాయి.

5.2 పాఠ్యభాగము

వ. ఆ రాముం జూచి, శ్రీరామచంద్రుని దేవినిగాఁ దలంపుచు, నగ్గోపురంబునుండి
డిగ్గి, సూక్ష్మరూపంబుఁ గైకొని, శింశుపా వృక్షం బారోహించి యందు 40
సీ. పతిఁ బాసినట్టి యాపదల కంటెఁ బలుమాఱు
వివిధ మాయల చేత వేఁగి వేఁగి
వీరదానవ కోటి వికృత వేషంబులు
కనుగొని చిత్తంబు క్రాంగి క్రాంగి
తన దిక్కు లేమికి! దలపోసి తలపోసి
లోలోన మిక్కిలి లోఁగి లోఁగి

కర్ణ కఠోరంబుగా నాడు మాటలఁ

దొరఁగెడి కన్నీటఁ దోఁగి తోఁగి

ఆ. రాముఁ దలఁచు కొంచు, రామునిఁ బేర్పొంచు,

రామ!రామ! యనుచు రమణి పలుకఁ

గపివరుండు సూచి కామినీ రత్నంబు

సీతయనుచు బొంగెఁ జిత్తమందు

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వ. అట్టి సమయంబున రావణాసురుండు సీతాపహృత హృదయుండై పన్నీట మజ్జనంబాడి, దివ్యాంబరంబులు గట్టుకొని, కర్పూర సమ్మిళితంబైన శ్రీగంధంబునెఱి పూత పూసి, పారిజాత పుష్పంబులు ముడిచి, మవ్వంపు దాని నివ్వటిలైదు జవ్వాది మెత్తి దశశిరంబులయందును రత్న మకుటుంబులు ధరించి, మణిమండి తంబులగు కుండలములు పూని, భాను ప్రభా విలసితంబులగు పతకంబులను, ముక్తాహారంబులను, భుజకీర్తులను, బాహు పురులను, నంగుళీయంబులును, నవరత్న స్థగితంబగునొడ్డాణం బునునమరించి, చంద్రహాసహస్తంబై, కందర్పవిలాస సుందరుండగుచు, గిన్నర కింపురుష గంధర్వామ రోరగ సిద్ధ విద్యాధరాంగనలుభయ పార్శ్వంబుల నాలవట్టంబులు పట్టి, మౌక్తికచ్ఛత్రంబులను, దాళవృంతంబులను, వింజామరంబులును ధరించి రాఁగొందఱు కరదీపికా సహస్రంబులు గైకొని, ముందఱఁ బిఱుందనేతేర, నశో కారామంబునకుఁ జనుదెంచె, నప్పుడు గంధ వాతూలంబునం దూలు పుష్పలతయునుం బోలె వడవడ వడంకుచు, దన సుందరాంగంబులు, హస్తోరు వస్త్రకేశంబుల, మాటియుఁ, గప్పియు, నడంచియు, నివురు గప్పిన నిప్పుచందంబున, ధూళి ధూసరంబగు రత్నంబుకైవడి, మేఘచ్ఛన్నంబగు చంద్ర బింబంబు డంబున, నిత్తడి పొదిగిన కుందనంపు శలాక లాగున, మాటుపడియున్న జానకిని గదిసి

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రావణుడు మదనాతురుండై సీతను బ్రార్థించుట

క. సీతను గనుకొని రావణుఁ

డాతత నయ వాక్య ఫణితి నతి కుతుకమునన్

తేజోభవ నిశి తాంబక

పాతంబులఁ జాల నొచ్చి పలుకఁగ జొచ్చెన్.

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లయగ్రాహి తోయజ దళాక్షి! వలరాయండిటు లేచిపటు
 సాయకము లేర్చి యిపు డేయంగ దొడంగెన్
 దోయద పథంబున నమేయ రుచితోడ నుడు
 రాయండును మంచి వడఁ గాయంగఁ గడంగెన్
 గోయిలలుఁ గీరములుఁ గూయగ నళి ప్రజము
 లే యెడలఁ జూచినను మ్రోయుచుఁ జెలంగెన్
 నాయెడఁ గృపా రసము సేయ కవి వేకమున
 నీ యెడల నుండు టిది న్యాయమె లతాంగీ!

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వ. అని మఱియును

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సీ. అల కేశ్వరుం డుపాయనముగా నిచ్చిన
 యంచిత చీనిచీనాంబరములు
 దివిజాధినాథుండు దిన దినంబును నిచ్చు
 పారిజా తోల్ల సత్త్వనవములును
 దక్షిణాధీశుండు తగఁ గాన్మలంపిన
 సురభి కర్పూరాది పరిమళములుఁ
 బాతాళముననుండి ఫణి సార్వభౌముండు
 పుత్తైంచినటువంటి భూషణములు

తే. గలవు నాయుంటనే ప్రొద్దుఁ గడమ లేక,
 దేహ పరితృప్తి గావించి మోహ మలరఁ
 గాము కేళి సుఖంబులఁ గలయుటొప్పు
 విడువు మడియాస రామ భూవిభుని మీఁద

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సీ. ఎవ్వని వీటికి నేడు వారాసులు
 పెట్టని కోటలై పెచ్చు పెరుగు
 లెవ్వని సేవింతు రింద్రాది దేవత
 లనుచర బలు లయి యను దినంబు,
 నెవ్వని చెఱసాల నే ప్రొద్దు నుందురు
 గంధర్వ సురయక్ష గరుడ కాంత,
 లెవ్వని భండార మిరవొంద విలసిల్లు
 నవ విధానంబుల వివిధ భంగి

తే. సకల లోకంబులును మహాత్మాహ వృత్తి
నెవ్వనికి జెల్లు బుప్పుకమ్మెక్కి తిరుగ,
నాకె తక్కుంగ గలదె యే నాటనైన?
మద్భుజా శక్తి ప్రతి పోల్ప నద్భుతంబు

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సీ. శ్వసనుండు లోగిలి సమ్మార్జనము జేయ
నట్టి నాథుడు కలయంపి సల్లం
బావకుం డారుదెంచి పాకంబు లొనరింప
శమనుండు వెసం బరిచర్యజేయ
బాకారి కల్పక ప్రకరంబు లర్పింప
దనుజేశ్వరుండు కైదండ యిడంగ
నరవాహనుండు తా నగరి వెచ్చము వెట్ట
నీశానుండు విభూతి నెలమి నీయ

తే. గురుండు పంచాంగ మెప్పుడు సరవిం జెప్ప
నమర కిన్నర గంధర్వయక్ష భుజగ
సిద్ధకింపురు షాంగనల్ చేరి కొలువ
వైభవంబున జెలు వొందువాడం దరుణి!

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ఉ. ఎత్తితి శంక రాచల మహీన బలంబున బంతి లాగునన్
మొత్తితి సర్వ దిక్పతుల మూంగిన గర్వము విచ్చి పాఱంగా
నొత్తితి శత్రు భూపతుల నుగ్రగ్రణంబున భూమిం ద్రెళ్ళంగా
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ఆ. ఇంక జేయం నేర రీదంగ నోపరు
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తే. చెఱలు పట్టితి గంధర్వ సిద్ధ సాధ్య
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 శరధి విభండో? గాడ్సో? పురశాసను మిత్రుండో? భోగి భూషుడో?
 గురు భుజశక్తిఁ గైకొనుచుఁ గోపము సూపఁగ నీకు నెంతయి
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 తెగును, నట్టైనఁ గార్యంబు తెఱఁగు దప్పు 82
- చ. అని పవనాత్మజుండు దివిజారి పయిందెగ వేళగాదు, భూ
 తనయకు నాదురాక, వసుధా వరుమేలు నెఱుంగఁ జెప్పి మీ
 దను మఱి చూతమంచు నుచిత స్థితి సూరకయుండెనప్పుడా
 దనుజ విభుండు వోయె నిజ ధామముఁజేర సతీసమేతుఁడై 83
- వ. అప్పుడు యామీనీచర కామినులు రావణానుమతంబున ననేక విధంబులగు
 మధురా రాలాపంబుల మిథిలాధీశు కుమారిం గుఱించి బోధించి, కార్యంబు
 సాధింపనోపక, యలసి యుంటంజేసి యొక్కింతసేపు నిద్రించుచుండ, మేల్కొని
 త్రిజటయను నిశాచరి యిట్లనియె 84

త్రిజటా స్వప్న వృత్తాంతము

- మ. కలగంటిన్ వినుఁ డింతులార! మనలంకా ద్వీపమీయబ్ధిలో
పలవ్రాలన్, మన రావణేశ్వరుని శుంభద్రత్ను కోటీరముల్
కలనన్ గూల రఘూద్వహుండెలమితో గంధేభమున్నెక్కి
యుజ్జుల కాంతిన్ విలసిల్లు సీతఁగొనిపోవన్మిన్నకే నిప్పుడే 85
- క. శుదాత్ముడైన రాముడు
శుద్ధాంతపు దేవిఁగాన శుభసూచకముల్
సిద్ధ మయితోఁంచు చున్నవి
సిద్ధం బీమాట వేద సిద్ధాంతముగాన్ 86
- క. కావున నిక్కోమలి యెడఁ
గావలి యున్నట్టి మీరు కఠినోక్తులుగా
నేవియు నాడకుఁ డిక నీ
దేవియ రక్షింప మనకు దిక్కు గు మీఁదన్ 87

5.3 పాఠ్యభాగ పరిచయం

రావణునిచే సీతాపహరణ జరిగిన తరువాత సీతాన్వేషణలో రామలక్ష్మణులకు సుగ్రీవునితో స్నేహం ఏర్పడడం, వారి వధానంతరం సుగ్రీవుడు తన వానర సైన్యాన్ని నాలుగు దిక్కులకు పంపి సీత జాడ తెలుసుకొని రమ్మంటాడు. ఈ కార్యంలో భాగంగా లంకానగరంలో వెతకమని అంజనేయుని పంపిస్తాడు. అతడు లంకానగరం చేరి సీతను వెదుకుతాడు. ఒకచోట రామ నామస్మరణ వినిపిస్తుంది. అశోకవనంలో ఉన్న సీత చేస్తున్న స్మరణ అది. అక్కడకు చేరుకుంటాడు. సూక్ష్మరూపంలో ఒక వృక్ష శిఖరాగ్రమున దాక్కుంటాడు. ఇంతలో రావణుడు దాసదాసీ జనంతో వచ్చి సీతతో సంభాషించిన సందర్భంలో సీతారావణుల మధ్య జరిగిన సంవాదమే ఈ పాఠ్యభాగం.

ఈ పాఠ్యభాగము కవయిత్రి మొల్ల రచించిన మొల్ల రామాయణంలోని సుందరకాండ, ప్రథమాశ్వాసం నుండి గ్రహింపబడినది.

5.4 కఠిన పదాలకు అర్థాలు

శింశుపా వృక్షము	=	అశోక వృక్షము
సూక్ష్మరూపంబు	=	చిన్నదయిన రూపము
బాసినట్టి	=	విడిచిన దగ్గరనుంచి

వివిధ	=	అనేక
వేగివేగి	=	వేదనపడి
క్రాగి క్రాగి	=	మదనపడి
దానవకోటి	=	రాక్షసుల సమూహము
చిత్తంబు	=	మనసు
లేమి	=	లేకపోవుట
కర్ణకఠోరంబుగా	=	చెవికి వినసొంపుగా లేని
రమణి	=	స్త్రీ (సీత)
కపివరుండు	=	కోతి (హనుమ)
కామినీ రత్నంబు	=	స్త్రీలలో రత్నము వంటి (సీత)
దివ్యాంబరములు	=	దివ్యమయిన బట్టలు (దుస్తులు)
భాను ప్రభ	=	సూర్యకాంతి
మకుటము	=	కిరీటం
ముక్తాహారములు	=	ముత్యాలదండలు
అంగుళీయము	=	ఉంగరము
మౌక్షికములు	=	ముత్యాలు
ఛత్రము	=	గొడుగు
గైకొని	=	పట్టుకొని
చనుదెంచె	=	వెళ్ళెను
గంధవాతూలంబు	=	పెనుగాలి
నివురు	=	బూడిద
మేఘచ్ఛన్నంబు	=	మేఘములచే కప్పబడిన
నిశితాంబక	=	వాడి అయిన బాణము
పాతంబుల	=	కురియుట (వేయుట)
పలుకగ	=	పలికెను (చెప్పసాగెను)
వలరాయుడు	=	మన్మథుడు
ఉడురాయుడు	=	చంద్రుడు
కృపారసము	=	కరణరసం (దయ)
దివిజాధినాథుండు	=	ఇంద్రుడు

ఫణిసార్వభౌముడు	=	సర్పములకు రాజు - నాగరాజు
దేహము	=	శరీరం
రామభూవిభుడు	=	శ్రీరాముడు
అనుదినంబు	=	ప్రతీరోజు
బలులయి	=	సేవకులై
భండారము	=	కోశాగారము
లోకంబులు	=	లోకములు
అభినాథుడు	=	సముద్రుడు
శ్వసనుండు	=	వాయుదేవుడు (గాలి)
పావకుండు	=	అగ్ని
శమనుండు	=	గాలి (వాయువు)
నరవాహనుండు	=	కుబేరుడు (ఇతని వాహనం నరుడు)
వెచ్చములు	=	ఖర్చులు
అంగనల్	=	స్త్రీలు
తరుణి	=	స్త్రీ
శంకారచల	=	కైలాసం (శివుడు ఉండే పర్వతం)
భూపతులు	=	రాజులు
రణంబు	=	యుద్ధం
ఘోరదుర్గమ్ములు	=	భయంకరమైన అరణ్యాలు
జలధి	=	సముద్రం
త్రోవ	=	దారి
దానవులు	=	రాక్షసులు
జగతి	=	జగత్తు
నగధరుడో	=	కృష్ణుడు (కొండను చిటికెను వ్రేలుపై ఎత్తినవాడు)
నగధన్యుడో	=	శివుడు (కొండను ధనువుగా కలిగినవాడు)

ప్రతిపదార్థ తాత్పర్యములు

- 1 వీరాలాపము లాదనేల వినుమీ, విశ్వప్రకాశంబుగాఁ
బారావారముఁగట్టి, రాఘవుడు కోపస్ఫూర్తిదీపింపఁగా
ఘోరాజిన్ ననుదాసి, లావు కలిమిన్ గోటీర యుక్తంబుగాఁ
గ్రూరాస్తంబుల మస్తముల్ దునిమి, భుక్తుల్ పెటు భూతాళికిన్

కవిపరిచయం : ఈ పద్యం కవయిత్రి మొల్ల రచించిన మొల్ల రామాయణం సుందరకాండ ప్రథమాశ్వాసం నుండి గ్రహింపబడినది.

ప్రతిపదార్థం :

వీరాలాపములు	=	వీరోచితపు పలుకులు (వ్యంగ్యంగా)
ఆడనేల	=	పలకడం ఎందుకు
వినుమీ	=	వినుము
విశ్వప్రకాశంబుగా	=	విశ్వమంతా తెలిసే విధంగా
పారావారము	=	సముద్రాన్ని
కట్టి	=	బంధించి
రాఘవుడు	=	శ్రీరాముడు
కోపస్ఫూర్తి	=	కోపముతో
దీపింపఁగా	=	కనబడేటట్లుగా
ఘోరాజిన్	=	మహాసంగ్రామం (యుద్ధం) లో
నిను	=	నిన్ను
డాసి	=	చంపి
లావుకలిమిన్	=	బలముతో (పరాక్రమ)
కోటీరయుక్తంబుగా	=	రాజ చిహ్నములతో (కిరీటిము)
క్రూరాస్త్రంబుల్	=	గొప్పవయిన అస్త్రములు
మస్తముల్	=	తలలు
దునిమి	=	త్రుంచి
భూతావళికి	=	భూతములకు
భుక్తులు పెట్టు	=	ఆహారంగా పెడతాడు

తాత్పర్యం : వ్యర్థమైన ప్రలాపములు ఎందుకు విను. శ్రీరాముడు లోకము మెచ్చనట్లుగా సముద్రమును చుట్టి వచ్చి మహా వీరత్వముతో మహాసంగ్రామంలో నీ తల కాయను కోసి భూతములకు ఆహారముగా పెట్టగలరు.

సంఘటనలు :

వీరాలాపములు	=	వీర + ఆలాపములు	=	సవర్ణదీర్ఘసంధి
పారావారము	=	పార + ఆవారము	=	సవర్ణదీర్ఘసంధి

ఘోరాజిన్ = ఘోర + ఆజిన్ = సవర్ణదీర్ఘసంధి
 కృపాస్తంబులు = కృర+ అస్తంబుల్ = సవర్ణదీర్ఘసంధి

సమాసములు :

వీరాలాపములు = వీరమైన ఆలాపములు = విశేషణ పూర్వపద
 విశ్వ ప్రకాశంబు = విశ్వమునందు ప్రకాశం = సప్తమీ తత్పురుష
 కోపస్ఫూర్తి = కోపము వలన స్ఫూర్తి = పంచమీ తత్పురుష

ఛందస్సు : శార్దూలము

మ స జ స త త గా అనే గణాలు ఉంటాయి.

అక్షరాలు మొత్తం - 19

1 - 13 అక్షరాలకు యతి

2. అని పవనాత్మజుండు దివిజారి పయిందెగ వేళగాదు, భూ
 తనయకు నాదురాక, వసుధా వరుమేలు నెఱుంగఁ జెప్పి మీ
 దను మీఠి చూతమంచు సుచిత స్థితి నూరకయందె
 దనుజ విభుండు వోయె నిజ ధామముఁజేరి సతీసమేతుఁడై

కవిపరిచయం : ఈ పద్యం కవయిత్రి మొల్ల రచించిన మొల్ల రామాయణం సుందరకాండ ప్రథమాశ్వాసము నుండి గ్రహింపబడినది. 'సీతారావణ సంవాదం' అనే పాఠ్యభాగం లోనిది.

ప్రతిపదార్థం :

పవన + ఆత్మంజుడు = హనుమంతుడు
 దివిజారి = దేవతల శత్రువు (రావణుడు)
 తెగ = దండెత్తి వెళ్ళుటకు
 వేలకాదు = సమయంకాదు
 భూ తనయ = సీత (భూమాత పుత్రిక)కు
 నాదురాక = నేను లంకలోకి ప్రవేశించుటను
 వసుధావరు = రాముడు(భూమీధర శ్రేష్ఠమైన) గూర్చి
 ఎరింగిచెప్పి = తెలిసేటట్టు చెప్పటను
 మీదను = ఆపివృత్తి
 చూతము = చూడవచ్చు
 అంచు = అనుచు

అప్పుడు	=	ఆ సమయంలో
ఉచితస్థితి	=	ఉచితమైన స్థితి (అనువయిన స్థితి) అని
ఊరకయుండిన	=	మౌనంగా ఉండగా
ధనుజ విభుండు	=	రాక్షసుల రాజు (రావణుడు)
గృహ ధామము	=	తన మందిరంలోనికి
సతీసమేతుడై	=	భార్యతో కూడి
వెడలెను	=	వెళ్ళిపోయాడు.

తాత్పర్యం : హనుమంతుడు రావణుని మాటలు విని కిందకు వచ్చి అతనిని సహరిద్దామనుకున్నాడు. కాని తగు సమయం కాదని, తాను లంకలో ప్రవేశించినట్లుగా సీతకు తెలియజేయడం ఉచితమని భావించాడు. ఇలా ఆలోచించిన ఆ సమయంలో రావణుడు తన దాసదాసీ జనంతో భార్యతో కూడి మందిరానికి వెనుదిరిగి వెళ్ళాడు.

సంధులు :

పవనాత్మజుడు	=	పవన + ఆత్మజుడు	=	సవర్ణదీర్ఘసంధి
దివిజారి	=	దివిజ + అరి	=	సవర్ణదీర్ఘసంధి
చూతమంచు	=	చూతము + అంచు	=	ఉకారసంధి
ఊరకయుండె	=	ఊరక + ఉండె	=	యడాగమము
విభాండువోయె	=	విభుండు + పోయె	=	గసడదవాదేశ సంధి
ధామముజేర	=	ధామమున్ + చేర	=	సరళాదేశ సంధి

సమాసములు :

1. పవనాత్మజుండు = పవనుని యొక్క కుమారుడు = షష్ఠీ తత్పురుష సమాసము
2. భూతనయ = భూమి యొక్క తనయ = షష్ఠీ తత్పురుష సమాసము
3. దివిజారి = దివిజుల యొక్క శత్రువు (అరి) = షష్ఠీ తత్పురుష సమాసము
4. వసుధావరు = వసుధ యందు వరుడు = సప్తమీ తత్పురష సమాసము

ఛందస్సు :

చంపకమాల అక్షరములు న, జ ,భ, జ, జ, జ, ర

మొత్తం అక్షరాలు = 21,

1- 10 అక్షరాల మధ్య యతి.

- 3 ఎత్తితి శంక రాచల మహీన బలంబున బంతి లాగునన్
 మొత్తితి సర్వ దిక్పతుల మూఁగిన గర్వము విచ్చి పాఠంగా
 నొత్తితి శత్రు భూపతుల సుగ్రరణంబున భూమిఁ ద్రెళ్ళఁగా
 మొత్తితి భోగి కంఠము లమోఘజవంబున మేటి కీర్తులన్

కవిపరిచయం : ఈ పద్యం కవయిత్రి మొల్ల రచించిన మొల్ల రామాయణం సుందరకాండ ప్రథమాశ్వాసము నుండి గ్రహింపబడినది.

ప్రతిపదార్థం :

అమోఘజవంబున	=	అమితమైన భుజబలముతో
శంకరాచలము	=	కైలాసపర్వతము
బంతిలాగునన్	=	బంతివలె
ఎత్తితి	=	ఎత్తాను
సర్వదిక్పతులు	=	సమస్తదిక్కుల అధిపతులు
గర్వమును	=	అహంకారమును
విచ్చిపారగ	=	తొలగునట్లుగా
మొత్తితి	=	నాశనం చేశాను
ఉగ్రరణంబునన్	=	ఘోరమైన యుద్ధములో
శత్రుభూపతులు	=	శత్రురాజులను
భూమిత్రిల్లగా	=	భూమిపై పడునట్లుగా
వత్తితి	=	ఓడించితి
భోగికంఠముల్	=	పడగలెత్తెపాములను (నాగలోకం)
మొత్తితి	=	ఓడించితి
మేటికీర్తులన్	=	గొప్పదైన కీర్తితో కూడిన వాడినైతిని

తాత్పర్యం : అమితమైన భుజబలముతో కైలాసపర్వతమును బంతివలె ఎత్తితిని. సమస్త దిక్కుల అధిపతుల అహంకారమును నాశనము చేశాను. ఘోరమైన యుద్ధములో శత్రురాజులను భూమిపై పడునట్లుగా ఓడించితిని. పడగలెత్తె పాములను సైతం నాగలోకమున ఓడించితిని. ఈ విధముగా త్రిలోకములను జయించి గొప్పదైన కీర్తితో కూడినవాడినైతిని.

సంధులు :

$$\begin{aligned}\text{శంకరాచలము} &= \text{శంకర} + \text{అచలము} = \text{సవర్ణదీర్ఘసంధి} \\ \text{దిక్పతులు} &= \text{దిక్} + \text{పతులు} = \text{హల్సంధి}\end{aligned}$$

సమాసములు :

1. శంకరాచలము = శంకరడను పేరు గల కొండ = సంభావన పూర్వపద
2. భోగికంఠము = భోగి యొక్క కంఠము = షష్ఠీ తత్పురుష
3. శత్రుభూపతులు = శత్రువులైన భూపతులు = విశేషణపూర్వపద
4. ఉగ్రరణంబు = ఉగ్రమైన యుద్ధము = విశేషణపూర్వపద

5.5 సందర్భ సహిత వ్యాఖ్యలు

1. వచ్చుతోవ చెప్పము వారిజాక్షి?

కవిపరిచయం: ఈ వాక్యము సీతా రావణ సంవాదం నుండి గ్రహింపబడినది. కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం నందు సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడినది. 'సీతారావణ సంవాదం' లోనిది.

సందర్భం : అశోక వనంలో ఉంచిన సీత వద్దకు వచ్చిన రావణుడు తన యొక్క నగరమైన 'లంక' గురించి గొప్పగా వర్ణిస్తూ నరుడయినవాడు దుర్భేద్యమయిన లంకానగరంలోకి ప్రవేశించడం సాధ్యపడదని చెప్పిన సందర్భం

భావం : ఎంతో కట్టుదిట్టములు గల కోటకు నాలుగు వైపులా సముద్రము ఉన్న లంకలోనికి ఏ త్రోవన వచ్చునో చెప్పుమా అని భావం

2. వినకూడదు ధర్మశాస్త్ర విపరీతంబుల్

కవిపరిచయం : ఈ వాక్యము సీతా రావణ సంవాదం నుండి గ్రహింపబడినది. కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం నందు సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడినది.

సందర్భం: లంకాధీశుడు అయిన రావణుడు సీత వద్దకు వచ్చి తన యొక్క గొప్ప తనమును తానే చెప్పుకొనే సమయములో సీత అతని మాటలను ఖండిస్తూ పలికిన సందర్భం.

భావం : తనను తాను పొగడుకోవటం ధర్మ విరుద్ధం. అటువంటి మాటలు ధర్మపరులు వినకూడదని భావం.

3. చెప్పనేటికి నీవె చూచెదవు గాక!

కవిపరిచయం : ఈ వాక్యము సీతా రావణ సంవాదం నుండి గ్రహింపబడినది. కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం నందు సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడినది. 'సీతారావణ సంవాదం' లోనిది.

సందర్భం : తన గొప్పతనం ఎక్కువుగా చెప్పుకుంటున్న రావణునితో, సీత రాముని యొక్క గొప్పతనమును గూర్చి చెప్పిన సందర్భం. రాముడు ఎంతటి పరాక్రమశీలో యుద్ధమునందు నీవె చూడగలవు.

భావం : వివరించి చెప్పటం ఎందుకు నీవే ప్రత్యక్షంగా చూస్తావుగా అని సీత పలికింది.

4. మహిని నా కొక్కనికె కాక మంజువాణి !

కవిపరిచయం : కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం నందు సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడినది. 'సీతారావణ సంవాదం' లోనిది.

సందర్భం : సీత చెప్పిన రాముని గొప్ప తనమును విని రావణుడు కోపంతో తన యొక్క గొప్పతనంను సీతకు వివరించిన సందర్భం.

భావం : సీత! ఇంతటి శక్తి సామర్థ్యాలు ఈ భూమ్మీద నాకు కాక ఇంకెవరికి ఉన్నాయి.

5. నీ యెడల నుండు టిది న్యాయమె లతాంగీ!

కవిపరిచయం : కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం నందు సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడిన 'సీతారావణ సంవాదం' లోనిది.

సందర్భం : సీత చెప్పిన రాముని గొప్ప తనమును విని రావణుడు కోపంతో తన యొక్క గొప్పతనంను సీతకు వివరించిన సందర్భం.

భావం : నీవు నా పట్ల అవివేకముతో ప్రవర్తించుట న్యాయమేనా? అని రావణుడు సీతను అడిగెను.

6. స్త్రీలందు లేవు నాకుం జూడన్

కవిపరిచయం : కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం నందు సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడినది.

సందర్భం : సీత చెప్పిన రాముని గొప్ప తనమును విని రావణుడు కోపంతో తన యొక్క గొప్పతనంను సీతకు వివరించిన సందర్భం.

భావం : నీకు గల సౌందర్యం మరే స్త్రీలయందు లేదు.

7. తూటలుగాఁ జేయకున్న దోసముగాదేఁ

కవిపరిచయం : ఈ వాక్యము సీతా రావణ సంవాదం నుండి గ్రహింపబడినది. కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం నందు సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడినది.

సందర్భం : సీత చెప్పిన రాముని గొప్ప తనమును విని రావణుడు కోపంతో తన యొక్క గొప్పతనంను సీతకు వివరించిన సందర్భం.

భావం : సీతపై ఆగ్రహించిన రావణుడు నీ నాలుకను ముక్కలుగా చేయకున్న పాపమని చెప్పిన భావం.

8. గైకొనునే నవ్వుఁగాక గర్వము పేర్కొన్

కవిపరిచయం : ఈ వాక్యము సీతా రావణ సంవాదం నుండి గ్రహింపబడింది. కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడింది.

సందర్భం : సీత చెప్పిన రాముని గొప్పదనాన్ని విని రావణుడు కోపంతో తన గూర్చి సీతకు వివరించిన సందర్భం.

భావం : నా కోరిక తీరకుండా ఈమెను విడిచిపెట్టుట నవ్వులాటకదా.

5.6 పాఠ్యభాగసారాంశం

సీతా రావణ సంవాదము అనే మా యీ పాఠ్యభాగ కవయిత్రి మొల్ల. ఆమె రచించిన 'మొల్ల రామాయణము సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడింది.

శ్రీరామ, సుగ్రీవుల ఆదేశానుసారం సీత జాడ అన్వేషణకు హనుమంతుడు సముద్రమును దాటి లంకానగరంలోకి ప్రవేశించాడు. సీత కోసం ఆ నగరంలో నివాసగృహాలు, రహదారులు..తోటలు.. ఆరామాలు వంటివి అణువణువునా గాలిస్తూ ఉన్నాడు. కాని ఆమెను కనుగొనలేక పోయాడు. ఏమి చేయాలో తోచక, ఒక ఆరామ సమీపంలోని గోపురం మీద కూర్చొని ఉండగా సమీపంలో ఉన్న స్త్రీ మూర్తిని చూసాడు. ఆమెను గురించి తెలుసుకోవాలనుకున్నాడు. గోపురం దిగి, సూక్ష్మరూపంలో దగ్గరలోని అశోకవృక్షం పైకి చేరి పరిశీలించసాగాడు.

భర్తకు దూరమయిన తరువాత కలిగిన బాధ కంటే రాక్షస సేనలు, సేవకులు చేసే వివిధములయిన వికృతచేష్టలకు ఆమె మనసు వేదనాభరితమయింది. తనుకు ఎవరూ లేని దిక్కులేని దానిగా వేదన చెందసాగింది. రావణుని, పరిచారికలు రాముని

గురించి, తన గురించి చెప్పే మాటలు ఆమె చెవులకు కఠోరంగా ఉన్నాయి. వాటిని తలచుకుంటూ ఆమె కన్నులలో కన్నీటి సుడులు తిరుగుతున్నాయి. రాముని నిరంతరం తలచుకుంటూ 'రామ' 'రామ' అని నిరంతరం నామస్మరణ చేస్తున్న ఆ స్త్రీమూర్తిని చూచిన హనుమంతుడు. ఆమె 'సీత' అని నిశ్చయించుకొని మనసులో ఎంతగానో సంతోషించాడు.

అదే సమయములో రావణుడు సీత పైన ఆశ కలిగినవాడై, పరితపించిన హృదయంతో ఆమెను దర్శించడానికి పన్నీటి స్నానం చేసి, మంచి వస్త్రాలు ధరించి, కర్పూరము గంధములతో కలగలిపిన పూతలు శరీరమునకు పూసుకొని, పారిజాత పుష్పములను ముడుచుకొని, పైన జవ్వాది తదితర సువాసనా భరిత తైల లేపమును పూసుకుని, తనకున్న పదితలలకు రత్న కిరీటములును ధరించాడు. చెవులకు మణిమయ ఆభరణములును ధరించాడు. సూర్యకాంతితో వెలిగే, పతకాలను, ముత్యాలదండలు, భుజకీర్తులు, విలువైన రత్నాలతో చేసిన ఉంగరాలను వ్రేళ్ళకు ధరించాడు. నవరత్నములు పొదిగిన సువర్ణమయ వొడ్డాణమును ధరించాడు. విలాసమైన పురుషుడుగా, వెన్నెలవంటి నవ్వును పెదాలపై అలముకొని ఉన్నాడు. అతనికి ఇరువైపుల కిన్నెర, కింపురుష, గంధర్వ జాతులకు చెందిన మహిళామణులు. వెంట ముత్యాల గొడుగులు పడుతూ, వినన కర్రలతో విసురుతూ వస్తున్నారు. మరి కొంతమంది తన చేతులతో కరదీపికలును ధరించి అతని ముందర గబగబా నడుస్తూ వస్తున్నారు. మంది మార్బలంతో రావణాసురుడు అత్యంత విలాసవంతమైన, అధికార దర్పంతో ఆశోకవనంలో సీత ఉన్న ప్రదేశానికి వచ్చాడు. వారిని చూసిన సీత వాయు వేగమునకు తూలే పుష్పమువలే చలించినదై, తన యొక్క శరీరాంగములను తను ధరించిన వస్త్రములతో పూర్తిగా కప్పకొన్నది. ధూళితో కప్పబడిన రత్నమువలె, నివురు గప్పిన నిప్పువలే మేఘములు కప్పిన చంద్రబింబమువలే, ఇత్తడి పూతచే కప్పివేయబడిన బంగారపు తునకలాగా సీత కూర్చోని ఉంది.

రావణుడు సీతను ప్రార్థించటం : విశాలమైన నేత్రములు కలిగిన సీత! మన్మధుడు లేచి తనదైన వాడి బాణములతో నా పై దాడి చేస్తున్నాడు. చక్కని శీతల పవనాలుతో వాయుదేవుడు మనసును ఆనంద పరచును చేస్తున్నాడు. కోయిలలు, వివిధ రకాలైన పక్షుల యొక్క కిలకిలరావములతో ప్రకృతి అంతా మిక్కిలి పులకిస్తూ ఉంది. మనసులోని ఆలోచనలకు ఆనందాన్నిస్తున్నాయి. ఇటువంటి రసరమ్య ప్రకృతి మధ్య నీవు నా పట్ల కృపను చూపక, అవివేకంతో వ్యవహరిస్తున్నావు. నీకిది తగునా? ఓ సీతా! అలకాపూర్ణాశు డయిన కుబేరుడు నాకు బహుమానముగా ఇచ్చిన పట్టు వస్త్రాలు చూడు, ఇంద్రుడు

ప్రతిదినం నాకు పారిజాత పుష్పాలు పంపిస్తాడు. దక్షిణాధీశుడైన ప్రభువు నాకు కర్పూరము తదితర సుగంధ ద్రవ్యాలను సమర్పిస్తారు. నాగలోక సార్వభౌముడైన నాగరాజు పాతాళలోకమునుండి విలువయినట్టి రత్న రాశులను తీసుకొని వస్తాడు. ఇవన్నీ నాయొంట్లో రాశులుగా ఉన్నాయి. వాటితో శరీరమును అలంకరించుకొని, నాకు సుఖములు ఇస్తూ నీవు సుఖిస్తూ ఉండాలి. రాముని పైన అడియశను వదిలివేయి.

ఓ సీతా! నా కోటను గురించి వివరములు నీకు తెలియవనుకుంటాను. సముద్రము నా లంకకు అగడ్తగా రక్షణనిస్తుంది. ఇంద్రాది దేవతలు నిరంతరం నా అనుచరులుగా సేవలందిస్తారు. గంధర్వ, కిన్నెర, సురకాంతలు నా కౌగిలి చెఱసాలలో ఉండటానికి వస్తారు. సకల లోకములను పుష్పకం ఎక్కి మిక్కిలి ఉత్సాహంగా తిరుగాడే వారెవరు? ఈ లోకంలో నేను తప్ప. నా యొక్క భుజశక్తికి సాటిరాగలవారెవరున్నారు. వాయుదేవుడు నా కోట పరిసరాల్లోని దుమ్ము ధూళిని శుభ్రం చేస్తాడు. సముద్రుడు ఉదయమే నా ఇంటి ముంగిట కళ్యాపి జల్లుతాడు. నా దినసరి ఖర్చులను కుబేరుడు సరి చూస్తాడు. గురుడు (బృహస్పతి) నా మంచి చెడు ముహూర్తములను పంచాంగం చూసి చెబుతుంటాడు. ఓ సీతా! ఇవన్నీ ఈ లోకంలో నేను మాత్రమే చేయగలవాడనను.

శంకరుడు నివాసమైన కైలాస పర్వతాన్ని బంతిలాగా ఎత్తి పట్టుకున్న వీరత్వం నాది. దిక్పాలకుల యొక్క గర్వమును యుద్ధంలో నాశనం చేసాను. నాగలోకంలో మహా నాగులు గర్వాన్ని సహితం అణిచాను. తైల సంస్కారం లేక జుత్తు జడలు కట్టి, మునుల వలే తమ్మునితో కలసి దుర్గమమైన అరణ్యాలలో తిరుగుతూ, కందమూలములు తింటూ తిరిగే రాముడు ఎలా లంకకు రాగలడు? ఏ విధంగాను నాతో సరికాదు. రాక్షసులు ఎప్పుడైనా మనుషులను గెలువలేరు. మానవమాంస భక్షులైన రాక్షసులను మానవులు చంపట మనేది ఎప్పుడైన ఈ భూమి మీద జరిగిందా? నా యొక్క భుజశక్తిని ఎదిరించ గల సమర్థత రామునికెక్కడిది? ఈశ్వరుడో, ఇంద్రుడో అయితే నాతో అంతో ఇంతో పోరాడగలరు. ఆ సంగతి అట్లుండనీ. నీ కన్నుల అందం, నీ శరీర సౌష్ఠ్యం, నీ చేతుల సౌకుమార్యం మరే స్త్రీ యందు నేను చూడలేదు. దేవతా స్త్రీలు, యక్షుల భార్యలు, కిన్నెరులైన ఆడవారు నీకు సాటిరారు. మునిపత్నులు సహజంగానే నీతో పోల్చలేనివారు. గురుడు, గంధర్వ లోకాలలో నిన్ను మించిన సౌందర్యం గల వారే? గొప్పవయిన దుస్తులను ధరించి, భయమువీడి, మృదువైన మాటలు నాతో మాట్లాడు. ప్రేమ పూరిత కన్నులతో నన్ను చూడు. అని నోటికి వచ్చినట్లు మాట్లాడిన రావణుని అసహ్యంగా చూసి, తిరస్కార భావంతో ఓ గడ్డిపోచను త్రొపి దానిని చేత్తో పట్టుకొని సీత రావణుని తిరస్కరిస్తూ ఇల్లు పలకసాగెను.

సీత రావణుని నిందించి, రాముని పొగడుట: పతినే దైవంగా అన్నివేళల్లో మనసులో కొలుచుకొనే స్త్రీలు నీ వంటి నీచునితో మాట్లాడటం కంటే వేరే పాపముందా? పరస్త్రీలను కోరే పురుషుల ఆయువు నశిస్తుంది. పుణ్యము చెడుతుంది. ఉత్తములైనవారు నిందిస్తారు. అది నరకమనే మాట నీవు వినలేదా? అంతేకాదు.. తన సాహసాన్ని తానే పొగడుకొనే వాడు హీనమైన గుణము కలవాడు. నీకు నీవే పొగడుకుంటున్నావు. ఇటువంటి ధర్మశాస్త్ర విరుద్ధములయిన మాటలు పలుకరాదు. యుద్ధరంగంలో నా పతి రఘురాముడు సైన్యముగా వచ్చిన వానరసేనతో నీతో పోరాడినప్పుడు తన పరాక్రమాన్ని చూడవచ్చు. ప్రస్తుతం నన్ను దొంగలించుకొని వచ్చావు. నీవు ఇటువంటి తుచ్ఛపు మాటలు మాట్లాడటం నీకు సమంజసమేనా? ముడుచుకొనుటకు కురులు (జుట్టు) కూడా లేని పిన్న వయసులోనే ఎటువంటి భయములేకుండా తాటకిని హతమార్చినాడు. విశ్వామిత్రుడి వెంట యాగరక్షణకు వెళ్ళి ఎంతో మంది రాక్షసులను సంహరించిన వీరుడు నా రాముడు. ఈ భూమ్మీద ఏ రాజు కూడా విరువలేని శివధనుర్భంగం చేసినాడు. దుర్లభమైన అడవుల్లో ఖర, ధూషణాది రాక్షసులను సంహరించాడు. తన పాదస్పర్శతో రాయిని నాతిగా మార్చిన వైనం నీకు తెలుసా? మాయచేత మాయామృగముగా వచ్చిన మారీచుని గతి ఏమయింది? రాజుగా ఈ భూమిని రక్షించగల రాముడు సాక్షాత్తు ఆదినారాయణుడే! అటువంటి రామునికి ఈ సముద్రమెంత? ఈ లంక ఎంత? ఈ రాక్షసులెంత? ప్రగల్భాలు ఎందుకు? సముద్రమును ఇంకింపజేసి, శ్రీరాముడు కోవమును చవిచూసేటట్లుగా నిను భయంకరమైన యుద్ధములో చంపి, నీ యొక్క అస్త్రములను ముక్కలు చేసి నిన్ను భూతాలకు ఆహారంగా పెట్టగలడు. అప్రవాతమైన శౌర్యపరాక్రమాలతో నిన్ను సంహరించి, తన సామర్థ్యాన్ని చూపగలడు.

రావణుడు కోపంతో సీతకు వ్యవధి ఇచ్చుట : సీత మాటలకు రావణుడు కోపోద్రిక్తుడై ఆమెను నిందించసాగాడు. “స్త్రీ కదాయని ఓర్పు వహించిన కొలది నన్నే తక్కువ చేసి మాట్లాడుతున్నది. దీని నాలుక ముక్కలు ముక్కలుగా చేయగలను. మాట్లాడకుండా నా ముందర పడి ఉండవలసినదే. నాతోనే కయ్యమునకు కాలుదువ్వుతున్నది. దీనిని సంహరించి దెయ్యాలకు ఆహారంగా వేస్తాను. నా కోటిక తీర్చుకొని విడిచిపెడతాను. నా యొక్క భుజబలంతో కైలాసాన్నే ఎత్తిన వాడను. దిక్పాలకులను నా సైన్యంతో రణరంగమున భయావహులను చేసి ఓడించాను. అటువంటి నా పరాక్రమమును గుర్తించక రాముడు భీకరుడని అతడి పరాక్రమమును పొగడుతున్నది సీత. సమస్త లోకములలో నా పుష్పకమునెక్కి తిరుగేవాడిని. దేవతల చేత వెట్టి చాకిరి చేయించుకోగలవాడిని, బ్రహ్మచేత

వరములు పొందినవాడిని, ఘోర తపస్సు చేసినవాడిని, యక్ష, కిన్నెర, గంధర్వల యొక్క భార్యలను చేపట్టినవాడిని, నన్ను కాదని ఒక పేద నరుని కీర్తిస్తూ నన్ను ఎదిరిస్తున్న దీని నాలుకను తుదకంటూ తెగనరికి నేలపై పడేటట్లు చేస్తాను". అని ఉగ్రముగా ఆమెను చేరబోయిన రావణుని చూచి కొందరు రాక్షస స్త్రీలు అడ్డు వచ్చి ఇంద్రుడు, యముడు, నిర్యతి వంటి వారిపై చూపవలసిన కోపమును ఒక స్త్రీ మీద చూపడం మంచిది కాదు. పిచ్చుక పై బ్రహ్మాస్త్రం ఎందుకు? ఇటువంటి ఒంటరి, బలహీను రాలైన స్త్రీపై ప్రతాపం చూపడం మంచిదేనా? మీ వంటి వీరుల కత్తికి ఈమె అర్హురాలేనా? మాకొక అవకాశము ఇవ్వవలసిందిగా కోరుతున్నాము. ఈమె మనసును మారుస్తాము అని శాంత వచనములు ప్రియముగా చెప్పగా, ఆ రాక్షస చక్రవర్తి రావణుడు సీత ప్రక్కనున్న ఏకజటా, ద్విజట, త్రిజట, దుర్ముఖి, వాయుముఖి, శూర్పణఖ తదితర రాక్షస స్త్రీలను చూసి, వారితో రెండు మాసములు గడుపు ఇస్తున్నాను. నాకు లోబడేటట్లు చేయండి. లేకపోతే ఈమెను కండలు కండలుగా కోసుకు తినడని చెప్పి కోపంతో అక్కడ నుండి వెళ్ళిపోయారు. అంతట సీత తన భర్తను నిందించడమే కాక, తనను చంపమని చెప్పిన మాటకు ఆమె మిక్కిలి విచారపడుతూ తన భర్త అయిన రాముని తలచుకొని దుఃఖించసాగింది.

సీతాదేవి దుఃఖిస్తున్నందుకు, ఆమె బాధను చూసిన యక్ష, కిన్నెర, గంధర్వ స్త్రీలు కూడ ఏడ్చారు. వారి ఆవేదనను విన్న హనుమ మనసులో మిక్కిలి విచారించాడు. రెట్టించిన కోపముతో వెంటనే వెళ్ళి రావణాసురుని సంహరించాలనుకున్నాడు. కాని కావలసిన కార్యం చెడుతుందని ఆగినాడు. సీతను తానుచూచిన విషయం రామలక్ష్మణులకు ఆలస్యం లేకుండా తెలియజేయాలనుకున్నాడు. హనుమంతుడు క్రిందకు దిగుదామని అనుకున్నాడు. కాని ఇది తగిన సమయం కాదని భావించారు.

రాక్షస స్త్రీలు సీతకు రావణుని గురించి అనేక విధములుగా చెప్పి చూసారు. కాని జానకీదేవి వారి మాటలు వినక రాముని స్మరిస్తూ నిద్రలోనికి జారుకుంది. కొందరు రాక్షస స్త్రీలు నిద్రపోయారు. నిద్రించక ఉన్న రాక్షస స్త్రీలతో అక్కడనున్న త్రిజట ఇలా చెప్పటం ప్రారంభించింది.

త్రిజట స్వప్న వృత్తాంతము : చెలులారా! నేను ఒక కల కన్నాను. ఆ కలలో రాముడు వచ్చి రావణునితో యద్ధం చేసి, అతడిని వధించి సీతను పుష్పక విమానంలో తీసుకొనిపోయినట్లు శుద్ధాత్ముడైన రాముడు శుద్ధాత్మ అయిన సీత, మరియు ఆమెకు కలుగు శుభ సూచకములు నాకు కనిపించాయి. కావున... మీరు తొందరపడి సీతను

కఠినమైన మాటలతో నిందించకండి. సీతను రక్షించడమే మనకు మిగిలిన కర్తవ్యం అని వారికి తెలియజెప్పింది.

5.7 ప్రశ్నలు సమాధానములు

వ్యాసరూప ప్రశ్నలు

1. సీతారావణ సంవాదమును వివరించండి.

లేదా

సీతారావణ సంవాద పాఠ్య భాగ సారాంశాన్ని వివరించండి.

జ సీతా రావణ సంవాదము అనే మా యీ పాఠ్యభాగ కవయిత్రి మొల్ల. ఈ పాఠ్యభాగం ఆమె రచించిన 'మొల్ల రామాయణము సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడింది.

శ్రీరామ, సుగ్రీవుల ఆదేశానుసారం సీత జాడ అన్వేషణకు హనుమంతుడు సముద్రాన్ని దాటి, లంకానగరంలో ప్రవేశించాడు. సీత కోసం ఆ నగరమునందు నివాసగృహాలు, రహదారులు, తోటలు, ఆరామాలు వంటివి అణువణువునా గాలిస్తూ ఉన్నాడు. కాని... ఆమెను కనుగొనలేక పోయాడు. ఏమి చేయాలో తోచక... ఒక ఆరామ సమీపంలోని గోపురం మీద కూర్చొని ఉండగా, ఆ సమీపంలోనున్న స్త్రీ మూర్తిని చూసాడు. ఆమెను గురించి తెలుసుకోవాలనుకున్నాడు. గోపురం దిగి, సూక్ష్మరూపంలో దగ్గరలోని అశోకవృక్షం పైకి చేరి పరిశీలించసాగాడు.

భర్తకు దూరమయిన తరువాత కలిగిన బాధ కంటే రాక్షస సేనలు, సేవకులు చేసే వివిధములయిన వికృతచేష్టలకు ఆమె మనసు వేదనాభరితమయింది. తనుకు ఎవరూ లేని దిక్కులేని దానిగా వేదన చెందసాగింది. రావణుడు, పరిచారికలు రాముని గురించి, తన గురించి చెప్పే మాటలు ఆమె చెవులకు కఠోరంగా ఉన్నాయి. వాటిని తలచుకుంటూ ఆమె కన్నులలో కన్నీటి సుడులు తిరుగుతున్నాయి. రాముని నిరంతరం తలచుకుంటూ 'రామ' 'రామ' అని నిరంతరం నామస్మరణ చేస్తున్న ఆ స్త్రీమూర్తిని చూచిన హనుమంతుడు. ఆమె సీత అని నిశ్చయించుకొని మనసులో ఎంతగానో సంతోషించాడు.

అదే సమయములో రావణుడు సీత పైన ఆశ కలిగినవాడై, పరితపించిన హృదయముతో ఆమెను దర్శించడానికి పన్నీటి స్నానం చేసి, గొప్పవయిన వస్త్రములు ధరించి, కర్పూరము గంధములతో కలగలిపిన పూతల శరీరమునకు పూసుకొని, పారిజాత

పుష్పములను ముడుచుకొని, పైన జవ్వాది తదితర సువాసనా భరిత తైల లేపమును పూసుకుని, తనకున్న పదితలలకు రత్న కిరీటములును ధరించాడు. చెవులకు మణిమయ ఆభరణములును ధరించాడు. సూర్యకాంతితో వెలిగే, పతకాలను, ముత్యాలదండలు, భుజకీర్తులు, విలువైన రత్నాలతో చేసిన ఉంగరాలను వ్రేళ్ళకు ధరించాడు. నవరత్నములు పొదిగిన సువర్ణమయ వౌడ్డాణమును ధరించాడు. విలాసమైన పురుషుడుగా, వెన్నెలవంటి నవ్వును పెదాలపై అలముకొని ఉన్నాడు. అతనికి ఇరువైపుల కిన్నెర, కింపురుష, గంధర్వ జాతులకు చెందిన మహిళామణులు. వెంట ముత్యాల గొడుగులు పడుతూ, వినన కర్రలతో విసురుతూ వస్తున్నారు. మరి కొంతమంది తన చేతులతో కరదీపికలను ధరించి అతని ముందర గబగబా నడుస్తూ వస్తున్నారు. మంచి మార్బలంతో రావణాసురుడు అత్యంత విలాసవంతమైన, అధికార దర్పంతో ఆశోకవనంలో సీత ఉన్న ప్రదేశానికి వచ్చాడు. వారిని చూసిన సీత వాయు వేగమునకు తూలే పుష్పలాగా చలించినదై, తన యొక్క శరీరాంగములను తను ధరించిన వస్త్రములతో పూర్తిగా కప్పుకొన్నది. ధూళితో కప్పబడిన రత్నమువలె, నిపురు గప్పిన నిప్పువలే మేఘములు కప్పిన చంద్రబింబంలాగా, ఇత్తడి పూతచే కప్పివేయబడిన బంగారపు తునక లాగా సీత ప్రవేశించింది.

రావణుడు సీతను ప్రార్థించుట : విశాలమైన నేత్రములు కలిగిన సీత! మన్మధుడు లేచి తనదైన వాడి బాణములతో నా పై దాడి చేస్తున్నాడు. చక్కని శీతల పవనాలుతో వాయుదేవుడు మనసును ఆనంద పరచునీ చేస్తున్నాడు. కోయిలలు, వివిధ రకాలైన పక్షుల యొక్క కిలకిలరావములతో ప్రకృతి అంతా మిక్కిలి పులకిస్తూ ఉంది. మనసులోని ఆలోచనలకు ఆనందాన్నిస్తున్నాయి. ఇటువంటి రసరమ్య ప్రకృతి మధ్య నీవు నా పట్ల కృపను చూపక, అవివేకముతో వ్యవహరిస్తున్నావు. నీకిది తగునా? ఓ సీతా.....అలకాపురాధీశుడయిన కుబేరుడు నాకు బహుమానముగా ఇచ్చిన పట్టు వస్త్రాలు ఇదిగో ఇంద్రుడు ప్రతిదినం నాకు పారిజాత పుష్పాలు పంపిస్తాడు. దక్షిణాధీశుడైన ప్రభువు నాకు కర్పూరము తదితర సుగంధ ద్రవ్యాలను సమర్పిస్తారు. నాగలోక సార్వభౌముడైన నాగరాజు పాతాళలోకమునుండి విలువయిన రత్నరాశులను తీసుకొని వస్తాడు. ఇవన్నీ నాయింట్లో రాశులుగా ఉన్నాయి. వాటితో శరీరమును అలంకరించుకొని, నాకు సుఖములు ఇస్తూ నీవు సుఖిస్తూ ఉండాలి. రాముని పైన అడియశను విడిచిపెట్టుకొనుము.

ఓ సీతా! నా కోటను గురించి వివరములు నీకు తెలియవనుకుంటాను. సముద్రము నా లంకకు అగడ్తగా రక్షణనిస్తుంది. ఇంద్రాది దేవతలు నిరంతరం నా అనుచరులుగా

సేవలందిస్తారు. గంధర్వు, కిన్నెర, సురకాంతలు నా కౌగిలి చెఱసాలలో ఉండటానికి వస్తారు. సకల లోకములను పుష్పకం ఎక్కి మిక్కిలి ఉత్సాహంగా తిరుగాడే వారు నేను తప్ప మరొకరు లేరు. నా యొక్క భుజశక్తికి సాటిరాగలవారెవరున్నారు. వాయుదేవుడు నా కోట పరిసరాల్లోని దుమ్ము ధూళిని శుభ్రం చేస్తాడు. సముద్రుడు ఉదయమే నా ఇంటి ముంగిట కళ్ళాపి జల్లుతాడు. నా దినసరి ఖర్చులను కుబేరుడు సరి చూస్తాడు. గురుడు(బృహస్పతి) నా మంచి చెడు ముహూర్తములను పంచాంగం చూసి చెబుతుంటాడు. ఓ సీతా ఇవన్నీ ఈ లోకంలో నేను మాత్రమే చేయగలవాడను.

శంకరుడు నివాసమైన కైలాస పర్వతాన్ని బంతిలాగా ఎత్తి పట్టుకున్న వీరత్వం నాది. దిక్పాలకుల యొక్క గర్వమును యుద్ధంలో నాశనం చేసాను. నాగలోకంలో మహా నాగులు గర్వాన్ని సహితం అణిచాను. తైల సంస్కారం లేక జుత్తు జడలు కట్టి, మునుల వలే తమ్మునితో కలసి దుర్గమమైన అరణ్యాలలో తిరుగుతూ, కందమూలములు తింటూ తిరిగే రాముడు ఎలా లంకకు రాగలడు? ఏ విధంగాను నాతో సరికాదు. రాక్షసులు ఎప్పుడైనా మనుషులను గెలువగలరా? మానవమాంస భక్షులైన రాక్షసులను మానవులు చంపట మనేది ఎప్పుడైన ఈ భూమి మీద జరిగిందా? నా యొక్క భుజశక్తిని ఎదిరించ గల సమర్థత రామునికెక్కడిది? ఈశ్వరుడో, ఇంద్రుడో అయితే నాతో అంతో ఇంతో పోరాడగలరు. ఆ సంగతి అట్లుండనీ నీ కన్నుల అందం, నీ శరీర సౌష్ఠ్యం, నీ చేతుల సౌకుమార్యం మరే స్త్రీ యందు నేను చూడలేదు. దేవతా స్త్రీలు, యక్షుల భార్యలు, కిన్నెరలైన ఆడవారు నీకు సాటిరారు. మునిపత్నులు సహజంగానే నీతో పోల్చలేనివారు. గురుడు, గంధర్వు లోకాలలో నిన్ను మించిన సౌందర్యం గల వారే? గొప్పవయిన దుస్తులను ధరించి, భయమువీడి, మృదువైన మాటలు నాతో మాట్లాడు. ప్రేమ పూరిత కన్నులతో నన్ను చూడుము. కనురెప్పలెత్తి చూడుము. అని నోటికి వచ్చినట్లు మాట్లాడిన రావణుని అనవ్యంగా చూసి, తిరస్కార భావంతో ఓ గడ్డిపోచను త్రొపి దానిని చేత్తో పట్టుకొని సీత రావణుని తిరస్కరిస్తూ ఇట్లు పలకసాగెను.

సీత రావణుని నిందించి, రాముని పొగడుట: పతినే దైవంగా ఎల్లవేళలయందు మనసులో కొలుచుకొనే స్త్రీలు నీ వంటి నీచునితో మాట్లాడటం కంటే వేరే పాపముందా? పరస్త్రీలను కోరే పురుషుల ఆయువు నశిస్తుంది. పుణ్యం చెడుతుంది. ఉత్తములైనవారు నిందిస్తారు. అది సరకమనే మాట నీవు వినలేదా? అంతేకాదు, తన సాహసాన్ని తానే పొగడుకొనే వాడు హీనమైన గుణము కలవాడు. నీకు నీవే పొగడుకుంటున్నావు. ఇటువంటి ధర్మశాస్త్ర విరుద్ధములయిన మాటలు మంచివికావు. యుద్ధరంగంలో నా పతి రఘురాముడు సైన్యముగా వచ్చిన వానరసేనతో పోరాడినప్పుడు తన పరాక్రమమును చూడవచ్చు.

ప్రస్తుతం నన్ను దొంగలించుకొని వచ్చావు. నీవు ఇటువంటి తుచ్చపు మాటలు మాట్లాడటం సమంజసమేనా? ముడుచుకొనుటకు కురులు (జుట్టు) కూడా లేని పిన్న వయసులోనే ఎటువంటి భయములేకుండా తాటకిని హతమార్చినాడు. విశ్వామిత్రుడి వెంట యాగరక్షణకు వెళ్ళి ఎంతో మంది రాక్షసులను సంహరించాడు. ఈ భూమ్మీద ఏ రాజు కూడా విరువలేని శివధనుర్భంగం చేసినాడు. దుర్లభమైన అడవుల్లో ఖర, ధూషణాది రాక్షసులను సంహరించాడు. తన పాదస్పర్శతో రాయిని నాతిగా మార్చిన వైనం నీకు తెలుసా? మాయచేత మాయామృగముగా వచ్చిన మారీచుని గతి ఏమయింది? రాజుగా ఈ భూమిని రక్షించగల రాముడు సాక్షాత్తు అదినారాయణుడే! అటువంటి రామునికి ఈ సముద్రమెంత? ఈ లంక ఎంత? ఈ రాక్షసులెంత? ప్రగల్భాలు ఎందుకు? సముద్రమును ఇంకింపజేసి, శ్రీరాముడు కోవమును చవిచూసేటట్లుగా నిను భయంకరమైన యుద్ధములో చంపి, నీ యొక్క అస్త్రములను ముక్కలుగా చేసి నిన్ను భూతాలకు అహారంగా పెట్టగలడు. అప్రహతిమైన శౌర్యపరాక్రమాలతో నిన్ను సంహరించి, తన సామర్థ్యాన్ని చూపగలడు.

రావణుడు కోపంతో సీతకు వ్యవధి ఇచ్చట : సీత మాటలకు రావణుడు కోపోద్రిక్తుడై ఆమెను నిందించసాగాడు. స్త్రీ కదాయని ఓర్పు వహించిన కొద్దీ నన్నే తక్కువ చేసి మాట్లాడుతున్నది. దీని నాలుక ముక్కలు ముక్కలుగా చేయగలను. మాట్లాడకుండా నా ముందర పడి ఉండవలసినదే. నాతోనే కయ్యమునకు కాలుదువ్వుతున్నది. దీనిని సంహరించి దెయ్యాలకు అహారంగా వేస్తాను. నా కోటికీ తీర్చుకొని విడిచిపెట్టెదను. నా యొక్క భుజబలంతో కైలాసాన్నే ఎత్తిన వాడిని. దిక్పాలకులను నా సైన్యంతో రణరంగంలో భయావహాలను చేసి ఓడించాను. అటువంటి నా పరాక్రమమును గుర్తించక రాముడు భీకరుడని అతడి పరాక్రమమును పొగడుతున్నదీ సీత. సమస్త లోకములలో నా పుష్పకమునెక్కె తిరుగుగలవాడను. దేవతల చేత వెట్టి చాకిరి చేయించుకోగలవాడను. బ్రహ్మచేత వరములు పొందినవాడను. ఘోర తపస్సు చేసినవాడను. యక్ష, కిన్నెర, గంధర్వల యొక్క భార్యలను చేపట్టినవాడను. నన్ను కాదని ఒక పేద నరుని కీర్తిస్తూ నన్ను ఎదిరిస్తున్న దీని నాలుకను తుదకంటూ తెగనరికి నేలపై పడేటట్లు చేస్తాను. అని ఉగ్రముగా ఆమెను చేరబోయిన రావణుని చూచి కొందరు రాక్షస స్త్రీలు అడ్డు వచ్చి ఇంద్రుడు, యముడు, నిర్వృతి వంటి వారిపై చూపవలసిన కోపాన్ని ఒక స్త్రీ మీద చూపడం మంచిది కాదు. పిచ్చుక పై బ్రహ్మాస్త్రం ఎందుకు? ఇటువంటి ఒంటరి, బలహీను రాలైన స్త్రీపై ప్రతాపం చూపడం ఎందుకు? మీ వంటి వీరుల కత్తికి ఈమె అర్హురాలేనా? మాకొక అవకాశము ఇవ్వవలసిందిగా కోరుతున్నాము. ఈమె మనసును మారుస్తాము”

అని శాంత వచనములు చెప్పగా, ఆ రాక్షస చక్రవర్తి రావణుడు సీత ప్రక్కనున్న ఏకజటా, ద్విజట, త్రిజట, దుర్ముఖి, వాయుముఖి, శూర్పణఖ తదితర రాక్షస స్త్రీలను చూసి, వారితో “రెండు మానములు గడువు ఇస్తున్నాను. నాకు లోబడేటట్లు చేయండి. లేకున్నా కండలు కండలుగా ఆమెను కోసుకు తినడని చెప్పి కోపంతో అక్కడ నుండి వెళ్ళిపోయాడు. అంతట సీత తన భర్తను నిందించటంతో పాటు తనను చంపమని చెప్పిన మాటకు ఆమె మిక్కిలి విచారపడుతూ తన భర్త రాముని తలచుకొని దుఃఖించసాగింది.

సీతాదేవి ఏడుస్తున్నందుకు, ఆమె బాధను గ్రహించిన దగ్గర్లోని యక్ష, కిన్నెర, గంధర్వ స్త్రీలు కూడా ఏడ్చారు. వారి ఆవేదనను విన్న హనుమ మనసులో మిక్కిలి విచారించెను. రెట్టించిన కోవముతో వెంటనే వెళ్ళి రావణాసురుని సంహరించాలనుకున్నాడు. కాని కావలసిన కార్యం చెడుతుందని ఆగినాడు. సీతను తానుచూచిన విషయం రామలక్ష్మణులకు ఆలస్యం లేకుండా తెలియజేయాలనుకున్నాడు. హనుమంతుడు క్రిందకు దిగుదామని అనుకున్నాడు. కాని ఇది తగిన సమయం కాదని భావించారు.

రాక్షస స్త్రీలు సీతకు రావణుని గురించి అనేక విధములుగా చెప్పి చూసారు. కాని జానకీదేవి వారి మాటలు వినక రాముని స్మరిస్తూ నిద్రలోనికి జారుకుంది. కొందరు రాక్షస స్త్రీలు నిద్రపోయారు. నిద్రించక ఉన్న రాక్షస స్త్రీలతో అక్కడున్న త్రిజట ఇలా చెప్పటం ప్రారంభించింది.

త్రిజట స్వప్న వృత్తాంతము : చెలులారా! నేను ఒక కల కన్నాను. ఆ కలలో రాముడు వచ్చి రావణునితో యద్ధం చేసి, అతడిని వధించి సీతను పుష్పక విమానంలో తీసుకొనిపోయినట్లు శుద్ధాత్ముడైన రాముడు శుద్ధాత్మ అయిన సీత, మరియు ఆమెకు కలుగు శుభ సూచకములు నాకు కనిపించాయి. కావున... మీరు తొందరపడి సీతను కఠినమైన మాటలతో నిందించకండి. సీతను రక్షించడమే మనకు మిగిలిన కర్తవ్యం అని వారికి తెలియజెప్పినది.

2. కవయిత్రి మొల్ల కవితా లక్షణములను వివరించండి.

జ. తేనే సోక నోరు తీయనయగు రీతిగా నర్థమెల్ల తోచేట్టు చక్కని, మధురమైన తెలుగు మాటలతో రామాయణం వ్రాసి, బహుళ జనాదరణ పాత్రంగా తీర్చిన మొదటి తెలుగు కవయిత్రి మొల్ల. మొల్ల కేసన కూతురు. విఖ్యాత గోపవరపు శ్రీకంఠ మల్లేశు వరము చేత కవిత్వం చెప్పడం నేర్చుకున్నానని ఆమె చెప్పుకున్నారు. 16వ శతాబ్దంనకు చెందిన ఏకామ్రనాథుడు తన సిద్ధేశ్వర చరిత్ర ప్రతాప చరిత్రలో ఈమెకు చెందిన విషయాలు తెలియజేసాడు. ఈమె రామభక్తరాలు. రామునికే జీవితం అంకితం చేసినది.

వినయశీలి అయిన మొల్ల వెనుకటి కవుల కన్నా తను గొప్పగా రామాయణ రచన చేయలేనని చెప్పుకుంది. దేశీయ పదాలు, తెలుగులోని సంధులు, ప్రాజ్ఞుల శబ్ద వితత్తి, శయ్యాలు, రీతులు, చాటు ప్రబంధాలు, సమాసాలు, అర్థాలు, భావార్థాలు, కావ్య పరిపాకాలు, రసభావ చమత్కారాలు, పలుకు సరళీ, బహువర్ణాలు, విభక్తులు, రీతులు బహువర్ణాలు, విభక్తులు, ధాతువులు, అలంకారాలు, ఛందో విలక్షణాలు, కావ్య సంపద, క్రియలు, నిఘంటువులు, ఇవేవీ తనకు తెలియవని సవినయంగా చెప్పుకున్నదామె. విఖ్యాత గోపవరపు శ్రీ కంఠమల్లేశు వరముచేత నెఱిగి గవిత్వంబుంజెప్పగా నేర్చుకొంటి అన్నది. పోతన వలనే మొల్ల కూడా సల్లలిత ప్రతాపగుణసాగరుండై విలసిల్లి ధాత్రిపై బల్లిడుండైన రామ నరపాలకునిన్ స్తుతి చేయు జిహ్వకున్ రాజలోకమును జేకొని మెచ్చుగ నిచ్చుటట్టునే అని రామచంద్రునికే తన కావ్యమును అంకితం చేసిన భక్తురాలు మొల్ల.

రామాయణంలో సుందరకాండ ఎంతో ప్రసిద్ధమైనది. మిగిలిన కాండల కన్నా ఇది ఎంతో అందమైనది. పారాయణ చేసేవారు ముఖ్యంగా పాఠ్యభాగమైన సీతారావణ సంవాదం, ఘట్టంలో రావణుని అహంకారం, స్త్రీమూర్తి, సహనశీలి అయిన సీత యొక్క సౌశీల్యం చక్కని పద బంధనాలతో వర్ణించినవైనం అద్భుతం. వన్నిట మజ్జనం బాడి దివ్యాంబరాలు గట్టుకొని రావణుడు అట్టహాసంగా తన పరివారంలో అశోకవనానికి వస్తాడు. సీతను చూసి నా యెడ గృహారసము సేయ కవివేకమున నీ యెడల నుండుటిది న్యాయమెలతిరిగి అంటాడు. తన సంపదలను గురించి చెబుతాడు. సమస్త దేవతలు, దిక్పాలకు తన యింట బానిసలుగా ఉన్నారని గర్విస్తాడు. తన కోటను వాయుదేవుడు శుభ్రం చేస్తాడని, సముద్రుడు కళ్ళాపి చల్లుతాడని, మద్భుజాశక్తి ప్రతిపోల్చి అద్భుతంబు అని చెబుతాడు. కాని సీత ఎంతో సంయమనంతో నోకికి వచ్చిన మచ్చున భ్రేలుచున్న యా నీచుని దుష్టభాషణంబులకు రోసి తృణంబు చేపట్టి జనకభూపాలనందన జవాబు చెబుతుంది. పరదాలను చెరబడడమే వ్రతంగా పెట్టుకున్నా నీకు జవాబు చెప్పడం కూడా పాపమే. ఇతర భార్యలను దొంగచాటుగా నన్ను తీసుకు వచ్చావు. రాజమాత్రుండే మేదిని రక్షకుండు రామభూపాలుండాది నారాయణుండు నీవనంగనెంత? నీలావు చేవయెంత? చెప్పనేటికి నీవే చూచెదవు గాక! ఒడుపు దప్పిన కాలాపి దీనిన్ దెయ్యాలకు బలిపెట్టెద బలిమిని బైకొని నీకాంక్షదీర భావజకేటీన్ ఇలా ఎన్నెన్నో పద్యాలతో మొల్ల తన కవితా లక్షణాలను విపులంగా వివరిస్తారు. ఎంతో సుందరమైన భావాలు, భాషతో చక్కని అలంకారికయుతమై పద్యాలతో వీరి సంవాద రమ్యంగా చిత్రించారు కవయిత్రి మొల్ల. ఎటువంటి ఛందోవ్యాకరణాంశాలు తనకు తెలియవని వినయంగా మొల్ల ప్రకటించుకున్నా

రామాయణ రమ్యతకు కావలసిన సుందరమైన అలంకారాలను సందర్భ సహితంగా వినియోగించిన రీతి మొల్ల రామాయణాన్ని చిరస్మరణీయం చేసింది.

మొల్ల రామాయణ రచనలో పాత్రల యొక్క వ్యక్తిత్వ చిత్రణలో తన కవితాంశములను జోడిస్తూ ఎంతో యుక్తియుక్తంగా చిత్రిస్తారు. రావణుడు తన పరాక్రమంను వివరిస్తూ తనలో పోరుకు నగధరుడో, నగధిన్యుడో నగ ఛేడియో, కొంతకొంత నాతో బోరన్ అంటాడు. చివరిగా సీతను చంపుతానన్న రావణునిలో కొందరు రాక్షస కాంతలు సురవరుడో? ధనుంజయుడో సూర్యతనూజుడో యాత శరధి విభుండో.. అని అతను అటువంటి వారిపై కోపం చూపాలి కాని స్త్రీ అయిన సీత పైన ఎందుకని చెప్పిన సందర్భంలో తన రాజు యొక్క మానసిక బలము, బలహీనతను ఆ రాక్షస స్త్రీలతో చెప్పించడం ఓ కవితా చమత్కరి.

ఈ విధంగా “సీతారావణ సంవాదము” అను ఈ పాఠ్యభాగంలో మొల్ల కవిత్వపు సౌబర్యము, చమత్కారం వంటి ఉన్నాయి.

3. రావణుని అలంకరణను వివరింపుము.

జ. “సీతారావణ సంవాదము” అనే పాఠ్యభాగ కవయిత్రి మొల్ల. ఆమె రచించిన ‘మొల్ల రామాయణము సుందరకాండలోని ప్రథమాశ్వాసం నుండి స్వీకరింపబడినది.

శ్రీరామ, సుగ్రీవుల ఆదేశానుసారం సీత జాడ అన్వేషణకు హనుమంతుడు సముద్రాన్ని దాటి లంకానగరంలో ప్రవేశించాడు. సీత కోసం ఆ నగరంలోని నివాసగృహాలు, రహదారులు, తోటలు, ఆరామాలు వంటివి అణువణువున గాలిస్తూ ఉన్నాడు. కానీ... ఆమెను కనుక్కోలేక పోయాడు. ఏమి చేయాలో తోచక... ఒక ఆరామ సమీపంలోని గోపురం పై ఉండగా.... ఆ సమీపంలోనున్న స్త్రీ మూర్తిని చూసాడు. ఆమెను గురించి తెలుసుకోవాలనుకున్నాడు. గోపురం దిగి, సూక్ష్మరూపంలో దగ్గరలోని అశోకవృక్షం పైకి చేరి పరిశీలించసాగాడు.

భర్తకు దూరమయిన తరువాత కలిగిన బాధ కంటే రాక్షస సేనలు, సేవకులు చేసే వివిధములయిన వికృతచేష్టలకు ఆమె మనసు వేదనాభరితమయింది. తనుకు ఎవరూ లేని దిక్కులేని దానిగా వేదన చెందసాగింది. రావణుడు, పరిచారికలు రాముని గురించి, తన గురించి చెప్పే మాటలు ఆమె చెవులకు కఠోరంగా ఉన్నాయి. వాటిని తలచుకుంటూ ఆమె కన్నులలో కన్నీటి సుడులు తిరుగుతున్నాయి. రాముని నిరంతరం తలచుకుంటూ ‘రామ’ ‘రామ’ అని నిరంతరం నామస్మరణ చేస్తున్న ఆ స్త్రీమూర్తిని చూచిన హనుమంతుడు. ఆమె ‘సీత’ అని నిశ్చయించుకొని మనసులో ఎంతగానో సంతోషించాడు.

అదే సమయములో రావణుడు సీత పైన ఆశ కలిగినవాడై, పరితపించిన హృదయముతో ఆమెను దర్శించడానికి వస్త్రీటి స్నానం చేసి, గొప్పవయిన వస్త్రములు ధరించి, కర్పూరము గంధములతో కలగలిపిన పూతల శరీరమునకు పూసుకొని, పారిజాత పుష్పములను ముడుచుకొని, పైన జవ్వాది తదితర సువాసనా భరిత తైల లేపమును పూసుకుని, తనకున్న పదితలలకు రత్న కిరీటాలను ధరించాడు. చెవులకు మణిమయ ఆభరణాలను ధరించాడు. సూర్యకాంతితో వెలిగే, పతకాలను, ముత్యాలదండలు, భుజకీర్తులు, విలువైన రత్నాలతో చేసిన ఉంగరాలను వ్రేళ్ళకు ధరించాడు. నవరత్నములు పొదిగిన సువర్ణమయ వొడ్డాణమును ధరించాడు. విలాసమైన పురుషుడుగా, వెన్నెలవంటి నవ్వును పెదాలపై అలముకొని ఉన్నాడు. అతనికి ఇరువైపుల కిన్నెర, కింపురుష, గంధర్వ జాతులకు చెందిన మహిళామనులు. వెంట ముత్యాల గొడుగులు పడుతూ, వినన క్రలతో విసురుతూ వస్తున్నారు. మరి కొంతమంది తన చేతులతో కరదీపికలును ధరించి అతని ముందర గబగబా నడుస్తూ వస్తున్నారు. మంది మార్బలంతో రావణాసురుడు అత్యంత విలాసవంతమైన, అధికార దర్పంతో ఆశోకవనంలో సీత ఉన్న ప్రదేశానికి వచ్చాడు. వారిని చూసిన సీత వాయు వేగమునకు తూలే పుష్పమువలే చలించినదై, తన శరీరాన్ని తను ధరించిన వస్త్రాలతో పూర్తిగా కప్పకొన్నది. ధూళితో కప్పబడిన రత్నమువలే, నిపురు గప్పిన నిప్పువలే మేఘములు కప్పిన చంద్రబింబంలాగా, ఇత్తడి పూతచే కప్పివేయబడిన బంగారపు తునకలాగా ఆమె ఉన్నది.

4 రావణుడు సీతను ఏమని అభ్యర్థించెను?

జ. రావణుడు సీతను అభ్యర్థించుట : విశాలమైన నేత్రములు కలిగిన సీత! మన్మథుడు లేచి తనదైన వాడి బాణములతో నా పై దాడి చేస్తున్నాడు. చక్కని శీతల పవనాలుతో వాయుదేవుడు మనసును ఆనంద పరచుచునే ఉన్నాడు. కోయిలలు, వివిధ రకాలైన పక్షుల యొక్క కిలకిలరావాలతో ప్రకృతి అంతా మిక్కిలిగా పులకిస్తూ ఉంది. మనసులోని ఆలోచనలకు ఆనందాన్నిస్తున్నాయి. ఇటువంటి రసరమ్య ప్రకృతి మధ్య నీవు నా పట్ల కృపను చూపక, అవిచేకముతో వ్యవహరిస్తున్నావు. నీకిది తగునా? ఓ సీతా..... అలకాపురాధీశుడయిన కుబేరుడు నాకు బహుమానముగా ఇచ్చిన పట్టు వస్త్రాలు ఇవిగో ఇంద్రుడు ప్రతిదినం నాకు పారిజాత పుష్పాలు పంపిస్తాడు. దక్షిణాధీశుడైన ప్రభువు నాకు కర్పూరము తదితర సుగంధ ద్రవ్యాలను సమర్పిస్తారు. నాగలోక సార్వభౌముడైన నాగరాజు పాతాళలోకమునుండి విలువయినట్టి రత్న రాశులను తీసుకొని వస్తాడు. ఇవన్నీ నాయింట్లో రాశులుగా ఉన్నాయి. వాటితో శరీరమును అలంకరించుకొని, నాకు సుఖములు ఇస్తూ నీవు సుఖిస్తూ ఉండాలి. రాముని పైన అడియాశను విడిచిపెట్టుకో.

ఓ సీతా! నా కోటను గురించి వివరములు నీకు తెలియవనుకుంటాను. సముద్రము నా లంకకు అగడ్తగా రక్షణనిస్తుంది. ఇంద్రాది దేవతలు నిరంతరం నా అనుచరులుగా

సేవలందిస్తారు. గంధర్వ, కిన్నెర, సురకాంతలు నా కౌగిలి చెఱసాలలో ఉండటానికి వస్తారు. సకల లోకములను పుష్పకం ఎక్కి మిక్కిలి ఉత్సాహంగా తిరుగాడే వాణ్ణి ఈ లోకంలో మాత్రమే నా యొక్క భుజశక్తికి సాటిరాగలవారెవరున్నారు. వాయుదేవుడు నా కోట పరిసరాల్లోని దుమ్ము ధూళిని శుభ్రం చేస్తాడు. సముద్రుడు ఉదయమే నా ఇంటి ముంగిట కళ్యాపి జల్లుతాడు. నా దినసరి ఖర్చులను కుబేరుడు సరి చూస్తాడు. గురుడు(బృహస్పతి) నా మంచి చెడు ముహూర్తములను పంచాంగం చూసి చెబుతుంటాడు. ఓ సీతా ఇవన్నీ ఈ లోకంలో నేను మాత్రమే చేయగలవాడను.

శంకరుడు నివాసమైన కైలాస పర్వతాన్ని బంతిలాగా ఎత్తి పట్టుకున్న వీరత్వం నాది. దిక్పాలకుల యొక్క గర్వమును యుద్ధంలో నాశనం చేశాను. నాగలోకంలో మహా నాగుల గర్వాన్ని సహితం అణిచాను. తైల సంస్కారం లేక జుత్తు జడలు కట్టి, మునుల వలే తమ్మునితో కలసి దుర్గమమైన అరణ్యాలలో తిరుగుతూ, కందమూలములు తింటూ తిరిగే రాముడు ఎలా లంకకు రాగలడు? ఏ విధంగాను నాతో సరికాడు. రాక్షసులు ఎప్పుడైనా మనుషులను గెలువగలరు. మానవమాంస భక్షులైన రాక్షసులను మానవులు చంపట మనేది ఎప్పుడైన ఈ భూమి మీద జరిగిందా? నా యొక్క భుజశక్తిని ఎదిరించ గల సమర్థత రామునికెక్కడిది? ఈశ్వరుడో, ఇంద్రుడో అయితే నాతో అంతో ఇంతో పోరాడగలరు. ఆ సంగతి అట్లుండనీ! నీ కన్నుల అందం, నీ శరీర సౌష్ఠ్యం, నీ చేతుల సౌకుమార్యం మరే స్త్రీ యందు నేను చూడలేదు. దేవతా స్త్రీలు, యక్షుల భార్యలు, కిన్నెరులైన ఆడవారు నీకు సాటిరారు. మునిపత్నులు సహజంగానే నీతో పోల్చలేనివారు. గురుడు, గంధర్వ లోకాలలో నిన్ను మించిన సౌందర్యం గల వారే? గొప్పవయిన దుస్తులను ధరించి, భయమువీడి, మృదువైన మాటలు నాతో మాట్లాడు. ప్రేమ పూరిత కన్నులతో నన్ను చూడుము. కనురెప్పలెత్తి చూడుము. అని నోటికి వచ్చినట్లు మాట్లాడిన రావణుని అసహ్యంగా చూసి, తిరస్కార భావంతో ఓ గడ్డిపోచను త్రొపి దానిని చేత్తో పట్టుకొని సీత రావణుని తిరస్కరిస్తూ ఇలా మాట్లాడింది.

5. రావణునికి సీతపై ఎందుకు ఆగ్రహం కలిగింది?

జ. సీత మాటలకు రావణుడు కోపోద్రిక్తుడై ఆమెను నిందించసాగాడు. “స్త్రీ కదాయని ఓర్పు వహించి

న కొద్దీ నన్నే తక్కువ చేసి మాట్లాడుతున్నది. దీని నాలుక ముక్కలు ముక్కలుగా చేయగలను. మాట్లాడకుండా నా ముందర వడి ఉండవలసినదే. నాతోనే కయ్యమునకు కాలుదువ్వుతున్నది. దీనిని సంహరించి దెయ్యాలకు ఆహారంగా వేస్తాను. నా కోటిక తీర్పుకొని విడిచిపెట్టెదను. నా యొక్క భుజబలంతో కైలాసాన్నే ఎత్తిన వాడను.

దిక్పాలకులను నా సైన్యంతో రణరంగమున భయావహులను చేసి ఓడించాను. అటువంటి నా పరాక్రమమును గుర్తించక రాముడు భీకరుడని అతడి పరాక్రమమును పొగడుతున్నదీ సీత. సమస్త లోకములలో నా పుష్పకమునెక్కి తిరుగుగలవాడిని. దేవతల చేత వెట్టి చాకిరి చేయించుకోగలవాడిని, బ్రహ్మచేత వరములు పొందినవాడిని, ఘోర తపస్సు చేసినవాడిని, యక్ష, కిన్నెర, గంధర్వల యొక్క భార్యలను చేపట్టినవాడిని. నన్ను కాదని ఒక పేద నరుని కీర్తిస్తూ నన్ను ఎదిరిస్తున్న దీని నాలుకను తుదకంటూ తెగనరికి నేలపై పడునట్లు చేస్తాను". అని కోపంగా ఆమెను చేరబోయిన రావణుని చూచి కొందరు రాక్షస స్త్రీలు అడ్డు వచ్చి ఇంద్రుడు, యముడు, నిరృతి వంటి వారిపై చూపవలసిన కోపాన్ని ఒక స్త్రీ మీద చూపడం మంచిది కాదు. పిచ్చుక పై బ్రహ్మాస్త్రం ఎందుకు? ఇటువంటి ఒంటరి, బలహీను రాలైన స్త్రీపై ప్రతాపం చూపడం మంచిదేనా? మీ వంటి వీరుల కత్తికి ఈమె అర్హురాలేనా? మాకొక అవకాశము ఇవ్వండి. ఈమె మనసును మారుస్తాము అని శాంత వచనాలు చెప్పగా, ఆ రాక్షస చక్రవర్తి రావణుడు సీత ప్రక్కనున్న ఏకజటా, ద్విజట, త్రిజట, దుర్ముఖి, వాయుముఖి, శూర్పణఖ తదితర రాక్షస స్త్రీలను చూసి, వారితో రెండు మాసములు గడువు ఇస్తున్నాను. నాకు లోబడేటట్లు చేయండి. లేకున్నా కండలు కండలుగా ఆమెను కోసుకు తినడని చెప్పి కోపంతో అక్కడ నుండి వెళ్ళిపోయాడు. అంతట సీత తన భర్తను నిందించడమే కాకుండా తనను చంపమని చెప్పిన మాటకు ఆమె మిక్కిలి విచారపడుతూ తన భర్త అయిన రాముని తలచుకొని దుఃఖించసాగింది.

సీతాదేవి దుఃఖిస్తున్నందుకు, ఆమె బాధను చూసిన యక్ష, కిన్నెర, గంధర్వ స్త్రీలు సహితం ఏడ్వసాగిరి. వారి ఆవేదనను విన్న హనుమ మనసులో మిక్కిలి విచారించెను. రెట్టించిన కోపముతో వెంటనే వెళ్ళి రావణాసురుని సంహరించాలనుకున్నాడు. కాని కావలసిన కార్యం చెడుతుందని ఆగినాడు. సీతను తానుచూచిన విషయం రామలక్ష్మణులకు అలస్యం లేకుండా తెలియజేయాలనుకున్నాడు. హనుమంతుడు క్రిందకు దిగుదాముని అనుకున్నాడు. కాని ఇది తగిన సమయం కాదని భావించాడు.

5.8 సంగ్రహరూప ప్రశ్నలు

1. సీత రాముని గొప్పదనాన్ని గురించి చెప్పిన విధం వ్రాయండి.

జ. పతినే దైవంగా ఎల్లవేళలయందు మనసులో కొలుచుకొనే స్త్రీలు నీ వంటి నీచునితో మాట్లాడటం కంటే వేరే పాపముందా? పరస్త్రీలను కోరే పురుషుల ఆయువు నశిస్తుంది. పుణ్యము చెడుతుంది. ఉత్తములైనవారు నిందిస్తారు. అది నరకమనే మాట నీవు వినలేదా? అంతేకాదు.. తన సాహసాన్ని తానే పొగడుకొనే వాడు హీనమైన గుణము కలవాడు.

నీకు నీవే పొగడుకుంటున్నావు. ఇటువంటి ధర్మశాస్త్ర విరుద్ధములయిన మాటలు తప్పు. యుద్ధరంగంలో నా పతి రఘురాముడు సైన్యముగా వచ్చిన వానరసేనతో పోరాడినప్పుడు తన పరాక్రమమును చూడవచ్చు. ప్రస్తుతం నన్ను దొంగలించుకొని వచ్చావు. నీవు ఇటువంటి తుచ్ఛపు మాటలు మాట్లాడటం నీకు సమంజసమేనా? ముడుచుకొనుటకు కురులు (జుట్టు) కూడా లేని పిన్న వయసులోనే ఎటువంటి భయములేకుండా తాటకిని హతమార్చినాడు. విశ్వామిత్రుడి వెంట యాగరక్షణకు వెళ్ళి ఎంతో మంది రాక్షసులను సంహరించినాడు. ఈ భూమీద ఏ రాజు కూడా విరువలేని శివధనుర్భంగం చేసినాడు. దుర్లభమైన అడవుల్లో ఖర, ధూషణాది రాక్షసులను సంహరించాడు. తన పాదస్పర్శతో రాయిని నాతిగా మార్చిన వైనం నీకు తెలుసా? మాయచేత మాయామృగముగా వచ్చిన మారీచుని గతి ఏమయింది? రాజుగా ఈ భూమిని రక్షించగల రాముడు సాక్షాత్తు ఆదినారాయణుడే! అటువంటి రామునికి ఈ సముద్రమెంత? ఈ లంక ఎంత? ఈ రాక్షసులెంత? ప్రగల్భాలు ఎందుకు? సముద్రమును ఇంకింపజేసి, శ్రీరాముడు కోపమును చవిచూసేటట్లుగా నిను భయంకరమైన యుద్ధములో చంపి, నీ యొక్క అస్త్రములను ముక్కలుగా చేసి నిన్ను భూతాలకు ఆహారంగా పెట్టగలడు. అవ్రహామిమైన శౌర్యపరాక్రమాలతో నిన్ను సంహరించి, తన సామర్థ్యాన్ని చూపగలడు. అని సీత తన రాముని గొప్పదనానన్ని గూర్చి రావణుతో పలికింది.

2. రావణుడు సీతను ఏమి చేయమని రాక్షస వనితలకు చెప్పాడు?

జ. ఆ రాక్షస చక్రవర్తి రావణుడు సీత ప్రక్కనున్న ఏకజటా, ద్విజట, త్రిజట, దుర్ముఖి వాయుముఖి, శూర్పణఖ తదితర రాక్షస స్త్రీలను చూసి, వారితో రెండు మాసములు గడుపు ఇస్తున్నాను. నాకు లోబడేటట్లు చేయండి. లేకున్నా కండలు కండలుగా ఆమెను కోసుకు తినడని చెప్పి కోపంతో అక్కడ నుండి వెళ్ళిపోయాడు.

3. రావణుడు సీతపై ఎందుకు ఆగ్రహించాడు?

జ. రావణుడు సీత తన యొక్క అధికారం వీరత్వమును గుర్తించక, తన భర్త అయిన శ్రీరాముని పరాక్రమమును పొగడటం రావణునికి నచ్చలేదు. ఈ కారణంగా తన అధికార దర్బాన్ని ప్రదర్శించుకొనేందుకు ఆమెను వధించమని రాక్షస స్త్రీలకు చెప్పెను. ఒక సాధారణమైన స్త్రీ సీత తనను తన కోరికను మన్నించకపోవడంతో రావణుడు సీతపై ఆగ్రహించాడు.

4 హనుమ సీత వద్దకు చేరిన పద్ధతిని గూర్చి వ్రాయండి.

జ. 'సీతా రావణ సంవాదము' అనే మా పాఠ్యభాగ కవియిత్రి మొల్ల. ఆమె రచించిన 'మొల్ల రామాయణము సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడినది.

శ్రీరామ, సుగ్రీవుల ఆదేశానుసారం సీత జూడ అన్వేషణకు హనుమంతుడు సముద్రమును దాటి లంకానగరంలో ప్రవేశించాడు. సీత కోసం ఆ నగరంలో నివాసగృహాలు, రహదారులు.. తోటలు, ఆరామాలు అణువణువునా గాలిస్తూ ఉన్నాడు. కానీ... ఆమెను కనుగొనలేక పోయాడు. ఏమి చేయాలో తోచక... ఒక ఆరామ సమీపంలోని గోపురంపై ఉండగా.... ఆ సమీపంలోనున్న స్త్రీ మూర్తి సీతను చూసాడు. ఆమెను గురించి తెలుసుకోవాలనుకున్నాడు. గోపురం దిగి, సూక్ష్మరూపంలో దగ్గరలోని అశోకవృక్షం పైకి చేరి పరిశీలించసాగాడు.

భర్తకు దూరమయిన తరువాత కలిగిన బాధ కంటే రాక్షస సేనలు, సేవకులు చేసే వివిధములయిన వికృతచేష్టలకు ఆమె మనసు వేదనాభరితమయింది. తనుకు ఎవరూ లేని దిక్కులేని దానిగా వేదన చెందసాగింది. రావణుడు, పరిచారికలు రాముని గురించి, తన గురించి చెప్పే మాటలు ఆమె చెవులకు కఠోరంగా ఉన్నాయి. వాటిని తలచుకుంటూ ఆమె కన్నులలో కన్నీటి సుడులు తిరుగుతున్నాయి. రాముని నిరంతరం తలచుకుంటూ 'రామ' 'రామ' అని నిరంతరం నామస్మరణ చేస్తున్న ఆ స్త్రీమూర్తిని చూచిన హనుమంతుడు. ఆమె 'సీత' అని నిశ్చయించుకొని మనసులో ఎంతగానో సంతోషించాడు.

5. త్రిజట స్వప్న వృత్తాంతాన్ని గురించి వ్రాయండి.

జ. త్రిజట స్వప్న వృత్తాంతము : చెలులారా! నేను ఒక కల కన్నాను. ఆ కలలో రాముడు వచ్చి రావణునితో యద్ధం చేసి, అతడిని వధించి సీతను పుష్పక విమానంలో తీసుకొనిపోయినట్లు శుద్ధాత్ముడైన రాముడు శుద్ధాత్మ అయిన సీత, మరియు ఆమెకు కలుగు శుభ సూచకములు నాకు కనిపించాయి. కావున... మీరు తొందరపడి సీతను కఠినమైన మాటలతో నిందించకండి. సీతను రక్షించడమే మనకు మిగిలిన కర్తవ్యం అని వారికి తెలియజెప్పింది.

6. సీతారావణ సంవాదం పాఠ్యభాగ నేపథ్యాన్ని వివరించండి.

జ. రావణునిచే సీతాహరణ జరిగిన తరువాత సీతాన్వేషణలో రామలక్ష్మణులకు సుగ్రీవునితో స్నేహం ఏర్పడింది. వారి వధానంతరం సుగ్రీవుడు తన వానర సైన్యాన్ని నాలుగు దిక్కులకు పంపి సీత జూడ తెలుసుకొని రమ్మంటాడు. ఈ కార్యంలో భాగంగా లంకానగరంలో వెతకమని ఆంజనేయుని పంపిస్తాడు. అతడు లంకానగరం చేరి సీతను వెదుకుతాడు. ఒకచోట రామ నామస్మరణ వినిపిస్తుంది. అశోకవనంలో ఉన్న సీత

చేస్తున్న స్మరణ అది. అక్కడకు చేరుకుంటాడు. సూక్ష్మరూపంలో ఒక వృక్ష శిఖరాగ్రమున దాక్కుంటాడు. ఇంతలో రావణుడు దాసదాసీ జనంతో వచ్చి సీతతో సంభాషించిన సందర్భంలో సీతారావణుల మధ్య జరిగిన సంవాదమే ఈ పాఠ్యభాగం.

5.9 అభ్యాసం

1. కవయిత్రి మొల్లను గూర్చి వ్రాయండి.
2. రావణుడు సీతపై ఆగ్రహించిన విధమును గురించి రాయండి.

సందర్భ సహిత వ్యాఖ్యలు వ్రాయుము.

1. వచ్చు త్రోవ చెవుమ వారిజాక్షి
2. బ్రతివచనము లాడుకంటె c బాపము గలదే?
3. వినఁగూడదు ధర్మశాస్త్ర విపరీతంబుల్
4. చెప్పనేటికి నీవె చూచెదవు గాక!

క్రింది పదములను విడదీసి సంధినామములు వ్రాయుము.

1. అగ్గోపురము	2. నిశితాంబక
3. చీనాంబరములు	4. నవనిధానంబులు
5. మహోత్సాహము	6. పాకారి
7. ధనుజేశ్వరుడు	8. పంచాంగము
9. మృధాక్షులు	10. సత్పురుషులు

క్రింది పదములకు విగ్రహ వాక్యములు వ్రాసి సమాస నామములను తెల్పుము.

1. సూక్ష్మరూపము,	2. శింశుపా వృక్షము,
3. లతాంగి,	4. లంకేశ్వరుడు
5. సుందరాంగములు ,	6. అహీనబలము
7. హీనగుణుడు	8. మేదిని రక్షకుడు,
9. ఘోరాజి	10. నామందర
11. దిగీశు సైన్యములు	

విద్యార్థులకు సూచన

అలంకారములను పద్యములయందు గుర్తించి వ్రాయండి.

ఇచ్చిన పద్యములనందు ఛందస్సును గుర్తించండి.

నక్షత్రము గుర్తు కలిగిన పద్యములు కంఠస్థము చేయండి.

యూనిట్ - 6

వ్యాకరణం

6.1 సంధులు

సంధులు 2 రకములు

1. సంస్కృత సంధులు - సంస్కృత పదాల మధ్య జరిగే సంధులు
2. తెలుగు సంధులు - అచ్చ తెలుగు పదాల మధ్య జరిగే సంధులు

తెలుగు సంధి నిర్వచనము :

పూర్వ పర స్వరములకు పర స్వరములు ఏకాదేశము కావడం సంధి

పూర్వ స్వరము - మొదటి పదము చివరి నుండు అచ్చు

పర స్వరము - రెండవ పదము మొదటి అచ్చు

ఈ రెండు అచ్చుల స్థానమున పర అచ్చు ఒక్కటే ఆదేశముగనని అర్థం

ఉదా : రాముడు + అతడు

మొదటి పదము రాముడు చివరి అచ్చు = డ్ + ఉ

రెండవ పదము అతడు మొదటి అచ్చు = అ

ఈ రెండింటి స్థానమున రెండవ అచ్చు ఆదేశముగా వచ్చి ' రాముడతడు' అగును.

సంధి కార్యములో వచ్చు పారిభాషిక పదాలు

బహుళం : వ్యాకరణ నియమం కొన్ని చోట్ల నిత్యంగా, కొన్ని చోట్ల వైకల్పికంగా, కొన్ని చోట్ల నిషిద్ధంగా, కొన్ని చోట్ల అన్యకార్యంగా ఉండటం.

ఉదా :

పెద్దన్న = పెద్ద + అన్న = నిత్యం

పుట్టినెల్లు, పుట్టినయిల్లు = పుట్టిన + ఇల్లు = వైకల్పికం

గంగ యున్నది = గంగ + ఉన్నది = నిషేధం

ఒకానొక = ఒక + ఒక = అన్యకార్యం

వైకల్పికం : వ్యాకరణ నియమం ఒకసారి వర్తించి ఒక రూపం, వర్తించకుండా మరొక రూపం వస్తుంది

ఉదా : ఏమి + అన్నావు = ఏమన్నావు, ఏమియన్నావు

నిత్యం : తప్పనిసరిగా వర్తించటం

ఉదా : మనము + ఉన్నాము = మనమున్నాము

ఏకాదేశం : రెండు వర్ణములుకు బదులు ఒకే వర్ణము రావడం

రాముడు + అతడు = రాముడతడు

ఆదేశం : స్థానాక్రమణము ‘ శత్రువేత్ ఆదేశః’ ఒక వర్ణ స్థానంలో మరొక వర్ణం శత్రువుగా రావటం

ఉదా : కాయ + కూర = కాయగూర

నీవు + టక్కరివి = నీవుడక్కరివి

ఆగమం : పర్ణాధిక్యము “మిత్రవత్ ఆగమః”. మిత్రుని వలె అదనంగా మరొక వర్ణం చేరటం.

ఉదా : పేద + ఆలు = పేదరాలు = పేద + ర్ + ఆలు

నీ + కరుణ = నీదుకరుణ = నీ + దు + కరుణ (దుగాగమం)

పాఠ్య ప్రణాళికలో నిర్దేశించిన సంధులు

సంధులు :

1. ఉత్పసంధి
2. త్రిక సంధి
3. ద్రుత ప్రకృతిక సంధి
4. నుగాగమ సంధి
5. ద్విరుక్తటకారదేశ సంధి
6. యణాదేశ సంధి
7. వృద్ధి సంధి
8. శ్చుత్వసంధి
9. జశ్వు సంధి
10. అనునాసిక సంధి

1. ఉత్పసంధి :

ఉత్పసంధి అచ్చు పరంబగునపుడు సంధి యగును. (వివరణ : ఉత్తు అనగా హ్రస్వ ఉ కారము. ఉకారమునకు అచ్చు పరమగుట)

ఉదా :

రాముడతడు = రాముడు + అతడు (ఉ+అ = అ)

మునుముంటిమి = మనము + ఉంటిమి (ఉ+ ఉ= ఉ)

భావమేమి = భావము + ఏమి (ఉ+ ఏ = ఏ)

సూత్రం : ప్రథమేతర విభక్తి, శత్రువృత్తవర్ణంబులందున్న ఉకారమునకు సంధి వైకల్పికము.

వివరణ : ప్రథమా విభక్తి ఇతర విభక్తులందున్న ఉకారమునకు ను, శత్రువృత్త

చువర్ణములందున్న ఉకారమునకును సంధి వైకల్పికము.

శత్రువు - అనగా వర్తమాన కాల అసమాపక క్రియ. ఉదా॥ వచ్చుచున్

చివర గల అసమాపక క్రియ

నన్నడిగె = నన్నున్ + అడిగె

వాకొఱకిచ్చె = నా కొఱకున్ + ఇచ్చె

నా కొరకు నిచ్చె = నా కొఱకున్ + ఇచ్చె

2. త్రికసంధి :

సూత్రములు :

1. ఆ, ఈ, ఏ అనునవి త్రికములు.
2. త్రికము మీది అసంయుక్త హల్లునకు ద్విత్వంబు బహుళంబుగానగును.
3. ద్విరుక్తంబగు హల్లు పరంబగునపుడు ఆచ్ఛికంబగు దీర్ఘంబునకు ప్రాస్వంబగు

ఉదా : ఆ + కన్య = అక్కన్య

ఆ + మానిని = అమ్మానిని

ఈ + విధము = ఇవిధము

ఏ + చోటు = ఏచోటు

3. ద్రుత ప్రకృతిక సంధి (సరళాదేశ సంధి)

1. ' న ' కారాన్ని ద్రుతం అంటారు. ' న్, ని, ను - లు ద్రుతాలు - ద్రుతమంటే 'కరిగిపోయేది' అని అర్థం. అవసరంలోని చోట లోపిస్తుందని అర్థం.

2. ద్రుతం చివరగల పదాలను ద్రుతప్రకృతికాలు అంటారు.

పరుషములు = క చ ట త ప

సరళములు = గ జ డ ద వ

సూత్రం : ద్రుత ప్రకృతికము మీది పరుషములకు సరళములగు.

పూచెన్ + కలువలు = పూచెన్ న్న లువలు (క - గ)

చేసెన్ + టక్కు = చేసెన్ డ క్కు (చ - జ)

చేసెన్ + తల్లి = చేసెన్ ద ల్లి (త - ద)

సూత్రం : ఆదేశ సరళానికి ముందున్న ద్రుతానికి బిందు సంక్షేపణ విభాషగా వస్తాయి.

సూచన : ఒక్కొక్కసారి బిందువు వస్తుంది. ఒక్కొక్కసారి సంక్షేప వస్తుంది.

పూచెన్ + గలువలు = పూచెను గలువలు (ద్రుతం మార్పులేదు)
 = పూచెం గలువలు (ద్రుత'సున్న' గా మారుట)
 = పూచెం గలువలు (ద్రుతము అరసున్న గా మారుట)
 = పూచెన్గలువలు (ద్రుతము సంక్షేపం)

4. సుగాగమ సంధి :

సూత్రం : ఉదంతమగు తద్దార్పక విశేషణమున కచ్చు పరమగునప్పుడు సుగాగమంబగు

ఉదా : చేయునతడు = చేయు అతడు = చేయు+ న్ + అతడు

పోవునట్లు = పోవు + అట్లు = పోవు+ న్ + అట్లు

కలుగునప్పుడు = కలుగు + అప్పుడు = కలుగు + న్ + అప్పుడు

సూత్రం : షష్ఠీ తత్పురుషాల్లో ఉకారానికి, ఋకారానికి అచ్చు పరమగునప్పుడు 'సుగాగమం' వస్తుంది.

ఉదా: రాజునాజ్ఞ = రాజు+ ఆజ్ఞ = రాజు + న్ + ఆజ్ఞ (రాజు ఉకారంతం)

విధాతృనానుతి= విధాతృ + ఆనతి = విధాతృ + న్ + ఆనతి

(విధాతృ ఋకారంతం)

5. ద్విరుక్తటకారాదేశ సంధి :

సూత్రం : కుఱు, చిఱు, కడు, నడు, నిడు శబ్దముల 'ఱ' 'డ' లకు అచ్చు పరమగునప్పుడు ద్విరుక్తటకారంబగు.

ఉదా : కుఱు + ఉసురు = కుట్టుసురు (ఱు + ఉ = ట్టు)

చిఱు + అడవి = చిట్టడవి (ఱు+ అ = ట్ట)

కడు + ఎదురు = కట్టెదురు (డు+ లు = ట్టె)

నిడు + ఊర్పు = నిట్టూర్పు (డు + ఊ = ట్టూ)

నడు + ఇల్లు = నట్టిల్లు (డు + ఇ = ట్టె)

సంస్కృతసంధులు :

6. యణాదేశ సంధి :

సూత్రం : ఇ, ఉ, ఋ వర్ణములకు అసవర్ణములు పరమైనచో వరుసగా య,వ,ర,లు అదేశంగా వస్తాయి. య, వ, ర లను "యణ్ణులు" అంటారు.

ఉదా : అతి + అంతము = అత్యంతము (ఇ+ అ = య)

గురు + ఆజ్ఞ = గుర్వాజ్ఞ (ఉ+ ఆ = వ)

పితృ + ఆజ్ఞ = పిత్రాజ్ఞ (ఋ+ ఆ = ర)

7. వృద్ధిసంధి :

ఐ, ఔ లను వృద్ధులంటారు.

ఇవి వచ్చు సంధి కావున వృద్ధి సంధి అంటారు.

సూత్రం : అకారమునకు ఏ, ఐ లు పరమైన ' ఐ కారము, ఓ, ఔ లు పరమైన 'ఔ కారము ఏకాదేశమగును.

ఉదా : వసుధ + ఏక	=	వసుధైక (అ+ ఏ =ఐ)
వన + ఓషధి	=	వనౌషధి (అ+ ఓ = ఔ)
రమా + ఐక్యము	=	రమైక్యము (అ+ ఐ= ఐ)
మహా + ఔషధము	=	మహౌషధము (అ+ ఔ+ = ఔ)

8. శ్చుత్వ సంధి

సూత్రం : ' స' కార ' త' వర్గలకు వరుసగా ' శ' కార 'చ' వర్గలు పరమైతే 'శ' కార 'చ' వర్గలే ఆదేశములుగా వచ్చును.

సూచన : 'స' కార 'త' వర్గలు - స మరియు త, ధ, ద, ధ, న

' శ' 'కార' 'చ' వర్గలు - శ మరియు చ, ఛ, జ, ఝ, ఞ

నిశ్చింత	=	నిస్ + చింత
మనశ్చలనము	=	మనస్ + చలనము
సజ్జనుడు	=	సత్ + జనుడు
జగజ్జనని	=	జగత్ + జనని
యావజ్జగము	=	యావత్ + జగము

9. జశ్చ సంధి :

సూత్రం : వర్గ ప్రథమాక్షరములకు అచ్చులుగాని, వర్గ తృతీయ, చతుర్థాక్షరములుగాని, 'హ, య, వ, ర 'లుగాని పరమగునపుడు క్రమముగా (అయా వర్గ తృతీయాక్షరములు) గ, జ, డ, ద, బ, లు ఆదేశమగును.

ఉదా : వాగ్వాదము	=	వాక్ + వాదము
దిగంతము	=	దిక్ + అంతము
అజంతము	=	అచ్ + అంతము
విరాడ్రూపము	=	విరాట్ + రూపము
సద్విషయం	=	సత్ + విషయం
సద్భావము	=	సత్ + భావము

శరద్రాత్రి	=	శరత్ + రాత్రి
జగద్విఖ్యాతి	=	జగత్ + విఖ్యాతి
మహద్వాచకము	=	మహత్ + వాచకము
వాగ్దేవి	=	వాక్ + దేవి

10. అనునాసిక సంధి

సూత్రము : క, చ, ట, త, ప లకు 'న, మ' లు పరమైన క్రమముగా వర్గాను నాసికాలు (జ, ఙ, ణ, న, మ) ఆదేశమగును.

ఉదా : వాఙ్మయము	=	వాక్ + మయము
రాణ్మహేంద్రవరము	=	రాట్ + మహేంద్ర వరము
జగన్నాథుడు	=	జగత్ + నాథుడు
జగన్మాత	=	జగత్ + మాత

6.2 సమాసములు

విద్యార్థులు నేర్చుకోవలసిన సమాసములు

1. అవ్యయీభావ	2. తత్పురుష	3. కర్మధారయ
4. ద్వంద్వం	5. ద్విగు	6. బహువ్రీహి

సమర్థంబులగు పఠంబులు ఏక పదంబగుట సమాసము.

1. అవ్యయీభావ :

సూత్రం : పూర్వ పదార్థ ప్రాధాన్య కలది అవ్యయీ భావ సమాసం

(లింగ, వచన, విభక్తి లేనివి అవ్యయాలుగా పిలవబడతాయి)

ఉదా : ఆబాలగోపాలం	=	బాలుడి నుంచి గోపాలుని వరకు (పిల్లల నుంచి పెద్దల దాకా అందరూ అని అర్థం)
అనుకూలం	=	కూలమును (ఓడ్డును) అనుసరించి
ప్రతిమాసం	=	మాసం మాసం
యథామూలం	=	మూలం ఎంతో అంత

తత్పురుష సమాసము

ద్వితీయాది విభక్తి ప్రత్యయాలను విగ్రహ వాక్యంలో ఉపయోగించే సమాసాలు తత్పురుష సమాసాలు

ఈ సమాసంలో రెండవ పదము యొక్క అర్థం ప్రధానంగా ఉంటుంది.

విభక్తులు :

1. నిన్, నున్, లన్, కూర్చి గురించి = ద్వితీయా
2. చేత(న్), చే(న్), తోడ (న్) తో(న్) = తృతీయా
3. కొఱకు(న్), కై = చతుర్థి
4. వలన (న్), కంటి (న్), పట్టి = పంచమీ
5. కి(న్) కు(న్) యొక్క లో (న్) = షష్ఠీ
6. అందు(న్), న(న్) = సప్తమీ విభక్తి

ద్వితీయ తత్పురుష :

- చక్రధరుడు = చక్రమును ధరించినవాడు
పుత్రార్థి = పుత్రుని అర్థించేవాడు
స్త్రీ రూప ధారిణి = స్త్రీ రూపమును ధరించునది

తృతీయ :

- ఇంద్ర సమానుడు = ఇంద్రునితో సమానుడు
వయో వృద్ధుడు = వయస్సు చేత వృద్ధుడు

చతుర్థి :

- హోమధేనువు = హోమము కొరకు ధేనువు
పని మనిషి = పని కొరకు మనిషి

పంచమీ :

- పాపభీతి = పాపము వలన భీతి
దొంగ భయము = దొంగ వలన భయము

షష్ఠీ తత్పురుష :

- రాముని బాణము = రాముని యొక్క బాణం
దేశ చరిత్రలు = దేశము యొక్క చరిత్రలు
పాండు కుమారులు = పాండు రాజు యొక్క కుమారులు

సప్తమీ తత్పురుష :

- వీరాగ్రగణ్యుడు = వీరుల యందు అగ్రగణ్యుడు
దేశభక్తి = దేశము నందు భక్తి

సజాత తత్పురుష :

అప్రియములు	=	ప్రియములు కానిది
అజ్ఞానము	=	జ్ఞానము కానిది
కర్మధారయము	=	విశేషణమునకు విశేష్యము తోడి సమాసము కర్మధారయము (సమానాధికరణము అని కూడా అంటారు)

విశేష్యము అంటే నామవాచకము.

1. విశేషణం పూర్వపరంగా (మొదటి పదంగా) ఉంటే అటువంటి సమాసాన్ని, విశేషణ పూర్వపద కర్మధారయ సమాసం అంటారు.

ఉదా : నల్ల కలువ = నల్లదైన కలువ

(ఇందు ' నల్ల' అనేది విశేషణం (పూర్వపదం) కలువ (రెండవ పదం - ఉత్తరపదం) విశేష్యం (నామవాచకం

తెల్ల గుఱ్ఱం = తెల్లదైన గుఱ్ఱం

పుణ్యభూమి = పుణ్యమైన భూమి

దివ్యాంబరములు = దివ్యమైన అంబరములు

2. విశేషణం ఉత్తరపదంగా (రెండవ పదం) ఉంటే విశేషణ ఉత్తర పద కర్మధారయ సమాసము అంటారు.

ఉదా : మామిడి గున్న = గున్నయైన మామిడి

(ఇందు 'గున్న' (రెండవ పదం - ఉత్తరపదం) విశేషణం. మామిడి నామవాచకం (విశేష్యము)

ఉదా : కార్మిక వృద్ధుడు = వృద్ధుడైన కార్మికుడు

పురుషోత్తముడు = ఉత్తముడైన పురుషుడు

కపోత వృద్ధము = వృద్ధమైన కపోతము

3. విశేషణోభయపద కర్మధారయము : అన్ని పదాలు విశేషణాలుగా ఉంటాయి.

విగ్రహవాక్యంలో చివరిపదం 'ఒనది' అని వస్తుంది.

- ఉదా: మృదుమధురము = మృదువైనది, మధురమైనది
 సరసగంభీరము = సరసమైనది, గంభీరమైనది
 శీతోష్ణము = శీతమును, ఉష్ణమును (అయిన కాలం)
 ధీరోదాత్తుడు = ధీరుడును, ఉదాత్తుడును (అయినవాడు)

4. ఉపమాన పూర్వపద కర్మధారయము : ఉపమానం పూర్వపదంగా ఉండునది.

- ఉదా: కలువ కన్నులు = కలువల వంటి కన్నులు
 తేనెమాట = తేనె వంటి మాట
 చిగురుకేలు = చిగురు వంటి కేలు
 పేకమేడలు = పేకల వంటి మేడలు

5. ఉపమానోత్తర పద కర్మధారయము : రెండవ పదము ఉపమానముగా ఉండునది.

- ఉదా : ముఖపద్మము = పద్మము వంటి ముఖము
 చరణ కమలములు = కమలములు వంటి చరణములు
 తనూలత = లత వంటి తనువు

6. రూపక సమాసం (అవధారణాపూర్వపద) ఉపమానం మొదటిపదంగా ఉపమేయం రెండవపదంగా ఉంటాయి.

- ఉపమాన ధర్మం ఉపమేయం మీద ఆరోపించబడుతుంది.
 విగ్రహవాక్యంలో మొదటి మాట అయిన ఉపమేయానికి 'అనేడి' చేరుతుంది.
 విద్యాధనం = విద్య అనేడి ధనం
 (' విద్య' ఉపమేయం, ' ధనం' ఉపమానం)

- ఉదా :హృదయ సాగరం = హృదయమనేడి సాగరం
 పుణ్యలక్ష్మి = పుణ్యమనేడి లక్ష్మి

7. సంభావనాపూర్వపద కర్మధారయము : మొదటి మాట సంజ్ఞానామవాచకంగా, రెండోమాట జాతి నామవాచకంగా ఉంటాయి. మొదటి మాట అయిన నామవాచకానికి 'అను పేరు గల ' అనునది అదనంగా చేరుతుంది.

ఉదా : గంగానది	=	గంగ అనే పేరు గల నది
మట్టి చెట్టు	=	మట్టి అనే పేరు గల చెట్టు
వింధ్య పర్వతం	=	వింధ్య అనే పేరు గల పర్వతం

8. ద్వంద్వ సమాసం

ఉభయ పదార్థ ప్రధానమైనది ద్వంద్వము.

సమాసము నందు రెండు పదములు యొక్క అర్థము ప్రధానముగా ఉండునదని అర్థం.

రెండుగాని అంతకంటే ఎక్కువుగా నామ వాచకములతో ఏర్పడే సమాసం.

పదములన్ని ప్రథమా విభక్తిలోనే ఉంటాయి.

చివర బహు వచన ప్రత్యయముంటుంది.

ఉదా : రామలక్ష్మణులు	=	రాముడు, లక్ష్మణుడు
తల్లిదండ్రులు	=	తల్లి, తండ్రి
సీతారాములు	=	సీతయును, రాముడును.
సూర్యచంద్రులు	=	సూర్యుడు, చంద్రుడు
వేషభాషలు	=	వేషము, భాష
లక్ష్మణ భరత శత్రుఘ్నులు	=	లక్ష్మణుడు, భరతుడు, శత్రుఘ్నుడు.

9. ద్విగు సమాసము : సంఖ్యా పూర్వక కర్మ ధారయమునే ద్విగు సమాసమంటారు.

ఇందు మొదటి పదము సంఖ్యా వాచకంగా ఉంటుంది.

ఉదా : ముల్లోకములు	=	మూడైన లోకములు
నాలుగడుగులు	=	నాలుగు సంఖ్య గల అడుగులు
పంచ భూతములు	=	పంచ సంఖ్య గల భూతములు
నవరసాలు	=	నవ (9) సంఖ్య గల రసాలు

10. బహువ్రీహి : అన్య పదార్థ ప్రధానమైనది బహువ్రీహి

విగ్రహ వాక్యము చివర కలది, కలవాడు అను పదములు వచ్చును.

ఉదా : లతాంగి	=	లత వంటి అంగములు కలది
ఏక వస్త్ర	=	ఒకే వస్త్రము కలది
ముక్కుంటి	=	మూడు కన్నులు గలవాడు (శివుడు)

చతుర్ముఖుడు	=	నాలుగు ముఖములు కలవాడు
చక్రపాణి	=	చక్రము పాణియందు (చేతిలో) కలవాడు విష్ణువు
నీలాంబరి	=	నల్లని అంబరము కలది
గరుడవాహనుడు	=	గరుత్మంతుడు వాహనంగా కలవాడు.

6.3 అలంకారములు

అలంకారము అనగా సౌందర్యం

విషయాన్ని అందంగా మలిచేవి

కావ్య సౌందర్యాన్ని ఇనుమడింపజేసేవి

ఇవి మూడు రకములు

శబ్దాలంకారములు : అర్థమును అపేక్షింపక, కేవలము శబ్దమును మాత్రమే ఆశ్రయించునవి.

అర్థాలంకారములు : శబ్దమును అపేక్షింపక, కేవలము అర్థమును మాత్రమే ఆశ్రయించునవి.

శబ్దమును, అర్థమును ఆశ్రయించునవి ఉభయములు.

విద్యార్థులు నేర్చుకోవలసిన అలంకారములు

అర్థాలంకారములు : ఉపమ, ఉత్పేక్ష, రూపక, స్వభావోక్తి అర్థాంతరన్యాస, అతిశయోక్తి.

శబ్దాలంకారములు : అనుప్రాస, (వృత్తానుప్రాస, ఛేకానుప్రాస, లాటానుప్రాస, అంత్యానుప్రాస)

(అ) అర్థాలంకారములు :

1. **ఉపమాలంకారము :** ఉపమాన ఉపమేయములకు చక్కని సాదృశ్యం చెప్పటం ఇందు నాలుగు అంశములుంటాయి.

ఉపమేయము (దేనిని పోలుస్తున్నామో అది) (వర్ణించే వస్తువు)- పోల్చబడే వస్తువు
ఉపమానము (దేనితో పోలుస్తున్నామో అది) (పోల్చే వస్తువు)- పోలికగా చెప్పే

వస్తువు

సమానధర్మం (ఉపమాన, ఉపమేయాలోని సమాన గుణం)

ఉపమావాచకం (ఉపమాన, ఉపమేయములను కలిపేది)

ఉదా: ఆమె ముఖము చంద్రబింబం వలె అందముగా ఉన్నది.

ఇందు ఆమె ముఖము =	ఉపమేయం
చంద్రబింబము =	ఉపమానం
అందము =	సమానధర్మం
వలె =	ఉపమావాచకం

ఉదా : సత్యభామ ముఖము పద్మము వలె మనోహరము.

2. ఉత్తేజ్జాలంకారం : ఉత్తేజ్జ అనగా ఊహ

ఉపమేయమును ఉపమానముగా ఊహించుట

ఉపమానము యొక్క గుణము, క్రియ వంటి వాటిని ఊహించుట

ఉదా : ప్రణయ కోపనయగు సత్యభామనేత్రములు, చెంగలువ దళములో యనునట్లున్నవి

సమన్వయం : సత్యభామ నేత్రములు అనే ఉపమేయము చెంగు కలువ దళములు అనే ఉపమానముగా ఊహించబడుతుంది.

3. రూపకాలంకారం :

రూపము యొక్క ఆరోపణయే రూపకము

ఉపమేయానికి, ఉపమానానికి అబేధం చెప్పుట

ఉపమేయమునందు ఉపమాన ధర్మాన్ని ఆరోపించుట

ఉదా : రుక్మిణి ముఖము పూర్ణ సుధాకర బింబము

ఇందు ఉపమానము : పూర్ణ సుధాకర బింబము

ఉపమేయము : రుక్మిణి ముఖము.

ఉదా : ఆయన మాట కఠినమైనా మనసు వెన్న

4. స్వభావోక్తి :

జాతి క్రియాదులు స్వభావములు సహృదయ హృదయంగముగా వర్ణించుట

వస్తువు స్వభావాన్ని ఉన్నది ఉన్నట్లు వర్ణించుట

ఉదా : జింకలు బిత్తర చూపులు చూస్తూ చెవులు నిగిడ్చి చెంగు చెంగున గెంతుతున్నాయి. పై వాక్యములో జింకలు స్వభావము రమ్యముగా వర్ణింపబడినది.

5. అర్థాంతరన్యాసము : విశేషాంశము చేత సామాన్యాంశము గాని, సామాన్యాంశము చేత విశేషాంశము గాని సమర్థించి చెబితే అది అర్థాంతరన్యాసము అవుతుంది.

విశేషముచే సామాన్యాంశమును సమర్థించుట

ఉదా: శివాజీ కళ్యాణ దుర్గాన్ని సాధించాడు. వీరులకు సాధ్యము కానిది లేదు.

శివాజీ కళ్యాణ దుర్గాన్ని సాధించడం విశేష విషయం. వీరులకు సాధ్యము కానిది లేదు సామాన్య విషయం

ఉదా: గొప్ప వారిలోనున్న సామాన్యులను గౌరవిస్తారు. పూలతో పాటు దారాన్ని కూడా సిగెక్కిస్తారు.

6. అతిశయోక్తి :

అతిశయించి పేర్కొనడం అతిశయోక్తి

ఉపమేయమును తక్కువ చేసి ఉపమానమును మాత్రమే చెప్పటం.

విషయాన్ని ఉన్న దాని కంటే ఎక్కువ చేసి చెప్పటం. గోరంతలు కొండంతలు చేసి చెప్పటం

ఉదా: ద్వారకా నగరము నందలి సౌధములు, గగన తలమును అంటుచున్నవి. ఇందు ఉపమేయమైన సౌధముల ఔన్నత్యానికి, ఉన్నతమైన గగనతలము (ఉపమానము) చేత న్యూనత్వము తోస్తుంది.

2. శబ్దాలంకారాలు

అను ప్రాస (ఇవి ఆరు విధములు)

1. వృత్తానుప్రాస : ఒకే వర్ణము అనేక పర్యాయములు ఆవృత్త అయినచో అది వృత్తానుప్రాస

ఉదా : చిలు కల కిల కి ల లు ల యాత్మకంగా ఉన్నాయి.

ఇందు 'ల' అనే వర్ణము అనేక పర్యాయములు వచ్చింది. కనుక ఇది వృత్తానుప్రాస.

ఉదా : కా కి కో కి ల కాదు కదా!

విష్ణు రోచిష్ణు సహిష్ణు కృష్ణు

2. ఛేదానుప్రాస : అవ్యవధానముగా హల్లుల సముదాయాన్ని అర్థభేదం ఉండేటట్లు ప్రయోగించడం

హల్లుల జంట వెంట వెంటనే అర్థ భేదంలో వచ్చట

ఉదా : సుందర దరహాస రుచులు

పై ఉదాహరణమున 'దర' అనే రెండు హల్లులు వెంట వెంటనే అర్థ భేదములో ఉపయోగించడం జరిగింది. సుందర' లో దర సుందరము, రెండవ 'దర' చిఱునవ్వు అనే అర్థమును సూచిస్తుంది.

ఉదా : నీకు వంద వందనాలు

3. లాటానుప్రాస : అర్థబేధం లేకుండా, తాత్పర్య బేధం ఉండేటట్లు శబ్దాలను అవ్యవధానంగా ప్రయోగిస్తే లాటాను ప్రాస అవుతుంది.

ఉదా : కమలాక్షు నర్పించు కరములు కరములు

ఇందు మొదటి కరములు ' చేతులు' అనే అర్థమున, రెండవ కరములు 'సార్థకమైన' అనే అర్థమున ఉపయోగించడం జరిగింది.

ఉదా : శ్రీనాథు వర్ణించు జిహ్వ జిహ్వ

4. అంత్యానుప్రాస : పదాలు, పాదాల, వాక్యాల, చరణాల చివరిలో ఒకే హల్లుగాని, అక్షర సముదాయంకాని పునరుక్తం కావటం

ఉదా : ' భాగవతమున భక్తి

భారతములో యుక్తి

రామకథయే రక్తి

ఓ కూనలమ్మ!

పై ఉదాహరణమున ప్రతి వాక్యం చివర ' క్తి ' అనే అక్షరం ఉంది.

ఉదా : లోకాలు

భవభూతి శ్లోకాలు

పరమేష్ఠి జుకాలు

నామహోద్రేకాలు

6.4 ఛందస్సు

పద్యములు 3 రకములు

1. వృత్తములు, 2. జాతులు, 3. ఉపజాతులు

వృత్తాలు : ఉత్పలమాల, చంపకమాల, శార్దూలము, మత్తేభము

1. ఉత్పలమాల :

ఈ పద్యంలో నాలుగు పాదాలుంటాయి.

ప్రతిపాదంలోనూ భ, ర, న , భ, భ, ర, వ అనే గణాలు వరుసగా ఉంటాయి.

ప్రతిపాదంలోనూ 1-10 అక్షరం 'యతి' మైత్రి పాటించాలి

యతి మైత్రి అనగా పద్యపాదము యొక్క మొదటి అక్షరంతో ఆ పద్యములో నిర్ణయించబడిన స్థానమందలి అక్షరము మైత్రి కలిగి ఉండడాన్ని యతి మైత్రి అంటారు. హల్లుతోనూ, అచ్చుతోనూ మైత్రి ఉండాలి.

నాలుగు పాదాల్లో ప్రాసనియమం ఉండాలి.

పద్యము పాదములోని రెండవ అక్షరాన్ని 'ప్రాస' అంటారు

యతి 10 వ అక్షరం

మొత్తం అక్షరాలు - 20

U I I U I U I I I U I U U I I U I U I U

ఉదా : సారపు ధర్మమున్ విమల సత్యము పాపము చేతబొం కుచే
భ ర న భ భ ర వ

2. చంపకమాల :

ఈ పద్యంలో నాలుగు పాదాలుంటాయి.

ప్రతిపాదంలోనూ న, జ, భ, జ, జ, జ, ర అనే గణాలు వరుసగా ఉంటాయి.

ప్రతిపాదంలోనూ 1-11 అక్షరం 'యతి' మైత్రి పాటించాలి

ప్రాస నియమం ఉంది. మొత్తం అక్షరాలు 21 ఉంటాయి.

I I I I U I U I I I U I I U I U I U I U

అమిత ప రా క్ర మంబును రయంబు నులావు ను గల్గు ఖేచ రో
న జ భ జ జ జ జ ర

3. శార్దూలము :

నాలుగు పాదాలుంటాయి.

ప్రతిపాదంలోనూ మ, స, జ, స, త, త, గ అనే గణాలు వరుసగా ఉంటాయి.

ప్రతిపాదంలోనూ 1-13 అక్షరం 'యతి'

మొత్తం అక్షరాలు 19 ఉంటాయి.

U U U I I U U I U I I U U U I U U I U

ఆదుర్యో ధనుడం తమాత్ర మునుజే యంజాల దోకాని పెం
మ స జ స త త గ

4. మత్తేభం :

నాలుగు పాదాలుంటాయి.

ప్రతిపాదంలోనూ స, భ, ర, న, మ, య, వ అనే గణాలు వరుసగా ఉంటాయి.

ప్రతిపాదంలోనూ 1-14 అక్షరం మధ్య యతి

ప్రాస నియమం ఉంది. మొత్తం అక్షరాలు 20 ఉంటాయి.

I I U U I I U I U I I U U U I U U I U

ప్రవిపు ష్పంబగు నగ్నిమం చగుగు కూపారం బుభూమీ స్థలం
స, భ, ర, న, మ, య, వ

జాతులు

ఈ విభాగంలో ద్విపద, మంజరీ ద్విపద ప్రాసనియమం లేనిది కందము అనునవి ఉంటాయి.

1. ద్వీపద : లక్షణం.

ప్రతీ పద్యంలో రెండు పాదాలుంటాయి

ప్రాసనియమం ఉంటుంది.

UU I I I U I I I I U U I

ఉదా: గ ర్విం చి ద ను ది వ్య గ డ గి యే తె చు

2. కందం :

1, 3 పాదాలలో మూడేసి గణాలు, 2,4 పాదాలలో ఐదేసి గణాలు ఉండాలి.

ప్రతీ రెండు నాలుగు పదాలలో మొదటి అక్షరంలో యతి నియము పాటించాలి.

అనగా

4 వ గణం మొదటి అక్షరానికి

7 వ గణం మొదటి అక్షరానికి యతి చెల్లుతుంది.

ప్రాస నియమము పాటించాలి. భేసి సంఖ్యాగణాల్లో జగణము వాడకూడదు.

రెండు, నాలుగు పాదాలలో చివరి అక్షరం గురవయి ఉండాలి.

U I I I I I U U I I

ఉదా : కందము త్రిశరగణంబులు

భ నల భ

U II U II I I I U I I I U U U

నందము గాభజ సనలము లటవడి మాటన్

భ భ నల నల గగ

3. ఉపజాతులు : ఆటవెలది, తేటగీతి, సీసం, ముత్యాల సరాలు,

తేటగీతి :

నాలుగు పాదాలుంటాయి

ప్రతీ పాదంలోనూ వరుసగా ఒక సూర్యగణం 2 ఇంద్ర గణాలు, మరియు 2 సూర్య గణాలు ఉంటాయి.

ప్రతీ పాదంలోనూ మొదటి గణం తొలి అక్షరానికి, నాల్గవ గణం మొదటి అక్షరానికి యతిమైత్రి ఉంటుంది.

ప్రాస యతి పాటించవచ్చు.

ప్రాస నియమం లేదు.

I I I I I I I U U I

ఉదా : తి వి రి యిసుమున దైలంబు తీయ వచ్చు
న నల త హ హ

ఆటవెలది :

నాలుగు పాదాలుంటాయి.

ఒకటి, మూడు పాదాలలో వరుసగా మూడు సూర్యగణాలు, రెండు ఇంద్ర గణాలుండాలి.

రెండు, నాల్గవ పాదాల్లో 5 సూర్యగణాలు ఉండాలి.

మొదటి గణం తొలి అక్షరానికి, 4 వ గణం మొదటి అక్షరానికి యతి మైత్రి ఉంటుంది.

ప్రాసయతి చెల్లుతుంది.

ప్రాస నియమం ఉండదు.

I I I I I I I I I U I I U I

ఉదా : తిలక మిడదు నుదుట తిలకినీ తిలకంబు
న న న నగ సల

I I I I I I I I I U I

కమల గృహము జొరదు కమల హస్త
న న న న గల

సీసం :

ఇందు నాలుగు పాదములు ఉంటాయి.

ప్రతీ పాదము లోను 6 ఇంద్ర గణములు, 2 సూర్యగణములు ఉంటాయి.

(1- వ భాగములో 4 ఇంద్రగణాలు, 2 వ భాగంలో 2 ఇంద్ర గణాలు + 2 సూర్య గణాలు మొత్తం 8 గణాలు ఉంటాయి)

4 పాదాలు తరువాత ఆటవెలది లేదా తేటగీతి గాని ఉంటుంది. దీనిని ' ఎత్తుగీతి' అని కూడా అంటారు.

1-3 గణాలు మొదటి అక్షరం, 5-7 గణాల మొదటి అక్షరాలకు యతి వేయబడుతుంది.

I I I U I I I I I U I U I I

ఉదా : మృగనాభి యలమదు మృగరాజు మధ్యమ

సల సల సల భ

II III U II I III U I

జలముల నాడదు జలజ గంధి

సల (ఇ) భా (ఇ) స (సూ) గల(ఇ)

ముత్యాలసరాలు

గురజాడవారు చేసిన సాహసోపేతమైన ప్రయోగాలలో ముత్యాలసరము ఒకటి ముత్యముల తెలుగు పలుకులకు ముచ్చటైన రూపమిచ్చిన వారు గురజాడ దేశచ్ఛందస్సులో కవిత్వము వ్రాసినందున మిశ్రగతిలో నడుచు ఛందస్సుకు తన అభిరుచికి అనుగుణంగా “ ముత్యాల సరాలు అని పేరు పెట్టుకున్నారు గురజాడ. ఒకజాతి పార్సీ గజల్ యొక్క నడక ముత్యాల సరములో తీసుకు వచ్చే ప్రయత్నం చేశానని గురజాడ వారు చెప్పుకున్నారు.

లక్షణాలు :

నాలుగు పాదాలుంటాయి.

మొదటి పాదములలో $3+4+3+4 = 14$ మాత్రలుండును.

నాలుగవ పాదములో 7 మాత్రల నుంచి 14 వరకు ఉండును.

ఉదా : వెలుగు నీటను గ్రుంకె చుక్కలు

బాదల చీకటి కాదల బారెను

యెక్కడనో వొక చెట్టు మాటు

నొక్క కోకిల పలుకసాగెను

విద్యార్థులకు అభ్యాసం : సంధులు

ఏకైక	అమరావగౌఘము	దివ్యౌషధము
తన్వంగి	అత్యంతము	మాత్రంశ
భావమేలు	మనసైన	మధువాలికె
ఇవ్వధము	ఎచ్చోట	అక్కోమలి
పూచెన్గలువలు	వడిన్బట్టి	దెసన్జూచి
పోవునట్లు	తెల్లనదము	చేయునతడు
కట్టెదురు	నట్టిల్లు	నట్టేట
వాగ్వాదము	శరద్రాతి	తద్విదము

సమాసములు ఈ క్రింది పదములకు సమాస నామము, విగ్రహ వాక్యం వ్రాయుము.

ప్రతి దినము	అనుక్షణం	యధేచ్ఛ
స్త్రీ రూపధారిణి	పుత్రార్థి	జనవంద్యులు
భూతబలి	పాపభీతి	అమలోద్భవుడు
దేశచరిత్రలు	దేశభక్తి	అక్షయము
శాంతి వచనములు	తమ్ముకుఱులు	ధీరోదాత్తుడు
పేకమేడలు	చిగురుకేలు	ముఖపద్యము
నైలునది	విద్యాదానము	అమరావతీపట్టణము
కోటపేటలు	జారచోరులు	ఆలుబిడ్డలు
సీతారామలక్ష్మణుడు	పంచభూతములు	భీమార్జునులు
వారిజనేత్ర	ముక్కుంటి	చతుర్ముఖుడు
మల్లొకములు		

అలంకారములు : క్రింది వాక్యములో అలంకారమును గుర్తించుము

1. వేదశాఖల వెలిసెనిచ్చట
2. ఆది కావ్యంబలరె నిచ్చట
3. నాయనా! నేను నిన్నేమన్నా అన్నానా? నీవు నన్నెమన్నా అన్నావా?
4. నీకు వంద వందనాలు
5. హరిభజయించు హస్తములు హస్తములు
6. ఆమె ముఖం చంద్రబింబము వలె ఉన్నది
7. అతని ఇంటిముందున్న పెద్దకుక్కను చూసి సింహమనుకొని భయపడ్డాను.
8. ఆ పట్టణంలో భవనాలు ఆకాశాన్ని తాకుతున్నాయి.
9. ఆయన మాట కఠినమైనా మనసు వెన్న
10. ఓ రాజా నీవే కీర్తి మంతుఁవు - చంద్రుడే కాంతిమంతుడు.
11. రాజు కువలయానందకరుడు
12. గొప్పవారితో ఉన్న సామాన్యులను గౌరవిస్తారు. పూవులతో పాటు దారాన్ని సిగకెక్కిస్తాడు.

ఈ క్రింది వానికి గణ విభజన చేసి ఏ పద్యపాదమో కనుగొనుము.

1. సారపు ధర్మమున్ విమల సత్యము బాపము చేతబొంకుబేం
2. అయుత పరాక్రమంబును రయంబు నులావును గల్లు భేచరో

3. ఆదుర్యో ధనుడంత మాత్రమును జేయంజాల డోకాని పెం
4. వచ్చెద విదర్భ భూమికి
5. చొచ్చెద భీష్మకు పురంబు సురుచిర లీలన్
6. వండనలయదు వేపురు వచ్చిరేని
7. తిలక మిడదు నుదుట తిలకినీ తిలకంబు

అదనపు సమాచారం :

వివరణ : ఇంద్ర గణములు = (ఆరు) నల, నగ, సల, భ, ర, త

నలము	=	I I I I	ఉదా : అసురులు
నగము	=	I I I U	ఉదా : సరసిజం
సలము	=	I I U I	ఉదా : వనజాక్షి
భగము	=	U I I	ఉదా : రాముడు
రగణము	=	U I U	ఉదా : ఆముదం
తగణము	=	U U I	ఉదా : శ్రీరామ

సూర్య గణములు రెండు గల, న, గణములు

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	=	ఉదా : రామ
నలము	=	I I I
	=	ఉదా : వనిత

A Course in Communication and Soft Skills

***As per Choice Based Credit System (CBCS)
For Degree I-Year/I-sem
Common to all Branches***



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A Course in Communication and Soft Skills

Learning Outcomes

By the end of the course the learner will be able to:

- Use grammar effectively in writing and speaking.
- Demonstrate the use of good vocabulary
- Demonstrate an understating of writing skills
- Acquire ability to use Soft Skills in professional and daily life.
- Confidently use the tools of communication skills

Unit-1: Listening Skills

- i. Importance of Listening
- ii. Types of Listening
- iii. Barriers to Listening
- iv. Effective Listening

Unit-2: Speaking Skills

- a. Sounds of English: Vowels and Consonants
- b. Word Accent
- c. Intonation

Unit-3: Grammar

- a. Concord
- b. Modals
- c. Tenses (Present/Past/Future)
- d. Articles
- e. Prepositions
- f. Question Tags
- g. Sentence Transformation (Voice, Reported Speech & Degrees of Comparison)
- h. Error Correction

Unit-4: Writing

- i. Punctuation
- ii. Spelling
- iii. Paragraph Writing

Unit-5: Soft Skills

- a. SWOC
- b. Attitude
- c. Emotional Intelligence
- d. Telephone Etiquette
- e. Interpersonal Skills

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Unit-1

LISTENING SKILLS

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1.0 OBJECTIVES

After completion of this unit we should be able to understand:

- Importance of Listening
- Various types of Listening
- Different Strategies for Effective Listening and
- Overview of Barriers/ Obstacles to Effective Listening.

1.1 LISTENING SKILLS

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Listening Skill is a prerequisite skill to enhance communication. The power to listen is a remarkably sensitive skill, perhaps the greatest talent of human race. It is certainly the skill that makes interpersonal communication truly effective rewarding for all concerned. An efficient listening helps one to get along with others and learn. The listening is a key to all effective communication. Without an ability to listen effectively, messages are easily misunderstood. Listening is actually the interpretation of the sounds that can be heard. Listening is an active process of selecting and interpreting information from whatever we see and hear.

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Basically most of the languages on earth can be associated with four basic skills. These are generally referred to as LSRW (Listening, Speaking, Reading and Writing). These skills are like tools. Of all the skills, Listening is the one which made interpersonal communication truly effective and the rewarding. It involves a receiving, interpreting and responding to the message sent by the communicator. If the listening can be seen as fundamental to all communication, poor listening is the major barrier to communication.

“The World is giving you answers each day. Learn to LISTEN.”

2 **Definition:** Listening is the ability to accurately receive and interpret messages in the communication process. Listening is a skill of critical significance in all aspects of our lives from maintaining our personal relationships, to getting our jobs done, to taking notes in class, to figuring out which bus to take to the airport.

3 *Listening is difficult, as human mind tends to distract easily. A person who controls his mind and listens attentively acquires various other skills and is benefited.*

3 *“Listening is the act of hearing attentively”. It is also a process similar to reading which should possess knowledge of phonology, syntax, semantics and text understanding.*

“Active listening, which is very important for effective communication” - Thomlison

2 Regardless of how we are engaged with listening, it is important to understand that listening involves more than just hearing the words that are directed at us.

2 **Listening Vs Hearing or Listening is not the same as ‘Hearing’**

Hearing refers to the sounds that you hear, whereas listening requires more than that: it requires focus. Listening means paying attention not only to the story, but how it is told, the use of language and voice, and how the other person uses his or her body.

In other words, it means being aware of both verbal and non-verbal messages. Your ability to listen effectively depends on the degree to which you perceive and understand these messages.

1.2 IMPORTANCE

Listening is an active process by which we make sense of assess and respond to what we hear.

2 Listening skills are an important part of effective communication. Hearing is the physical ability, while listening is a skill. Listening skills allow one to make sense of and understand what another person is saying.

“Are you listening to me?” This question is often asked because the speaker thinks the listener is nodding off or day dreaming. You may have heard the adage, “We have two ears but only one mouth”. An easy way to remember that listening can be twice as important as talking.

The ability to actively listen demonstrates sincerity, and that nothing is being assumed or taken for granted. Active listening is most often used to improve personal relationships, reduce misunderstanding and conflicts, strengthen cooperation, and foster understanding.

2 If you listen effectively, you’re able to show your co-workers that you’re interested in and have respect for what they have to say. You encourage them to do the same and so develop mutual respect, which fosters strong and smooth work relationships.

27 1.2.1 Importance of Listening Skills

Good listening skills make workers more productive. The ability to listen carefully will be allowing a person to

- Understand assignments in better way and find and what is expected from him.
- Build rapport with co-workers, bosses and clients.
- Show support.
- Work better in a team-based environment.
- Resolve problems with customers, co-workers and bosses.
- Answer questions.
- Find underlying meanings in what others say.

1.2.2 Ways to Improve Listening Skill

Hearing and Listening are two different activities. Hearing is passive whereas Listening is active. Listening is the psychological process. It can be improved by regular practice. Listening is a very helpful skill. Here are some of the tips which can help the person to improve his Listening skill:

1. **Face the Speaker:** Sit up straight or lean forward slightly to show on your attentiveness through body language.
2. **Maintain Eye Contact.**
3. **Minimize External Distractions.**
- 3 4. An appropriate response to show that you understand. Murmur (“uh-huh” and “um-hmm”) and nod. Raise your eyebrows. Say words like “Really,” “Interesting,” as well as more direct prompts: “What did you do then?” and “What did she say?”
5. **Focus solely on what the speaker is saying.**
6. **Minimize Internal Distractions.**
7. **Keep an Open Mind.**
- 3 8. **Avoid letting the speaker know how you handled a similar situation.**
- 3 9. **Even if the speaker is launching a complaint against you, wait until they finish defending yourself.**
- 3 10. **Engage Yourself:** Ask questions for clarification, but, once again, wait until the speaker has finished.

1.3 TECHNIQUES TO IMPROVE LISTENING

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In order to consider how to improve listening skills, it can be useful to reflect on the aspects of listening. There are four main aspects which need to be considered in relation to the process of listening.

These are characteristics can be associated with a listener, the speaker, the message and the environment. The communication moves in a circular manner, alternating between a speaker and listener over the course of an interaction.

1.3.1 Characteristics associated with the Speaker and Listener

Characteristics of Listening

L = Look interested
I = Involve yourself by responding
S = Stay on target
T = Test your understanding
E = Evaluate the message
N = Neutralize your feelings



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The non-verbal aspects already discussed all impinge on the listening process. Number of positive correlations has been found between the characteristics of a listener and the ability to listen effectively. These include

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- **Linguistic Aptitude:** Those with a wider vocabulary are better listeners.
- **Motivation:** When the listener is highly motivated, he or she will remember more of the information.
- **Organizational Ability:** An ability to organize incoming information into appropriate categories facilitates listening. Good listeners can identify the key elements of a messages received.
- **Physical Condition:** The listening ability deteriorates as fatigue increases, an important consideration for busy professionals and clients.
- **Disposition:** Usually, introverts are better listeners than extroverts; usually they sit back and let the other person as the centre of attention.
- **Anxiety:** It reduces an ability to listen. When worried about self, animal or others, we do not listen carefully.
- **Feedback:** When given appropriately, it assists with the art of listening.

2

1.4 PROCESS OR STAGES OF LISTENING

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The listening process involves five stages: *receiving, understanding, remembering, evaluating, and responding*. Basically, an effective listener must hear and identify the speech sounds directed toward them, understand the message of those sounds, critically evaluate or assess that message, remember what has been said, and respond (either verbally or nonverbally) to information they have received.

1. **Receiving:** This is the first and most basic stage of the listening process: the act of actually absorbing the information being expressed to you, whether verbally or nonverbally. Not all communication is done through speech, and not all listening is done with ears.

Focus all of your energy on them, by following these three simple tips:

- i. **Avoid Distractions:** This is obvious. Don't have your cell phone out, or your iPod in, or the television on. Don't try to divide your attention between the speaker and something else.
 - ii. **Don't Interrupt the Speaker:** You might want to make an assumption about what the speaker is saying, or what they're about to say don't. It's rude, and you may find your assumption was wrong, which is beneficial to no one.
 - iii. **Don't Rehearse your Response:** Not yet. At this stage, your job is only to listen. If you start to plan a speech while the other person is speaking, you're going to miss certain points and not be able to respond to their larger message when it's your turn to talk.
2. **Understanding:** This is the point in the listening process where you're able to plan your response. Understanding takes place after you've received the information from the speaker, and begin to process its meaning.

You can do this by asking questions, or rephrasing parts of the speaker's message. This allows you to demonstrate your active engagement with their words, *and* help you better understand their key points.

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3. **Remembering:** Listening serves a greater purpose when the message is recorded for its useful life. To aid one's memory, one may take notes or create mental pictures.

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Make the Message Familiar: If the speaker touches some old memories and past experiences, it becomes easy to retain the attention of the listener. Use those to help you retain incoming information as a listener.

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Example: When an address is being explained. But written notes may sometimes put the speaker on high alert and halt his communication.

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4. **Evaluating:** It's at this stage where you can begin to prepare for your response, but remember: you're still a listener, not a speaker. After the message has been absorbed, processed, and remembered, you can begin to sort the information into pieces.

What is fact, and what is opinion?

What parts of their message were interpreted, and which parts were unbiased?

What was the speaker's intent with their message?

After interpreting the speaker's message, through a combination of understanding, retention, and evaluation, you're ready to form a response.

5. **Responding:** If you've completed the receiving, understanding, remembering, and evaluating portions of the listening process, responding should be easier than ever. It's important to understand the transition between listening and speaking though, and be aware of the ways responding is still a part of the active listening process.
- i. **Don't Complete the Speaker's Sentences:** This is a presumptuous and rude way to segue into your own response. It impedes on the receiving process, and will make the original speaker want to listen to you less.
- ii. **Address the Speaker's Points:** It will make it easier for the speaker to transition into a listener when they know exactly what part of their message you're addressing.

1.5 LISTENING MODES

Basic Listening Modes

Following are three types of basic listening modes,

a. **Competitive (or) Combative Listening**

It happens when we are more interested in promoting our own point of view than in understanding or exploring someone else's view. We either listen for openings to take the floor, or for flaws or weak points we can attack. When we pretend to pay attention we are impatiently waiting for an opening, or internally formulating our rebuttal and planning our devastating comeback that will destroy their argument.

b. **In Passive or Attentive Listening**

If we are genuinely interested in hearing and understanding the other person's point of view. We are attentive and passively listen. If we assume that we heard and understand correctly. But stay passive and do not verify it.

c. **Active or Reflective Listening**

It is the single most useful and important listening skill. In active listening we are also genuinely interested in understanding what the other person is thinking, feeling, or what the message means and we are active in checking out our understanding before we responds with our own new message. When we restate or paraphrase our understanding of their message and

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reflect it back to the sender for verification. This verification or feedback process is what distinguishes active listening and makes it can be effective.

1.5.1 Advantages of Listening

- 3 a. **Listening Helps to know the Organization:** Listening, especially careful listening to the grapevine will be enabling you to know what the members of the staff think of the company's policies and activities. Thus, it will help you understand your organization better.
- b. **Listening Helps to make Better Policies:** If we listen to your subordinates carefully, you will know which policies are suitable for your organization. You will not keep stumbling from one top-heavy policy to another. You will chalk out the policies which are acceptable to another members.
- 9 c. **Listening Modifies the Complaining Employee:** Very often employees have certain grievances which exist more in their mind than in reality, i.e., which are primarily psychological. If we listen to them patiently and sympathetically, their anger will subside and their attitude will be modified.
- 9 d. **Listening is Important for the Success of Open-door Policy:** Many managers takes pride in the fact that they believe in open-door policy, i.e., they always keep their door open for the employees to walk into their room and talk to them. No doubt, their door is always open, but they are themselves bad listeners. So their employees are inhibited to talk freely. The result is a total failure of upward communication. If the manager, listen sympathetically, your employees will be encouraged to talk and there will be free upward communication.
- 9 e. **Listening Helps to Spot Sensitive:** In an engineering firm, for instance, the management decided to meet the worker's union regularly whether there were any problems not to sort out. By this they began to listen to each other well for a first time. These were able to spot sensitive areas and find out solutions before they became explosive and many other problems which could have led to serious disputes just did not arise.
- 9 f. The Following are some more advantages of listening:
 - To obtain information
 - To solve problems
 - To share experiences
 - To persuade or dissuade
 - It is easy to imagine that if people were bad listeners,
 - Only inaccurate and incomplete information would be exchanged.

- The problems would not be clearly understood and would remain unsolved.
- They would not be able to share one another's experience.
- On account of being unable to understand each other through their own or others' inattentiveness, they would not be able to persuade or dissuade others.

1.5.2 Poor Listening Habits

Some people spend more time on listening than they spend on any other communication activities. Some people never learn to listen well; main reason is developing poor listening habits and continues it throughout their life. Some of the poor listening habits are,

- Not Paying Attention:** Listeners allow themselves to think of something else or to be absent minded and also not wanting to listen frequently gives to lack of attention.
- Not Hearing:** Some people listen only points or to the way they were presented and miss the real meaning.
- Pseudo Listening:** Some people who are thinking something else disparately try to look as though they were listening. Such acting leaves the speaker with an impression that the listener has heard some important information by speaker.
- Rehearsing:** Some people listen until they want to say something then they quit listening, start rehearsing what they will say and wait for an opportunity to respond.
- Interrupting:** Listener does not wait until the complete meaning can be determined, but interrupts so forcefully that the speaker stops in the middle of a sentence.
- Hearing What is Expected:** People frequently think they heard speakers say what they expected them to say. Instead they refuse to hear that they do not want to hear.
- Feeling Defensive:** The listener can be assume that they know the speaker's intention, or why something was said or for why reasons, they expect to be attacked.
- Listening for a Point of Disagreement:** Some listeners seem to wait for the chance to attack someone. These people listen intently for points on which they can disagree.

1.5.3 Good Listening Habits

- Concentrate on what a person is saying rather than on how he looks. Don't be distracted by his physical appearance or his mannerism.
- Repeat the key ideas to yourself. Particularly, while listening to a long lecture see when we can repeat to yourself all the important ideas the speaker has put before you. This will also help you to understand the lecture better.

Good Listening Skills!

-  Look at the speaker
-  Have a nice quiet mouth
-  Listen to what he or she is saying
-  Repeat it back
-  Check to make sure the message is correct

- iii. Try to relate the speaker's remarks to your personal background and the experience. It will be enables you to retain those remarks in your memory longer.
- iv. Do not let your mind wander away from what the speaker is saying. Do not think of pleasant or unpleasant experiences of your own. Be determined that you are going to shut everything out of your mind except the speaker's words. It is also advisable to keep your eyes fixed on a speaker. When we start looking out of the window around the room, your mind will go on unnecessary excursions.
- v. Listen with a positive attitude. Many listeners fail to listen because these are mentally unprepared to listen. Don't let your prejudices close your mind to what the other person has to say.
- vi. Try to grasp 'between-the-lines' messages. Listen to what you can't hear. Watch for body language, for changes in expression, for voice intonations, which might be very significant indicators of the real message.
- vii. Take notes if you feel desirable. But this might distract you from listening. So keep the notes to the minimum. Let them be aids to memory rather than detailed notes.
- viii. Don't be afraid to ask questions or seek clarification wherever you are in doubt. Interrupting is discourteous, not asking questions, for asking question is an evidence of your being interested.

1.6 TYPES OF LISTENING

Depending upon the quality of a listening, it can be divided into various types. The following are the various kinds of listening:

- i. **Discriminative Listening/ Ignoring:** Discriminative listening is the most basic type of listening; it is the lowest level of listening – not listening at all. When we are distracted by anything while talking to a user, they can get an impression that you are ignoring them. For example: while a user is speaking, you start a conversation or interject a comment with another IT technical support i.e., you are ignoring your user. Speaker might feel snubbed and

hurt which might further lead to a total break-down of a communication. Same preoccupation might also result in a listener not taking note of the speaker's reaction.

- ii. **Casual Listening:** Casual listening is hearing and understanding a message but not trying to remember the message in a long term. It is also called as passive listening. Casual listeners expend little effort or energy. Even though the listener may understand the message, remembering it for long time is not important. Casual thinking is relaxed, if we are talking with others you must be careful not to listen so casually that others think that you are not paying attention.
- iii. **Active Listening:** Active listening is hearing and trying to understand and remember a message. The active listening may be informative, evaluative, emphatic or reflective.
- iv. **Informative Listening:** Informative listening can be used to understand a message or to obtain specific information. Best example is doctors use informative listening when talking with their patients. Recall a time when you listened very intently because you had something to gain from what you said. You listened actively because you were motivated by your interests.
- 24 v. **Evaluative Listening:** In an evaluative listening, or critical listening, we make judgments about what the other person is saying. We seek to assess the truth of what is being said. We also judge what they say against our values, assessing them as good or bad, worthy or unworthy. It is particularly pertinent when the other person is trying to persuade us, perhaps to change our behavior. With this, we also discriminate between subtleties of language and comprehend the inner meaning of what is said. Typically also we weigh up the pros and cons of an argument, determining whether it makes sense logically as well as whether it is helpful to us. An evaluative listening is also called as critical, judgmental or interpretive listening.
- 24 vi. **Empathetic Listening:** When we listen empathetically, we go beyond sympathy to seek a truer understanding how others are feeling. It can be requires excellent discrimination and close attention to the nuances of emotional signals. If we are being truly empathetic, we actually feel what they are feeling. In order to get others to expose these deep parts of them to us, we also need to demonstrate our empathy in our demeanour towards them, asking sensitively and in a way that encourages self disclosure.
- 28 vii. **Reflective Listening:** It is the single most useful and important listening skill. In active listening we are also genuinely interested in understanding what the other person is thinking, feeling, wanting or what the message means, and we are active in checking out our understanding before we respond with our own new message. We restate or paraphrase our understanding of their message and reflect it back to the sender for verification. This verification or feedback process distinguishes active listening and makes it effective.

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viii. **Comprehension Listening:** Next step beyond discriminating between different sound and sights is to make sense of them. To comprehend the meaning requires a lexicon of words at our fingertips and also all rules of grammar and syntax by which we can understand what others are saying. Same is true, of course, for visual components of communication, and an understanding of body language helps us understand what the other person is really meaning. Comprehension listening is also known as content listening, informative listening and full listening.:

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ix. **Critical Listening:** Critical listening is a listening in order to evaluate and judge, forming opinion about what is being said. Judgment includes assessing strengths and weaknesses, agreement and approval. This form of listening requires a significant real time cognitive effort as listener analyzes what is being said, relating it to existing knowledge and rules.

3

x. **Biased Listening:** Biased listening happens when a person hears only what they want to hear, typically misinterpreting what the other person says based on stereotypes and other biases that they have. Such biased listening can be often very evaluative in nature.

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xi. **Appreciative Listening:** In appreciative listening, we seek certain information which will appreciate, for example that which helps meet our needs and goals. We use appreciative listening when we are listening to good music, poetry or maybe even the stirring words of a great leader.

xii. **Sympathetic Listening:** In sympathetic listening we care about other person and show concern in the way we pay close attention and express our sorrow for their ills and happiness at their joys.

xii. **Empathetic Listening:** When we listen empathetically, we go beyond sympathy to seek a truer understand how others are feeling. It requires excellent discrimination and close attention to the nuances of emotional signals. When we are being truly empathetic, we actually feel what they are feeling. To get others to expose these deep parts of them to us, we also need to demonstrate our empathy in our demeanour towards them, asking sensitively and in a way that encourages the self disclosure.

xiii. **Therapeutic Listening:** The listener has a purpose of not only emphasizing with the speaker but also to use this deep connection in order to help the speakers understand, change or develop in some way. This not only happens when you go to see a therapist but also in many social situations, where friends and family seek to diagnose problems from listening and also helps a speaker cure themselves, perhaps by some cathartic process.

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xiv. **Dialogic Listening:** A word 'dialogue' stems from Greek words 'dia', meaning 'through' and 'logos' meaning 'words'. Dialogic listening means learning through a conversation and

an engaged interchange of ideas and information in which we actively seek to learn more about the person and how they think. The dialogic listening is sometimes known as 'relational listening'.

- xv. **Relationship Listening:** Most important factor in listening is in order to develop or sustain a relationship. This is why lovers talk for hours and listen closely to what each other has to say but the same words from someone else would seem to be rather boring. Relationship listening is also important in areas like negotiation and sales, if the other person likes you and trusts you.

1.7 BARRIERS TO LISTENING

Listening can be often requires little physical input, laziness and failure to pay attention can create bad listening habits and resulting in a poor listening. There are different types of barriers that create poor listening habits. As pointed out earlier, listening is not easy and there are a number of obstacles that stand in the way of effective listening, both within and outside the workplace. These barriers may be categorized as follows;

1. **Physiological Barriers:** Physiology means the state of human body and mind. Physiological barriers of communication occur due to the physical condition of sender or receiver which might even be physical disabilities. It includes sensory dysfunction and other physical dysfunctions.
2. **Physical Barriers:** Physical barrier is the environmental and natural condition that act as a barrier in communication in sending message from sender to receiver. Organizational environment or interior workspace design problems, technological problems and noise are the parts of physical barriers.

These are referred to distraction in the environment such as the sound of an air conditioner, cigarette smoke, or an overheated room, which interfere with the listening process. They could also be in the form of information overload.

3. **Attitudinal Barriers:** Attitudes are commonly formed by an individual's opinions or personal feelings on a subject or person and can be difficult to alter. When attitudinal barriers override the sense of professionalism in a workplace, it can become difficult for a group to engage in productive communication.

One attitudinal barrier is pre-occupation. It means the state or condition of being preoccupied or engrossed with something. This results in the difficulty to focus one's attention completely on what speaker is saying. Another common attitudinal barrier is egocentrism, or the belief that you are more knowledgeable than the speaker and that you have nothing new to learn from his ideas. People with this kind of close minded attitude may very poor listeners.

4. **Wrong Assumptions:** The success of communication depends on the both the sender and receiver. It is wrong to assume that communication is the sole responsibility of the sender or

the speaker and that listeners have no role to play. Such an assumption can create a barrier to listening. For example, a brilliant speech or presentation, however well delivered, is wasted if the receiver is not listening at the other end. Listeners have as much responsibility as speakers to make the communication successful, by giving feedback. Another wrong assumption is to think that listening is a passive activity, in which a listener merely hears the thoughts of the speaker. On the contrary, real listening or active listening is hard work- it requires speaking sometimes to ask questions, agree or disagree with the speaker, give feedback etc.

2

5. **Cultural Barriers:** Wherever we live, you're going to be influenced by the attitudes, customs and practices of the people around us. Those basic elements are the definition of culture. When a person of one culture encounters the beliefs and resulting actions of another culture, a clash can occur. This is known as cultural barrier.

Accents can be barriers to listening, since they interfere with the ability to understand the meaning of words that are pronounced differently. Another type of cultural barrier is differing cultural values. The importance attached to listening and speaking differs in western and oriental cultures.

6. **Gender Barriers:** Communication research has shown that gender can be barrier to listening. Studies have revealed that men and women listen very differently and for different purposes. Women are more likely to listen for the emotion behind a speaker's words, when men listen more for the facts and the content.

Example

A salesperson giving a demonstration of a new type of office equipment may be asked by two colleagues if the equipment will work without problem and respond by saying "sure". A male user may take this at face value, whereas the female user may detect some hesitation in his voice. This is because the male users listen for the content of the message, whereas the female users listen for the tone of the message.

7. **Lack of Training:** Listening is not an inborn skill. People are not born good listeners. They have to develop the art of listening through practice and training. Lack of training in listening skills is an important barrier to listening, in the Indian context.
8. **Bad Listening Habits:** Most people are very average listeners who have developed poor listening habits that are hard to said and that act as barriers to listening. For example, some people have the habits of "faking" attention, or trying to look like a listeners, in order to impress the speaker and to assure him that they are paying attention. Others may tend to listen to each and every fact and, as a result, miss out on the main point.
9. **Bringing in Emotions:** Emotions erect barriers to effective communication. A listener's senses are not likely to be functioning at their optimum level when he or she is angry. Likewise,

it is not possible to understand or appreciate what the speaker is saying if the listener is excessively sad.

- 10. Fear:** Fear is a great barrier to listening. People who are afraid during a conversation are not likely to listen. They become defensive and tend to argue.

Tips to Overcome Fear: Be aware that fear can only worsen the situation. Listen to what the other person is about to say without fear.

Keeping calm will give you mental strength to face any situation.

Taking a deep breath helps in overcoming fear.

1.8 EFFECTIVENESS OF LISTENING

In today's high-tech, high-speed, high-stress world, communication is more important than ever, yet we seem to devote less and less time to really listening to one another. Genuine listening has become a rare gift - the gift of time. It helps build relationships, solve problems, ensure understanding, resolve conflicts, and improve accuracy. At work, effective listening means fewer errors and less wasted time. At home, it helps develop resourceful, self-reliant kids who can solve their own problems. Listening builds friendships and careers.

Here are eight tips to bring effectiveness to your listening.

Step-1: Face the Speaker and Maintain Eye Contact

Eye contact occurs when two people look at each other's eyes at the same time. In human beings, eye contact is a form of non-verbal communication and is thought to have a large influence on social behavior. This term came from the West in mid 1960s. This term defines the act as a meaningful and important sign of confidence, respect, and social communication. Eye Contact provides some of the strongest emotions during a social conversation. It provides details on emotions and intentions. Prolonged eye contact can tell someone you are interested in what they have to say.

Step-2: Be Attentive but Relaxed

Now that you've made eye contact, relax. You don't have to stare fixedly at the other person. You can look away now and then and carry on like a normal person. The important thing is to be attentive. Mentally screen out distractions, like background activity and noise. In addition, try not to focus on the speaker's accent or speech mannerisms to the point where they become distractions. Finally, don't be distracted by your own thoughts, feelings, or biases.

Step-3: Keep an Open Mind

Listen without judging the other person or mentally criticizing the things she tells you. Listen without jumping to conclusions. Remember that the speaker is using language to represent the thoughts and feelings inside his or her brain. Don't be a sentence-grabber.

Step-4: Listen to the Words and Try to Picture what the Speaker is saying

Allow your mind to create a mental model of the information being communicated. Your brain will do the necessary work if you stay focused, with senses fully alert. When listening for long stretches, concentrate on, and remember, key words and phrases. Finally, concentrate on what is being said, even if it bores you. If your thoughts start to wander, immediately force yourself to refocus.

Step-5: Wait for the Speaker to Pause to ask Clarifying Questions

When you don't understand something, of course you should ask the speaker to explain it to you. But rather than interrupt, wait until the speaker pauses. Then say something like, "Back up a second. I didn't understand what you just said about...".

Step-6: Try to Feel what the Speaker is Feeling

If you feel sad when the person with whom you are talking expresses sadness, joyful when she expresses joy, fearful when she describes her fears and convey those feelings through your facial expressions and words then your effectiveness as a listener is assured. Empathy is the heart and soul of good listening.

To experience empathy, you have to put yourself in the other person's place and allow yourself to feel what it is like to *be her* at that moment. This is not an easy thing to do. It takes energy and concentration. But it is a generous and helpful thing to do, and it facilitates communication like nothing else does.

Step-7: Give the Speaker Regular Feedback

Show that you understand where the speaker is coming from by reflecting the speaker's feelings. Or just nod and show your understanding through appropriate facial expressions and an occasional well-timed "hmmm" or "uh huh."

The idea is to give the speaker some proof that you are listening, and that you are following her train of thought-not off indulging in your own fantasies while she talks to the ether.

In task situations, regardless of whether at work or home, always restate instructions and messages to be sure you understand correctly.

Step-8: Pay Attention to what *isn't* said - to Non-verbal Clues

If you exclude email, the majority of direct communication is probably non-verbal. We glean a great deal of information about each other without saying a word. Even over the telephone, you can learn almost as much about a person from the tone and cadence of her voice than from anything she says. When I talk to my best friend, it doesn't matter what we chat about, if I hear a lilt and laughter in her voice, I feel reassured that she's doing well.

Face to face with a person, you can detect enthusiasm, boredom, or irritation very quickly in the expression around the eyes, the set of the mouth, the slope of the shoulders. These are clues you can't ignore. When listening, remember that words convey only a fraction of the message.

1.8.1 Strategies for Effective listening

In today's high-tech, high speed, high stress world, communication is more important than ever, yet we seem to allocate less time to listening to one another. Genuine listening has become a rare gift-the gift of time. It helps to build relationships, solve problems, ensure understanding, resolve friction and improve accuracy. At work, an effective listening means fewer errors and less wasted time. These are certain methods for an effective Listening.

1. **Face the Speaker and Maintain Eye Contact:** In most western cultures, an eye contact can be considered a basic element of effective communication. When we talk, we look at each other and turning face at each other. Look at them, even if they don't look at you. Shyness, uncertainty, shame, guilt or other emotions along with cultural boycott can inhibit eye contact under some circumstances, but stay focused yourself.
2. **Be Attentive but Relaxed:** Mentally screen out distractions like background activity and noise. Don't be distracted by your own thoughts, feelings or unfairness.
3. **Keep an Open Mind:** To listen without judging the other person or mentally criticizing the things he/she tells you. Listen without jumping to conclusions. The speaker is using the language to represent the thoughts and feelings inside his/her brain. You don't know what those thoughts and feelings are and the only way you will find it by listening. Don't be a sentence grabber by an interrupting and finishing another person's sentences.
4. **Listen to the Words and try to picturize what the Speaker is Saying:** Allow your mind to create a mental model of the information being communicated. Whether a literal picture, or an arrangement of abstract concepts, your brain will do the necessary work if you stay focused, with senses fully alert. If listening for long stretches, concentrate on, and remember, keywords and phrases.

When it's your turn to listen, don't spend the time planning what to say next. We can't prepare and listen at same time. Listen carefully and think what the other person is saying.

5. **Don't Interrupt and Don't Impose your Solutions:** Don't interrupt while listening to someone talk. If you interrupt him/her sends a variety of messages. It says
 - a. I am more important than you are.
 - b. I don't really care what you think.
 - c. I don't have time for your opinion.

We all think and speak at different rates. While listening to someone talk about a problem, avoid suggesting solutions. When we are absolutely bursting with a brilliant solution, at least get the speaker's permission. Ask, "Would you like to hear my ideas?"

6. **Wait for the Speakers to Pause to ask Clarify Questions:** When you don't understand something, of course you should ask the speaker to explain it to you. But rather than interrupt, wait until the speaker pauses. Then say something like, "Back up a second. I didn't understand what you just said about..."
- 2 19 7. **Try to Feel what the Speaker is Feeling:** If you feel sad when the person with whom you are talking expresses sadness, joyful, fearful if he describes his fears and convey those feelings through your facial expressions and words, then your effectiveness as a listener can be assured. *Empathy is the heart and soul of good listening.*
- 2 8. **Give the Speaker Regular Feedback:** Show that you understand where the speaker is coming from by reflecting the speaker's feelings. "I can see that you are confused", "You must be thrilled". When the speaker's feelings are hidden or unclear, then occasionally paraphrase the context of a message or just nod and show your understanding through appropriate facial expressions.
- 2 19 9. **Pay attention to what isn't said to non verbal cues:** Face to face with a person, we can detect enthusiasm, frustration or irritation very quickly in the expression around the eyes, the set of the mouth, slope of the shoulders. These are clues we can't ignore. If listening, remembering that words convey only a fraction of the message.

1.9 LISTENING COMPREHENSION

Listening is the one skill that you use the most in everyday life. Comprehension means the ability to understand completely and be familiar with a situation, facts, etc. Listening comprehension is the basis for your speaking, writing and reading skills. To train your listening skills, it is important to listen actively, which means to actively pay attention to what you are listening to. Make it a habit to listen to audio books, podcasts, news, songs, etc. and to watch videos and films in the foreign language. Following are the methods to achieve effective listening of comprehension.

1. **Set the Purpose:** Students need to understand the purpose for listening to get the most from the experience. Having an explicit purpose in mind will help them know where to focus, enabling them to achieve success.
2. **Set the Stage:** Getting ready to listen is like getting in the zone or warming up. A good first step in setting the stage is to tell students the purpose for listening. A second step is to prepare the environment. Eliminating background noise, sitting in an appropriate configuration, and third, telling students what will transpire after they have listened are three ways to set the stage for listening.

3. **Provide Follow up:** Immediately after students have listened, hold them accountable for whatever it was that they were attending to when listening. Many times this follow up will be in a written format so that there is a paper trail of student learning. Such follow-up enables you to see what they were able to ascertain while listening, thus serving as an authentic assessment of sorts.

1.9.1 Listening to Sounds: Sounds of English Language

In the English alphabet there are 26 letters, but these letters produce 44 sounds. For this reason, one letter is used to produce more than one sound. In order to know the correct pronunciation certain symbols denoting these sounds have been devised and standardized. By learning these symbols you will be able to find the correct pronunciation of any word in a standard dictionary. These symbols will also help you to go through the book with guidance for correct pronunciation of words and conversations. These sounds are classified into two types:

1. Vowel Sounds (20)

2. Consonant Sounds (24)

There are only 5 vowel letters in English (a, e, i, o, u), but the sounds indicated by these 5 letters are 20. A vowel sound is produced when the air comes out of the mouth freely without any blockage or closure in the mouth cavity by the tongue, teeth, lips, etc.

The vowel sounds are of two types;

I. Vowel Sounds in English

a. Monophthongs

2

- b. **Diphthongs:** These vowel sounds are a combination of two single vowel sounds and in pronouncing them the tongue moves from one position to another. For instance, in the word 'light' the sound of 'i' is a combination of the vowel sounds /a:/ as in 'art' and /i/ as in 'it'. The words 'hair', 'toy' and 'poor' also contain double vowel sounds.

Diphthongs consist of sounds such as,

2

II. Consonant Sounds: This list describes the consonant sounds of English.

Consonant Letters with more than one Sound

- i. "C" followed by "e, i or y" usually has the soft sound "s".
Examples: "cyst", "central", and "city".
- ii. "C" followed by "a, o or u" usually has the hard sound |k|.
Examples: can, cube, cone, cane.
- iii. "G" followed by "e, i or y" usually has the soft sound |d'| ("j").
Examples: "gem", "gym", and "gist".

Exceptions: give, gill, get, geyser, girl

iv. “G” followed by “a, o or u” usually has the hard sound |g|.

Examples: ‘good’, ‘gas’, ‘got’, ‘gun’, ‘gave’

v. The alphabet ‘s’ is pronounced

|s| in sight

|z| in rise

1.10 EXERCISES

Exercise-1

I. Imagine you are a doctor and your friend plays the role of a patient suffering from fever.

Patient : Good morning Doctor, I’m Vinod.

Doctor : Good Morning Mr.Vinod, what’s your problem?

Patient : I ‘ve been suffering from fever from the last two days, Doctor.

Doctor : Then let me take temperature first.

Patient : Yes, Doctor you can take.

Doctor : Your temperature is 103 degrees. You needn’t worry, It ‘s some viral fever very common in this season.

Patient : Can I get recovery from it within days doctor? I’ve some important work.

Doctor : Don’t worry.. I’m prescribing some medicines you will be alright by tomorrow.

II. In The Library

Imagine that you are at the Library. you have to return some books and take some other books.

Student : Excuse me sir, I want to return these two books.

Clerk : Oh! They were due four days ago. I’m afraid, you’ll have to pay the fine.

Student : Oh yes, I do know it. It’s due to sickness. I have’nt been coming to college for all these days.

Clerk : Please meet the librarian to get the permission for not paying the last fees.

Student : Very well, I’ll see the librarian and get the things done. Meanwhile, please issue me with these two new books.

Clerk : It's alright.

Student : Thank you very much sir.

III. In The Office of Your College

Imagine you are in the office of your college and you talk with the clerk about the Terminal fees.

Student : Please tell me about the last date of the Terminal fees.

Clerk : I don't know why you are asking me. The principal has already circulated the matter to your classroom.

Student : I was absent on the day, when the circular came to our class.

Clerk : Then you would have known the matter from your classmates.

Student : To know the matter officially, I'm asking it in the office.

Clerk : It's alright. You have to pay the fees by the end of February. Otherwise your Hall Ticket for the examination won't be issued.

Student : If it's, please take the amount for the fees now itself.

Circle the best answer to these questions.

1. The teacher wants the students to _____.
 (a) take notes after she has finished speaking. (b) take notes while she is speaking.
 (c) forget about taking notes.
2. The teacher suggests eating _____.
 (a) sugary snacks. (b) only apples. (c) fruit and cereals.
3. The teacher suggests finding a study place with a lot of _____.
 (a) light. (b) space. (c) books.
4. If students feel stressed they should _____.
 (a) go to bed. (b) go out for a walk. (c) drink some water.
5. Students are advised to _____.
 (a) select the important things to learn. (b) read through everything once.
 (c) make notes about every topic.
6. The teacher understands that repeating things can be _____.
 (a) difficult. (b) uninteresting. (c) tiring.
7. Students can do past exam papers _____.
 (a) in the library only. (b) at home if they take photocopies.
 (c) in the after-school study group.

8. The teacher recommends a break of five minutes every _____.
 (a) hour. (b) two hours. (c) thirty minutes.
9. It's important to _____.
 (a) eat regularly. (b) sleep when you feel tired. (c) keep hydrated.
10. The teacher is sure that the students will _____.
 (a) pass their exams. (b) fail their exams. (c) do their best.

Key

1. (a)	2. (c)	3. (a)	4. (b)	5. (a)
6. (c)	7. (a)	8. (c)	9. (c)	10. (c)

1.11 CHECK YOUR PROGRESS

1. List some measures to improve listening.

Ans. _____

2. What are the different types of Listening?

Ans. _____

3. List some of the barriers that affect Listening.

Ans. _____

4. Discuss some elements of Communication.

Ans. _____

5. Underline the silent letters in the following;

Comb Psychology Hour Precis Learn

Ans. _____

1.12 OUTCOMES

- Listening skill is a technique used for understanding, what is being said by taking into account how something is said and the nonverbal signs and body language that accompanies it.

- Listening skill makes you successful in workplace, family and in the society.
- Good listening skill is mandatory to get into a profession in communications, management, planning, sales, etc.
- Listening skills involve a different set of etiquettes, questioning for explanation, showing empathy and providing a suitable response.
- Listening is a facility that most living beings possess. Notice how many people are unable to listen to teachers in college classrooms and to colleagues and employers in work places.

1.13 EXERCISE

1. What is the importance of listening skill?
2. What are the tips to improve listening?
3. What is the techniques to Improve Listening?
4. What are the advantages of listening?
5. Explain about the good listening habits.
6. What are poor listening habits?
7. What are the types of listening?
8. Explain about the barriers to effective listening.
9. What are the strategies for an effective listening?

1.14 PRACTICE EXERCISES

Activities to improve listening skills

1. Voice blogging

Using a free website (such as Voice Thread) have students record voice journals about their week. Encourage students with semi-personal topics or hypothetical questions (e.g. What would you do if you had one million dollars? Describe your best vacation. etc..) to prompt speaking. This works just like a blog but with student voices rather than writing. Even if your school doesn't have computers with microphones or recording capabilities, with Voice Thread students can use any phone to record their voice blog.

Students can then be assigned to listen to several of their classmates and give each other comments. By listening to each other and giving encouraging comments, you are building a positive classroom environment and cooperation within the classroom all while students build their listening skills.

2. Listen for the hidden phrase

An engaging whole class activity is to pair students up and give each pair a “secret” word or phrase. For easier dialogues, give a simple phrase such as “I love soccer,” or “My father works a lot;” etc... To challenge students, give a slightly more obscure phrase, such as “John does yoga every Saturday,” or “I saw a UFO in my yard last night.”

Students are then tasked with developing a dialogue with their partner that somehow uses this phrase. Students may script the dialogue if they wish, but only give them limited planning time (5-10 minutes). After they have prepared their dialogue, students perform the dialogue in front of the class, and the other students listen carefully to hear which words or phrases seem extra carefully planned to find the secret phrase. If you have individual white boards, have the students write down the phrase as they hear it and then show their board after the pair has finished the dialogue. If they found the correct secret phrase, they get a point. If no one finds the pair’s secret phrase, the pair that developed the dialogue gets a point.

3. Listen for the word

Using popular culture media is always a good way to practice listening skills. Using songs, watching TV shows, or even listening to podcasts will help build skills. To go an extra step, have an additional task while listening to the song or TV show such as assign students different words to listen for and have them keep track of how often they hear these words. This is particularly helpful with reductions like gonna, wanna, hafta.

Listening to various media is also a good time to practice unfamiliar words. Encourage students to write down words they have never heard before. Without subtitles or lyrics, students will have to rely on the sounds they think they heard to make a guess at how to spell this unfamiliar word. Encourage students to write down other surrounding words to help you decipher what the word might be or to write down the time when they heard the word so you can go back to the spot and listen again. These are important skills for students to master so that they can continue learning even outside of the classroom by hearing new words.

4. Student-designed quizzes

If students are in a computer lab or if they have iPads/iPhones, give each student a dialogue, lecture, or song to listen to. These can be easily found on various free listening websites. Have students listen to the lecture multiple times and then create a quiz for another student to take. Students will be excited to “play teacher” by creating quiz questions, and they will have to rely on their listening skills to write accurate questions.

5. Put the celebrity in the right place

Similar to the picture describing game, this game has a similar setup but without the drawing. Give students a chart with many different celebrities in the boxes/grid. This can be easily done by

creating a table in a word processing program and pasting internet images of celebrities in the table. Be sure to make several different versions with celebrities in the different spaces. It's okay if the students don't know all of the celebrities; in fact, it may be better if there are some they don't know, so they have to rely on describing physical features rather than giving names. Print a second blank grid with the pictures of the celebrities cut out into individual pieces but not attached to the grid.

Students should sit back to back and be instructed to not peek or cheat. The student with the table with pre-assigned celebrities should give the other student instructions on how to fill in his table with the celebrity picture pieces. For example, the first student might say "The picture of Brad Pitt goes in the first square, and Angelina goes in the square below Brad Pitt." It may be helpful to pre-teach the vocabulary "columns" and "rows."

6. Red Ball, Blue Ball

In this listening and communicating exercise, speed is not the point. The goal is make sure your message heard, not just spoken. To begin, everyone stands in a circle. The facilitator mimes holding a ball, which they pass to someone else in the circle while making eye contact and saying "Red ball."

The recipient then repeats, "Red ball" as they take it. They toss the imaginary ball to someone else, saying "Red ball" and making eye contact as they do. That person repeats "Red ball" as they receive it, and so on.

This continues until everyone in the circle has had the ball a couple of times. The Director then gives someone a mimed bowl, saying "Red bowl." That person repeats "Red bowl," and passes it on to someone else. Once the red bowl and red ball have gone around the circle, the Director can add another object a bread bowl, a Red Bull (miming a can), a red shawl, a lemon meringue pie, blue ball, green ball etc.

When all the items are in play, the facilitator stops everyone and asks who has each item by a show of hands. In debriefing the exercise, you might ask: If we were to do it again, what behaviours would improve communication? What behaviours displayed decreased communication? What lessons might we carry forward into our work?

7. Workstations

The Workstations puzzle uses a matrix of information and requires teams to use a process of elimination to find the answer to a set of questions. With one "fact" on each card in the deck, key information needed to solve the puzzle is divided up between members of a working team. Team members are not allowed to draw or write anything, so they are dependent upon gathering and collating verbal information in order to solve the puzzle.

Unit-2

SPEAKING SKILLS

2.0 OBJECTIVES

After completion of this module we should be able to understand

- Understand the effective speaking skills.
- To know about the Phonetics and exercises
- Discuss about Word accent with examples
- Discuss the Presentation Skills

2.1 INTRODUCTION

Language is a tool for communication. We communicate with others, to express our ideas, and to know others ideas as well. Communication takes place, where there is speech. Without speech we cannot communicate with one another. Without speech, a language is reduced to a mere script. The use of language is an activity which takes place within the confines of our community. We use language in a variety of situations. People at their work places, i.e., in a language laboratory, are supposed to speak correctly and effectively in-order to communicate well with one another. Any gap in communication results, lead to misunderstandings and problems.

When we communicate verbally with others, either in a conversation or in a presentation, our usual goal is to have people understand what are we trying to say. In order to accomplish this, we should remember the acronym KISS (Keep It Short and Simple). When we talk to others, we assume they will understand us. We know what are we trying to say, so obviously, our message will get through. Right? Not necessarily. People bring their own attitudes, opinions, emotions and experiences to an encounter. This often clouds their perception of the message.

Definition: Speaking is an act of making vocal sounds. We can say that speaking means to converse, or expressing one's thoughts and feelings in spoken language.

To speak often implies conveying information. It may be from an informal remark to a scholarly presentation to a formal address.

Speaking skills are the skills that give us the ability to communicate effectively. These skills allow the speaker, to convey his message in a passionate, thoughtful, and convincing manner.

Significance: English language has become an international language. Among nations it serves as a lingua franca. It is spoken, learnt and understood even in those countries where it is not a native language. English is playing a major role in many sectors including medicine, engineering, education, advanced studies, business, technology, banking, computing, tourism etc.

In all our software development today, the communication facilities available to us through internet, our access to a variety of websites, are all being carried out in English. Most of the research works are conducted and compiled in English. Anything written and recorded in this language is read and listened to, in wider circles. As a result, English is being taught and learned around the world as a second language today.

2.2 ESSENTIALS OF EFFECTIVE SPEAKING SKILLS

The Essentials of Effective Speaking are,

1. **The Audience is not the Enemy:** The reason why many people avoid public speaking, because they fear of it, which is partially feared of an unknown and possibly hostile audience. Just remember that the audience is not our enemy.

Think positively, why am I getting feared? Is it necessary. Just it is part in part of “barriers of communication”. Is it me thinking? Then, automatically, slow and stud, you practice and practice. Finally, you become a good speaker. Remember, it comes on practice. It is in your hands.

The audience will forgive an occasional mistake; Just remember to locate some friendly faces out there, those people who seem to be nodding and in general getting enthusiastic about your message. If you do happen to make a mistake, locate those friendly faces! Just remember that because you see somewhat who seems not to be enthusiastic, it could be a combination of culture, personality, or occupation that do not permit them to show it as openly as others.

2. **Write your Speech Word for Word:** Good speaking begins with good writing; good writing depends on good editing. For example, Gettysburg Address, delivered by Abraham Lincoln during American Civil War, this consists of 10 sentences that took a total of 2 minutes to deliver. There is an apocryphal story about how it was cobbled together by Lincoln on the back of an envelope on his way to give the speech: that is simply not true, because we have several drafts of his speech which prove otherwise. What is interesting in reading the drafts is not what was included in the speech; it was how much was taken out. Every word has a purpose.

3. **Bring Life to your Words with Colorful Images and Examples:** This is where style becomes apparent. Choose those words which evoke the audience's own imagination, so that they start to experience what are you saying, rather than just hearing it.
4. **Six Words that can Change the way you Speak: Make a Point; Tell a Story:** The speaker should have a point in his/her speech; rather than explain that point to audience. He needs to have them discover it through experiencing it as part of the story he tells.
5. **Six Emotions that will Connect with any Audience: Happiness, Sadness, Anger, Surprise, Disgust, and Fear:** Choose words which not only create an image, but evoke at least one of the emotions listed above. When people empathize with you, they are more willing to accept your message that you want to convey in your speech.
6. **Don't Underestimate the Power of Laughter:** When we laugh, we relax. When we relax, our minds are more receptive to learning. A professional joke-teller is a comedian; you don't have to be a comedian to make people laugh. Just ask yourself what makes you laugh. Take a notebook with you or a digital recorder and if you see something that makes you laugh, write it down and make a "humor file". In fact, this technique works with the six emotions listed above. Then have this on hand so that you can insert these into a speech, a place where they will have the most impact.
7. **Don't Tell us, Take us:** Rather than describing the incident like a reporter, take us as eyewitness to the event by acting it out with movements, gestures, vocal inflections that put us right there in the middle of the action.

2.2.1 Principles of Speaking Skills

Spoken communication or the communication employing speech is known as "oral communication". The following are the principles of Speaking skills.

1. **Clear Pronunciation:** The first important pre-requisite of effective oral communication is that words should be pronounced clearly and correctly. Oral messages are often misunderstood because the speaker does not talk distinctly. Inability to use the Jaws freely, to speak with a limber tongue, limber lips, and to speak slowly often makes particularly for the poor communication.
2. **Brevity:** People take pleasure in talking. So speaking skills tends to suffer from over-communication. If a speaker keeps on talking for long, his message will get lost in a sea of verbosity and distraction. So it is important to keep the message as brief as possible without appearing abrupt and discourteous.
3. **Precision:** Precision can make oral communication which is very effective.

4. **Conviction:** A person communicating orally must have conviction in what he says. Lack of conviction causes lack of confidence, so that he is not able to impress the receiver with the message. Conviction comes from sincere approach, careful thinking as well as planning.
5. **Logical Sequence:** If the speaker has given a proper thought to his message, he will be able to arrange the various ideas contained in it in their logical sequence. Jumbled ideas create confusion, while logically arranged ideas make the message forceful.
6. **Appropriate Word Choice:** Words have different meanings for different people. So it is important to be careful in the choice of words. In oral communication, it is very important to use the terms familiar to the listener rather than the terms that are familiar to the speaker.
7. **Avoiding Hackneyed Phrases and Cliches:** Speakers, often when they are graphing for words, make use of hackneyed phrases like, “what I mean”, “do you follow”, “is not it”, “I see” etc. Such words and phrases interrupt the flow of their speech and impede quick grasp of meaning. The speakers, therefore, should take deliberate pains to exclude them from their speech.
8. **Natural Voice:** The message should be presented in the natural voice. This voice should be made pleasing and clear with practice, confidence and emotional content. The sound of the voice should not be steady and flat. There should be variations in the voice according to the occasion. Such variations create interest and maintain the attention of the listener or listeners. Thus, the most effective speech is that which is correct, the same time natural and unaffected. One should, therefore, cultivate a pleasing voice, speak clearly and distinctly.

2.2.2 Improving Speaking Skills

Improving speaking skills is of great importance to communication. A speaker has to keep in mind the factors which can enhance his speaking skills.

1. Practice where you can, when you can. Any practice is good whether you speak to someone who is native English speaker or not.
2. Have knowledge of the subject as well as knowledge of the audience.
3. It is important to build confidence and having good command over language to deliver the message clearly with confidence.
4. If possible use simple words, simple and short sentences. Try to use words and phrases you know in new situations using correct grammar along with correct pronunciation.
5. Appropriate gestures and body language- eye contact, hand and head movements.
6. It is better not to speak too fast. It will be difficult for the people to understand you.

7. Maintaining good sense of humour while speaking and when you speak English at normal speed, you'll discover that many of the pronunciation skills such as linking between words, will happen automatically.
8. Having the ability of describing and explaining the concepts and problems to handle the questions from the audience.
9. When speaking English try to be less hesitant and more confident.
10. It is a better way to explain the concept by using examples and make comparisons.

2.3 BARRIERS OF SPEAKING SKILLS

It does not matter how effective you are in communicating with others, sometimes you may face communication barriers. Communication barriers are defined as the factors that break or interrupt a communication process.

They are roughly classified as,

1. Listening barriers and
2. Speaking barriers

Listening Barriers

1. Interrupting the speaker with improper body language and meaning-less questions.
2. Less concentration on speaker's facial expressions and not keeping eye contact with the speaker.
3. Provoking the speaker to conclude the topic as soon as possible.
4. Giving an impression that the speaker is wasting his/her time with his speech.
5. More concentration on distracting material which is not a part of the on going discussion.
6. Going ahead of the speaker and concluding his/her ideas.
7. Less memory power - this makes you out of the subject being discussed.
8. Asking too many questions to prove your attentiveness.

Speaking Barriers

1. Rough and unclear data or information about the topic.
2. Inconsistent communication - Missing the flow and going too fast or too slow.
3. Unclear pronunciation - abrupt sentences or words.
4. Miscommunication or not understanding the listener.
5. Using negative words - Meaning of some words may differ from region to region and culture to culture.

2.3.1 Effectiveness of Speaking Skills

- i. **Ability to Inform, Persuade, and Direct:** Ability to inform, persuade, and direct. Business managers, educators, military leaders, lawyers, politicians, among others, seek to develop their speaking skills to such a level that they are transformed into master communicators. Speaking clearly and confidently can gain the attention of the audience, providing the golden opportunity for the speaker to make the message known.
- ii. **Ability to Stand out from the Rest:** When one thinks of speaking skills, one tends to think of it as a common skill. Think again. The ability to stand before others and speak effectively is not an ordinary ability. Many people are afraid of public speaking; others have little ability to form thoughts into sentences and then deliver those words in a believable way.
- iii. **Career Enhancement:** Speaking skills are important for career success, but certainly not limited to one's professional aspirations. Speaking skills can enhance one's personal life, thereby bringing about the well-rounded growth we should all seek.

2.4 SOUNDS OF ENGLISH

English is a world language spoken and written by a vast majority of people around the globe. It is heterogeneous language accommodating all kinds of influences exerted upon it by the other languages of the world. The English language has been gaining in status as well as prestige all these days as a result of expertise persons' related efforts massively.

Nowadays, spoken language is given much importance as it prepares the ground for the young aspirants to get knowledged properly for themselves in order to face the challenges from the rest of the world.

We need to improve our speech habits and it is necessary that we remain all the time conscious of our speech habits. Once, we come to hear some strange or new ways of pronunciation, we come across the following;

- a. Origin of English
 - b. Linguistic form
 - c. Variation Styles
 - d. Speech Formation
- a. **Origin of English:** The written form of English is based on the Latin alphabet. It has its existence for more than 1050 years. The change in English spelling is based on the pronunciation. There have been very few rights from 15th century. It got stabilized in the present form more or less. There is no relationship between spelling and pronunciation in English. It is clearly known, English is the world language influenced by regional languages irrespective of state or country.

- b. **Linguistic Form:** Linguistically, the sound system of English is strengthened enormously with the ideas from the experts in its field. The phonetics analysis in a linguistic investigation of the language has become a question but later on the years; this analysis is getting altered; as a result of massive work which was done by the expertise to improve linguistic ability.
- c. **Variation of Styles:** The English language is being used in different regions of the world in different styles, which show the variations according to the different regions and the social classes. The context in which the language itself takes responsibility for a change. All the time, nature of the language is responsible for the production of speech.
- d. **Formation of Speech:** The formation of speech is an integral part of communicative methodology. The speed of vibration of our vocal chords can be varied. There are various organs in our body which convert them into speech sounds. The organs of speech are
1. The respiratory system.
 2. The Phonetary system and
 3. The articulatory system.

2.5 INTRODUCTION TO PHONETICS

What is Phonetics?

Phonetics is the study of the actual sounds that make up the words of a language. Every language has its own characteristics and there are sounds in English that we may not use in our language. The sounds in our language, we use in English and one of the more difficult things about English is the spelling as well as pronunciation.

This introduction to phonetics will look at the difference between the written spelling and the actual pronunciation. We have only 26 letters in the alphabet but modern English uses about 44 different sounds. So when we look at a word, it can be difficult to know, from the spelling, how to pronounce it because the same letters can be pronounced differently in different words.

For example case-1: In the following words, the first letter of the alphabet, ‘a’ appears in all the five words.

At, cat, arm, ate, around

Here, ‘a’ looks the same in all the words. But when we pronounce or say these words aloud, we find how different the sounds are.

In the same way note how different ‘u’ sounds in the below words

Put, but, up, urgent, rude

In the four words given below, ‘s’ is common but sounds different in each.

Sad, sugar, music, vision.

Case-2: Sound of k - by letter **k** in kite, **ch** in chemistry, **c** in cut, **cc** in claim, **ck** in stock, **q** in question.

Here, one cannot spell a new word that has heard.

To overcome this problem, an alphabet was evolved in which words of any language could be written unambiguously. This alphabet is called the **International Phonetic Alphabet(IPA)**. It is claimed to have symbols to represent all the sounds that exist in the languages.

This phonetic script has one to one correspondence between the sounds and symbols: a given symbol represents one, and only one sound, and a given sound is always represented by the same symbol that is to say one symbol for one sound.

Phonetic Symbol: A phonetic symbol is a sign representing a speech sound. If we use the phonetic symbols to represent the sound of 's' in the below listed four words:

/s/	in	sad
/f/	in	sugar
/z/	in	music
/ \ /	in	vision

Phonetic symbols are placed between two slashes to indicate that we are referring to sounds and not letters. Thus 's' is the letter, '/S/' is the sound.

2.5.1 The Sounds of English

Every language is a set of sounds produced with the air that we breathe out. Different sounds are produced as different parts of the mouth and the throat take different positions and as the air comes out through these positions.

In English alphabet there are 26 letters, but these letters produce 44 sounds. As a result of this reason, one letter is used to produce more than one sound. In order to know the correct pronunciation certain symbols denoting these sounds have been devised and standardized. By learning these symbols you will be able to find the correct pronunciation of any word in a standard dictionary. These symbols will also help you to go through the book with guidance for correct pronunciation of words and conversations. These sounds are classified into two types:

1. Vowel Sounds (20)
2. Consonant Sounds (24)

Segmental Features of Sounds

The impact of the elimination of the Mother tongue is possible with the eventual improvement of Pronunciation, Vowels and Consonant sounds.

Speech is caused when an air-stream from the lungs passes through the windpipe and speech organs and escapes, creating a sound. The organs of speech are the larynx(windpipe), vocal chords, tongue, lips, nose and palate. These organs are shown in the figure below:

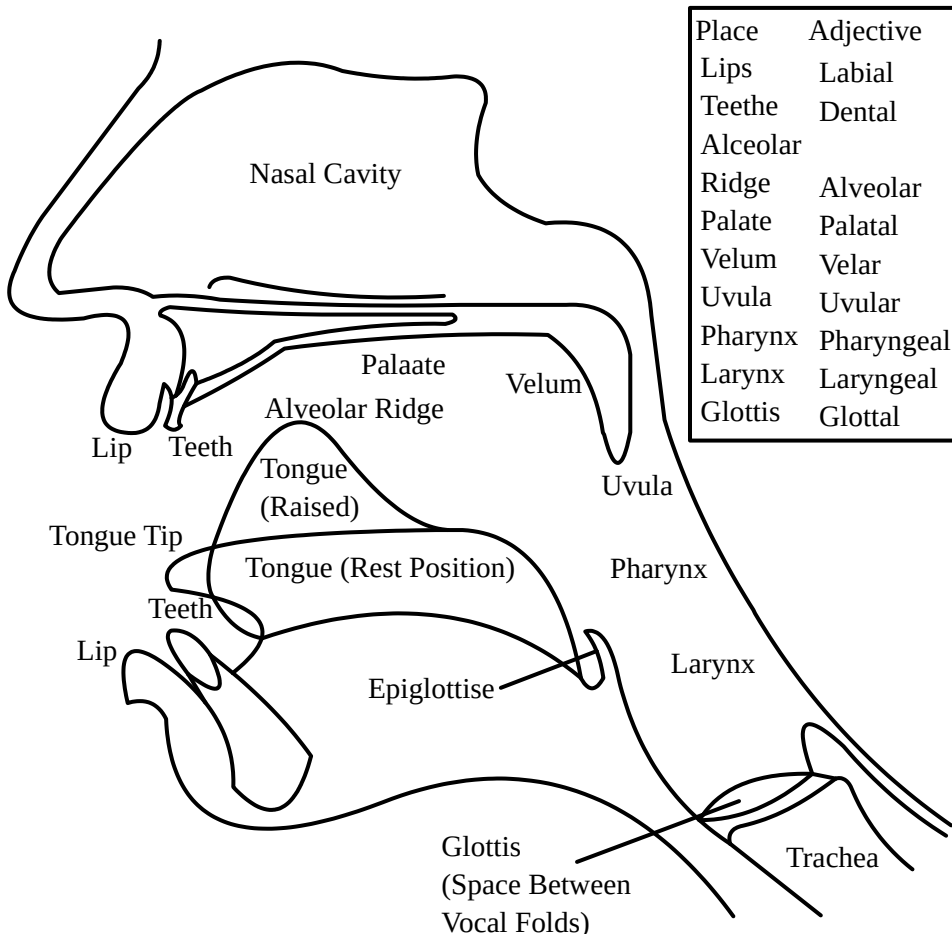


Figure-2.1: Articulators /Speech Organs

2.5.2 Task

TASK-1: In the following pairs of words, identify those that are pronounced alike.

a. sail - sale	f. trail - trial
b. quite - quiet	g. weather - whether
c. rain - reign	h. heard - herd
d. bough - bow	i. coat - quote
e. son - sun	j. tap - tape

Answers

b. quite - quiet

d. bough - bow

e. son - sun

f. trail - trial

g. weather - whether

h. heard - herd

i. coat - quote

TASK-2: Write in the blank another word with the same pronunciation but different spelling.

1. write = _____

6. might = _____

2. break = _____

7. team = _____

3. sight = _____

8. bear = _____

4. so = _____

9. cast = _____

5. roll = _____

10. tail = _____

Answers

1. write = right

2. break = brake

3. sight = site

4. so = sow

5. roll = role

6. might = mite

7. team = teem

8. bear = bare

9. cast = caste

10. tail = tale

TASK-3: Some of the words in each set have the some represented by the underlined letter (s) in the word in brackets. Identify the words that have the sound and underline the letter(s) that represent it.

a. four courage force

goes mouse loud (crown)

b. agree elephant furnace

leopard bell (rubber)

c. winter vine waste

cover tower cow stove (wash)

d. cash cease backward

crisp krait crane cell (cool)

e. sought normal not

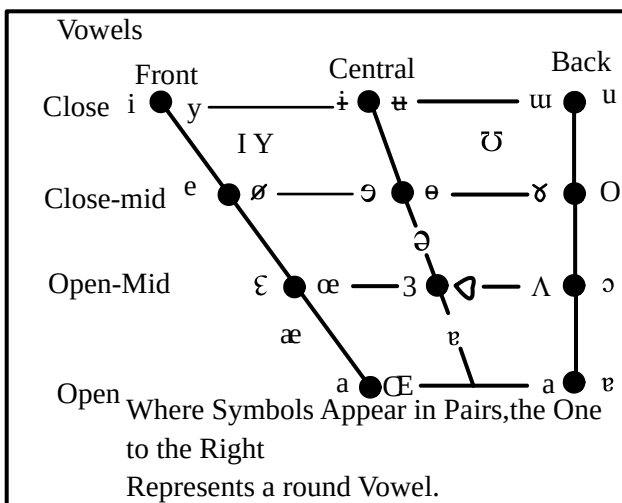
taught lotus horse soul (fall)

2.6 VOWELS

English has five vowels in its alphabet: **a, e, i, o u**. The International Alphabet Chart for the vowels in English is shown as mentioned below. However, there are many ways of pronouncing the vowels than the five sounds given by a,e,i,o,u.

/a/ can be pronounced as a 'short' sound as in the word <bad>, or pronunciations common such as <grass> and <bath>. It represents a 'long' sound, as in the word <laugh>, or <bath> or <grass>. The sound represented by /o/ is spelt in different ways, such as in the word <off> or <cough>.

The below sited diagram says the range of movement:



There are twenty vowels in English that include twelve monophthongs (Pure vowels) and eight diphthongs. Monophthongs are the symbols for single vowel sounds and the Diphthongs are the symbols for the double vowel sounds.

There are only 5 vowel letters in English (a,e,i,o,u), but the sounds indicated by these 5 letters are 20. A vowel sound is produced when the air comes out of the mouth freely without any blockage or closure in the mouth cavity by the tongue, teeth, lips, etc. The vowel sounds are of two types:

2.6.1 Pure Vowels or Monophthongs

In the below table, along with phonetical symbols, Telugu letters are given to understand in a easy manner.

S.No		Examples	Classification of tongue positions for vowels.
1	/i:/ -	Each, sea	Front close unrounded
2	/I/ -	In, pit	Front unrounded vowel between close and half-close
3	/e/-	Egg, set	Front unrounded vowel between half-close and half-open

4	/æ/ -	sad, mat	Front unrounded vowel just below the half-open position
5	/ɑ:/ -	Ask, flask	Back open unrounded
6	/u/ -	Put, foot	Back rounded vowel between close and half-close
7	/u:/ -	Pool, fool	Back close rounded vowel
8	/ɐ/ -	Off, lot	Back open unrounded
9	/ɔ:/ -	All, tall	Back rounded vowel between half-close and half-open
10	/ʌ/ -	Up, fun	Central unrounded vowel between open and half-open
11	/ɜ:/ -	Earth, yearn	Central unrounded vowel between half-close and half-open
12	/ə/ -	Sofa, alike	Central unrounded vowel between half-close and half-open

1. Front Vowels

The most front and closed vowel is /i/ which is heard when you say /eee/; in this way you feel how small the cavity is, in which air has to vibrate in; in pronouncing vowel, the lips are also spread, opposite to lip rounding.

By the time, pronouncing this [i] sound, if you slightly open your mouth and lower your tongue with the jaw; articulating a short vowel in this position would resemble the [I] vowel heard in words like /sit/. The next vowel is lower in the mouth and its vowel height is closed-mid, the tongue is positioned halfway between a closed vowel and a mid-vowel; this vowel [e] is illustrated in some accents. Apart from this, the penultimate front vowel is [æ], which is almost completely open, but slightly constricted as the tongue is positioned somewhat at lower level. This

Observe the phonemic symbol that is given to show the underlined sound.

fan /æ/

Examples

/ɪ/	/i:/	/e/	/æ/
miss	free	any	pan
many	ego	send	tab
coffee	key	bed	plait
money	quay	kettle	can
marriage	image	set	man
pretty	meal	ate	plait

Examples of the words in phonemic transcription

i.	it = /ɪt/	eat = /i:t/
ii.	sit = /sɪt/	seat = /si:t/
iii.	will = /wɪl/	wheel = /wi:l/
iv.	sick = /sɪk/	seek = /si:k/
v.	bins = /bɪns/	beans = /bi:ns/
vi.	lid = /lɪd/	lead = /li:d/
vii.	wit = /wɪt/	wheat = /wi:t/

i.	pen = /pen/	pan = /pæn/
ii.	men = /men/	man = /mæn/
iii.	send = /send/	sand = /sænd/
iv.	lend = /lend/	land = /lænd/
v.	led = /led/	lad = /læd/

2. Back Vowels

The most open back vowel is [a] , which is the most extreme opposite of [i]; it is typically the vowel doctors ask you to say when looking down your throat. In articulation there is no contact between the tongue and the palate, the mouth is wide open and the lips are spread.

The remaining back vowels involve lip rounding, a key feature that distinguishes them from front vowels. The next most open back vowel is /ɜ/ , which is found in words such as /fox/ and /sausage/; in most British English accents. Furthermore, at the half closed position on the vowel chart, the long [ɔ] is found which occurs in words like /for/ and /floor/.

Moving up, the next closed back vowel [o] is closed mid, in that the tongue which is positioned halfway between a closed vowel and a mid-vowel, with its roundedness also protruded like [ɔ] ; this vowel is typically found in the cockney accent in words like /yawn/. Moreover, the penultimate rounded back vowel [ʊ] has a near close vowel height since the tongue is not so constricted like that of a closed vowel; it is also a near back vowel as the tongue is positioned like a back vowel, but slightly more forward in the mouth. This vowel is found in many English words like /cook/.

Observe the phonemic symbol that is given to show the underlined sound.

put	/ u /	fool	/ u: /
cot	/ ɜ /	fought	/ ɔ: /

These sounds are produced in the back of the mouth. So they are called back vowels.

Examples

/ u /	/ u: /	/ ɜ /	/ ɔ: /	/ ɔ: /
pull	fool	was	tall	four
foot	route	hot	fault	floor
woman	crew	cough	warm	board
could	blue	because	born	bought
cook	fruit	knowledge	awkward	broad

Examples of the words in phonemic transcription

I.	/ u /	/ u: /
i.	pull = /pul/	pool = /pu:l/
ii.	full = /ful/	fool = /fu:l/
iii.	book = /buk/	boot = /bu:t/
iv.	took = /tuk/	tool = /tu:l/
v.	foot = /fut/	food = /fu:d/

II.	/ɐ/	/ɔ:/
i.	cock = /kɛk/	cork = /kɔ:k/
ii.	not = /nɛt/	naught = /nɔ:t/
iii.	don = /dɛn/	dawn = /dɔ:n/
iv.	rock = /rɛk/	raw = /rɔ:/
v.	lock = /lɛk/	law = /lɔ:/

eater	journey	trouble	calm
beggar	word	does	clerk

Examples of the words in phonemic transcription

I. /ʌ/	/ɑ:/
i. hut = /hʌt/	heart = /ha:t/
ii. bun = /bʌn/	barn = /ba:n/
iii. luck = /lʌk/	lark = /la:k/
iv. cut = /kʌt/	cart = /ka:t/
v. but = /bʌt/	aunt = /a:nt/
II. /ə/	/ɜ:/
i. beggar = /begə/	bird = /bɜ:d/
ii. effort = /efət/	turn = /tɜ:n/
iii. for = /fə/	heard = /hɜ:d/
iv. pole = /pəul/	learn = /lɜ:n/
v. cold = /kəuld/	term = /tɜ:m/

2.6.2 Tasks

TASK-4: Read the following words, paying attention to the vowel sounds represented by the highlighted letter (s) . Write down two more words that have the same vowel sound.

a. won _____	b. fault _____
c. put _____	d. test _____
e. alike _____	f. rule _____
g. whale _____	h. dry _____
i. share _____	j. sound _____

Answers

a. son, fun	b. taught, what	c. look, took
d. best, rest	e. about, alot	f. wool, fool
g. male, tail	h. try, cry	i. care, bare
j. found, bound.		

TASK-5: Listen to the words below and write down the phonemic symbol for the vowel sound.

a. wood	f. dam
b. cord	g. bee
c. root	h. work
d. car	i. cud
e. hit	j. stock

Answers

a. wood = /u/	f. dam = /æ/
b. cord = /ɔ:/	g. bee = /i:/
c. root = /u:/	h. work = /ɜ:/
d. car = /a:/	i. cud = /ʌ/
e. hit = /ɪ/	j. stock = /v/

TASK-6: For each phonemic symbol, write a word that contains the corresponding sound, and underline the letter (s) that corresponding to it.

Symbol	Word	Symbol	Word
a. /e/	_____	h. /i:/	_____
b. /ə/	_____	i. /u/	_____
c. /a:/	_____	j. /ɔ:/	_____
d. /ɜ:/	_____	k. /æ/	_____
e. /e/	_____	l. /ɪ/	_____
f. /v/	_____		
g. /ʌ/	_____		

Answers

a. said	b. beggar	c. farm
d. work	e. let	f. hot
g. blood	h. wheel	i. book
j. hawk	k. mass	l. hill

TASK-7: Identify the words that have the sound represented by the highlighted letter in the word given before each set.

a. Pot:	drop	for	ball	lot	orange
b. Culture:	bull	dull	trouble	student	tusk
c. Content:	yell	oral	new	cover	madam
d. Ever:	head	central	lend	garment	often
e. Prove:	Soup	school	look	use	foot

Answers

a. pot: drop	b. culture: dull, trouble
c. content: yell	
d. ever: head, central	
e. prove: soup, school	

2.6.3 Diphthongs

These vowel sounds are a combination of two single vowel sounds and in pronouncing them the tongue moves from one position to another.

For instance, in the word ‘light’ the sound of ‘i’ is a combination of the vowel sounds /a:/ as in ‘art’ and /i/ as in ‘it’. The words ‘hair’, ‘toy’ and ‘poor’ also contain double vowel sounds.

Diphthongs are a combination of two different positions of the tongue with an audible guide from one to the next; three groups of diphthongs are present in English, those ending with a schwa [ə] , ones ending in [ɪ] and those ending in [ʊ] . The first group is all centralising diphthongs as they move from one periphery of the mouth to a central vowel; there are three examples of this, ones that move from the front of the mouth include /ɪə/ which is found in /near/ and /eə/ which is found in /fair/. While ones that move from the back of the mouth include /ʊə/ which is found in words like /poor/.

The second group of diphthongs requires moving towards the front closed position of [ɪ] ; in two instances the initiating position is a more open front one as in /eɪ/ , which is exemplified in /say/, and /aɪ/ found in /high/. In the remaining case the diphthong moves from a half open back vowel, /ɔɪ/ for example in /boy/.

The final group of diphthongs end on the half back closed vowel [ʊ] , from an open front vowel as in /aʊ/ which is found in /mouse/ or from a half back vowel, in the case of /oʊ/ as exemplified in /boat/.

Sounds	Description	Examples
/eɪ/	A glide from a front unrounded vowel just below half-close to a centralized front unrounded vowel just above half-close.	Ale, make
/aɪ/	A glide from a front – open unrounded vowel to a centralized front unrounded vowel just above half-close.	Ice, mike
/ɔɪ/	A glide from a back rounded vowel between open and half-open to a centralized front unrounded vowel just above the half-close position.	Oil, boy
/aʊ/	A glide from the back open unrounded position and moves in the direction of RP. (u)	About, mouth
/əʊ/	A glide from a central unrounded vowel between half-close and half-open to a centralized back rounded vowel just above the half-close position.	No, old
/ɪə/	A glide from a centralized front unrounded vowel just above half-close to a central unrounded vowel between half-close and half-open.	Serious, period
/ɔə/	A glide from the centralized back rounded vowel just above half-close to a central unrounded vowel between half-close and half-open.	Poor, cure
/eə/	A glide from a front half-open unrounded vowel to a central unrounded vowel between half-close and half-open.	Air, hair

I. Glides ending in /ɪ/

Double vowel sounds ending with /ɪ/ are /eɪ/ , /aɪ/ , /ɔɪ/ .

Example:

Word	Sound in phonemic symbol
race	/eɪ/
lime	/aɪ/
voice	/ɔɪ/

1. Some examples of the double vowel sound /eɪ/ are:

race	brain	break	veil	pay
ate	fail	great	eight	prey
plane	aim	pale	deity	they
trace	train	lane	rain	play

Examples of the words in phonemic transcription

1. pain = /peɪn/	6. plane = /pleɪn/
2. main = /meɪn/	7. name = /neɪm/
3. saint = /seɪnt/	8. hey = /heɪ/
4. lane = /leɪn/	9. day = /deɪ/
5. laid = /leɪd/	10. veil = /veɪ/

2. Some examples of the double vowel sound /aɪ/ are:

eye	lime	either	aisle	buy
bike	try	height	cried	site
time	dye	type	die	bite
high	sign	try	file	kite

Examples of the words in phonemic transcription

1. mine = /maɪn/	6. vice = /vaɪs/
2. file = /faɪl/	7. dice = /daɪs/
3. tie = /taɪ/	8. white = /waɪt/
4. buy = /baɪ/	9. live = /laɪv/
5. tile = /taɪl/	10. night = /naɪt/

3. Some examples of the double vowel sound /ɔɪ/ are:

oil	boy	boil	toy
toil	coy	soil	enjoy

coin	oyster	moist	employ
voice	doyen	rejoice	loiter

Examples of the words in phonemic transcription

1. poison = /pɔɪzn/	5. boy = /bɔɪ/
2. voice = /vɔɪs/	6. noise = /nɔɪs/
3. toil = /tɔɪl/	7. toy = /tɔɪ/
4. foil = /fɔɪl/	8. point = /pɔɪnt/

II. Glides ending in /u/

Double vowel sounds ending with /u/ are /əu/ , /au/ .

Example:

Word	Sound in phonemic symbol

old	/əu/

cow	/au/

1. Some examples of the double vowel sound /əu/ are:

old	road	toe	soul	bowl
no	oats	hoe	mould	throw
so	oath	foe	foul	show
coke	coat	town	gold	sow

Examples of the words in phonemic transcription

1. stove = /stəʊv/	6. comb = /kəʊm/
2. mauve = /məʊv/	7. cold = /kəʊld/
3. mole = /məʊl/	8. toe = /təʊ/
4. most = /məʊst/	9. coat = /kəʊt/
5. soul = /səʊl/	10. toe = /təʊ/

2. Some examples of the double vowel sound /au/ are:

out	cow	round	wow
ounce	howl	plough	now
oust	clown	house	how
outbid	gown	bounce	town

Examples of the words in phonemic transcription

1. bough	/bau/	6. hound	/haund/
2. bounds	/baundz/	7. town	/taun/
3. round	/raund/	8. sow	/sau/
4. drown	/draun/	9. drought	/draut/
5. house	/haus/	10. stout	/staut/

III. Glides ending in /ə/

Double vowel sounds ending with /ə/ are /eə/ , /uə/ , /ɪə/ .

Example:

Word	Sound in phonemic symbol

chair	/eə/
near	/ɪə/
tour	/uə/

1. Some examples of the double vowel sound /eə/ are:

various	chair	wear	care	their
there	airbag	pair	bear	bare
careless	airbase	rare	tear	heir

Examples of the words in phonemic transcription

1. bare = /beə/	5. bear = /beə/
2. dared = /beəd/	6. careful = /'keəfl/
3. mayor = /meə/	7. scarce = /skeəs/
4. pear = /pəu/	

2. Some examples of the double vowel sound /ɪə/ are:

zero	dear	idea	here
peer	indian	real	real
beard	deer	media	sphere
reel	clear	fear	period
weird	eardrum	hear	mere

Examples of the words in phonemic transcription

1. peers = /pɪəz/	6. tearful = /tɪəfl/
2. Gears = /gɪəz/	7. fearful = /fɪəfl/
3. pierce = /pɪəs/	8. fierce = /fɪəs/
4. dear = /dɪə/	9. deer = /dɪə/
5. weird = /wɪə/	10. here = /hɪə/

3. Some examples of the double vowel sound /uə/ are:

poor	tour	jury	manual
sure	purely	surely	actual
cure	moor	sour	furious

Examples of the words in phonemic transcription

1. poor = /puə/	5. tour = /tuə/
2. sewer = /sjʊə/	6. truer = /truə/
3. gourd = /guəd/	7. fewer = /fjuə/
4. viewer = /vjʊə/	

2.6.4 Tasks

TASK-8: Listen to the words and identify the diphthongs that you listen to.

1. float	/əʊ/	/aʊ/	2. doubt	/əʊ/	/aʊ/		
3. devour	/əʊ/	/aʊ/	4. loaf	/əʊ/	/aʊ/		
5. vowel	/əʊ/	/aʊ/	6. career	/eə/	/uə/	/ɪə/	
7. affair	/eə/	/uə/	/ɪə/	8. sewer	/eə/	/uə/	/ɪə/
9. severe	/eə/	/uə/	/ɪə/	10. stair	/eə/	/uə/	/ɪə/

Answers

1. float = /əʊ/	2. doubt = /aʊ/	3. devour = /aʊ/
4. loaf = /əʊ/	5. vowel = /aʊ/	6. career = /ɪə/
7. affair = /eə/	8. sewer = /uə/	9. severe = /ɪə/
10. stair = /eə/		

TASK-9: Transcribe the following words using the diphthongs phonemic symbols.

1. pane	_____	6. boat	_____

2. fate	_____	7. window	_____
3. fear	_____	8. crow	_____
4. near	_____	9. drought	_____
5. bear	_____	10. plate	_____

Answers

1. pane = /peɪn/	6. boat = /bəʊt/
2. fate = /feɪt/	7. window = /wɪndəʊ/
3. fear = /fɪə/	8. crow = /krəʊ/
4. near = /nɪə/	9. drought = /draʊt/
5. bear = /beə/	10. plate = /pleɪt/

2.7 CONSONANTS

A consonant is a speech sound produced by a partial or complete obstruction of the airstream which is influenced by tongue, lower jaw and upper jaw etc.

The consonants are b, c, d, f, g, h, j, k, l, m, n, p, q, r, s, t, v, w, x, y, z. The consonants in the table below are the consonant phonemes.

This list describes the consonant sounds of English.

Plosives		Examples
/p/	Voiceless	Pet, spill
/b/	Voiced	Bun, above
/t/	Voiceless	Talk, active
/d/	Voiced	Day, adopt
/k/	Voiceless	Keeper, speaker
/g/	Voiced	Goal, begin
Fricatives		Examples
/f/	Voiceless	fit, before
/v/	Voiced	Vow, avoid
/θ/	Voiceless	Thought, atheist
/ð/	Voiced	These, weather
/s/	Voiceless	Set, post
/z/	Voiced	Desert, reason
/ʃ/	Voiceless	Sheet, cash
/ʒ/	Voiced	Provision, occasion
/h/	Voiceless	Hay, behind

Affricates		Examples
/tʃ/	Voiceless	Chop, latch
/dʒ/	Voiced	Jew, jar
Nasals		Examples
/m/	Voiced	Man, calm
/n/	Voiced	Nose, banal
/ŋ/	Voiced	Ring, singing
Semi-vowels		Examples
/j/	Voiced	Yes, yesterday
/w/	Voiced	Wonder, widow
Lateral		Examples
/l/	Voiced	Live, calm
Frictionless continuant		Examples
/r/	Voiced–continuant	Ground, great

In IPA there are 24 symbols for consonant sounds. Most of them are the same those of the english alphabet; some of are different. Here in the following table, you can have a look at Telugu letters along with phonetics related symbols in order to understand easily.

Consonant Sounds

Examples

(phonetic symbols)

/p/ - ప	paper, pen, copy
/b/ - బ	back, job, baby
/t/ - త	tea, tight, temple
/d/ - డ & f	day, ladder, die
/k/ - క & ఖ	key, clock, school
/g/ - గ & ఙ	get, ghost, good
/tʃ/ - చ & ఛ	church, match, nature
/dʒ/ - జ & ఞ	judge, age, large
/f/ - ఫ & భ	fat, photo, rough
/v/ - వ & భ	view, live, visit
/θ/ - థ & ఌ	path, smooth, author

/ð/ - <ð>	this, other, bathe
/s/- dð	soon, sister, sun
/ʃ/ -wð	ship, sure, national
/ʒ/ - È	pleasure, music, vision
/h/- Vð²	hot, heavy, behave
/m/- eT	more, move, sum
/n/-q	nice, novel, no
/ŋ/ -+>´	ring, thanks, hang
/l/- \	light, laugh, tale
/r/- sÁ	right, run, rain
/j/- jáT	yet, few, beauty, use
/w/- e	wet, when, one
/z/- È	zoo, buzz, lose

- I. Plosives:** Plosives denotes a consonant that is produced by stopping the airflow using the lips, teeth, or palate, followed by a sudden release of air. The basic plosives in English are t, k, and p (voiceless) and d, g, and b (voiced). Plosives are made by fully blocking the flow of air as it leaves the mouth.

Sound is produced when the blocked air is released in an explosion.

There are 6 plosive sounds in English: /p/, /b/, /t/, /d/, /k/, /g/.

Example:

Word	Sound in phonemic symbol
pet	/p/
ribbons	/b/
right	/t/
dog	/d/
carefully	/k/
grand	/g/

TASK-10: With the help of the phonemic symbol and word, write words on your own with the sounds in the initial, medium and final positions.

1. pain /p/ _____	2. bane /b/ _____
3. taint /t/ _____	4. dane /d/ _____
5. cane /k/ _____	6. gain /g/ _____

Answers

1. people, appear, gap	2. book, about, mob	3. tough, attack, mat
4. dance, advance, mad	5. keep, account, mock	6. good, again, fog

TASK-11: Identify the sounds that are different in the given words and write the phonemic symbols.

words	symbol
1. pill, bill	_____
2. ton, done	_____
3. played, blade	_____
4. hit, hid	_____
5. cane, gain	_____

Answers

1. pill, bill = /p/, /b/	2. ton, done = /t/, /d/	3. played, blade = /p/, /b/
4. hit, hid = /t/, /d/	5. cane, gain = /k/, /g/.	

2. Affricates: The English affricates, the 'ch sound' /tʃ/ and 'j sound' /dʒ/ are two-part consonant sounds. They begin by fully stopping the air from leaving the vocal tract, then releasing it through a constricted opening.

The International Phonetic Alphabet symbols nicely show that /tʃ/ begins similar to a /t/ and is released similar to an 'sh sound' /ʃ/. The corresponding /dʒ/ begins similar to a /d/ and is released similar to a 'zh sound' /ʒ/.

Example:

Word	Sound in phonemic symbol
chair	/tʃ/
jar	/dʒ/

3. Fricatives: Fricative, in phonetics, a consonant sound, such as English f or v, produced by bringing the mouth into position to block the passage of the airstream, but not making complete closure, so that air moving through the mouth generates audible friction.

The nine english fricatives sounds are:

i. v sound /v/	ii. f sound /f/
iii. voiced th sound /ð/	iv. unvoiced th sound /θ/
v. z sound /z/	vi. s sound /s/
vii. zh sound /ʒ/	viii. sh sound /ʃ/
ix. h sound /h/	

Example:

Word	Sound in phonemic symbol
fit, offer, laugh	/f/
vain	/v/
thin	/θ/
that, teethe	/ð/
see, loss, scene, fancy	/s/
zeal, leaves, dazzle	/z/
shell, machine, sure, assure	/ʃ/
revision, decision, measure	/ʒ/
hat, whose	/h/

TASK-12: With the help of the phonemic symbol and word, write words on your own.

1. feel /f/ _____	2. very /v/ _____
3. wealth /θ/ _____	4. these /ð/ _____
5. seven /s/ _____	6. zebra /z/ _____
7. sharp /ʃ/ _____	8. visual /ʒ/ _____
9. house /h/ _____	

Answers

1. roof, fail, soft	2. love, prevent, alive, vanilla
3. thin, ethics, lengthy, month	4. that, either, bathe, although
5. see, loss, sixths, splash	6. zinc, graze, erase
7. sure, assure, special	8. usual, pleasure, seizure
9. whose, perhaps, herbal	

TASK-13: Identify the sounds that are different in the given words and write the phonemic symbols.

words	symbol
1. few, view	_____
2. thigh, thy	_____
3. seal, zeal	_____
4. ether, either	_____
5. composer, composure	_____
6. niece, knees	_____
7. fission, vision	_____
8. pressure, pleasure	_____

Answers

1. /f/, /v/	2. /θ/ , /ð/	3. /s/, /z/	4. /θ/ , /ð/
5. /z/, /ʒ/	6. /s/, /z/	7. /ʃ/ , /ʒ/	8. /ʃ/ , /ʒ/

4. Nasals: Nasal, in phonetics, speech sound in which the airstream passes through the nose as a result of the lowering of the soft palate at the back of the mouth. In the case of nasal consonants, such as English m, n, and ng (the final sound in “sing”), the mouth is occluded at some point by the lips or tongue and the airstream is expelled entirely through the nose. Sounds in which the airstream is expelled partly through the nose and partly through the mouth are classified as nasalized.

There are three nasal sounds in American English pronunciation: the 'm sound' /m/, 'n sound' /n/, and 'ng sound' /ŋ/ .

Example

Word	Sound in phonemic symbol
mad, summer, autumn	/m/
run, sign, knit	/n/
thing, think	/ŋ/

TASK-14: With the help of the phonemic symbol and word, write words on your own.

1. mother /m/	_____
2. knit /n/	_____
3. finger /ŋ/	_____

Answers

1. mad, climb, smashed, prism
2. needle, annual, melon
3. angry, long, amongst.

TASK-15: Listen to the words and identify the sounds.

1. master	_____	2. longer	_____
3. neighbour	_____	4. broom	_____
5. annoy	_____		

Answers

1. /m/
 2. /ŋ/
 3. /n/
 4. /m/
 5. /n/
5. **Laterals:** Laterals in phonetics, speech sound pronounced with partial closure of the air passage by the tongue, which is so placed as to allow the breath to flow on one or both sides of the point of contact.

One English consonant /l/ is formed laterally, that is instead of the breath passing down the centre of the mouth, it passes round the sides of an obstruction set up in the center.

Example

Word	Sound in phonemic symbol
let	/l/
hill	/l/

TASK-16: Write words with the sound /l/ in the initial, medium and final positions.

1. lake	/l/	_____	2. leap	/l/	_____
3. leaning	/l/	_____	4. lesson	/l/	_____
5. learn	/l/	_____			

Answers

1. leaf, fellow, all
2. laugh, plural, dimple
3. letter, foolish, kettle
4. late, holiday, tool
5. like, believe, sell

6. Friction-less continuant

/r/ is called a frictionless continuant. The /r/ sound involves moving your tongue close to the alveolar ridge (without touching it).

Example

Word	Sound in phonemic symbol
room	/r/
arrive	/r/

7. Approximants/Semivowels

They are vowel-like consonant sounds because we don't block the airflow fully.

The /j/ sound is similar in position to the vowel sound /i:/.

The /w/ sound is similar in position to the vowel sound /u:/, air is partly blocked at the back of the mouth and with the lips.

Example:

Word	Sound in phonemic symbol
yet, unit, onion	/j/
new, feud, argue, suit	/j/
west, which	/w/

TASK-23: Write words with the sound /j/, /w/ in the initial, medium and final positions.

1. room /r/ _____	2. yet /j/ _____
3. wise /w/ _____	4. unique /j/ _____
5. reply /r/ _____	

Answers

1. reach, arrive, injury	2. yoke, yes, yesterday
3. wine, aware, swallow	4. university, beauty, unique
5. radio, sorry, career.	

TASK-17: Listen to the words and identify the sounds.

1. variety _____	6. equality _____
2. winter _____	7. view _____
3. yacht _____	8. resent _____
4. equal _____	9. swimmer _____
5. curious _____	10. beautiful _____

Answers

1. /r/	2. /w/	3. /j/	4. /w/	5. /j/
6. /w/	7. /j/	8. /r/	9. /w/	10. /j/

2.7.1 Double Consonant Letters

Double consonants are frequently found in words that have a suffix added to them.

Ex: I dropped the heavy bags to the floor.

When adding certain endings such as -ed, -ing, -er, and -est to words, we sometimes double consonants.

All double consonant letters are pronounced as single consonant sounds except 'cc'. For example

1. acclaim = pronounced as /k/	2. occur = pronounced as /k/
3. accent = pronounced as /ks/	4. accept = pronounced as /ks/
5. accord = pronounced as /k/	

Others

1. fall as /l/	2. balloon as /l/ & /u:/
3. better as /t/	4. sunny as /n/

Thus, we observe that the **double c** is pronounced as /k/ in some cases and in others as /ks/. All other double consonant letter are pronounced as single consonant sounds.

Transcription of words with 'ed', 'd' endings

To form the past simple and past participle of regular verbs we add -ed:

Example

play ----played

work----- worked

start ----- started

Sound	Example	Pronunciation
/t/	worked	't' sound
/d/	played	'd' sound
/id/	started	'id' sound

1. It is pronounced /ɪd/ after /t/, /d/

a. painted = /peɪtɪd/	b. landed = /ləndɪd/
c. hated = /heɪtɪd/	d. headed = /hedɪd/

2. It is pronounced /t/ after consonants /p, k, tʃ, f, s, ʃ, θ .

a. looked = /lʊkt/	b. laughed = /lɑːft/
c. pushed = /puʃt/	d. matched = /mætʃt/

3. It is pronounced /d/ after all vowels and remaining consonants.

a. clubbed = /klʌbd/	b. logged = /lɒgd/
c. planned = /plænd/	d. called = /kɔːld/
e. prayed = /preɪd/	

Transcription of words with ‘s’, ‘es’ endings
1. It is pronounced /ɪz/ after /s, z, ʃ, ʒ, dʒ/

a. horses = /hɔːsɪz/	b. crosses = /krɒsɪz/
c. roses = /rəʊzɪz/	d. benches = /bentʃɪz/

2. It is pronounced /s/ after consonants /p, t, k, f, θ /

a. books = /bʊks/	b. cats = /kæts/
c. fits = /fɪts/	d. shops = /ʃɒps/

3. It is pronounced /z/ after all vowels and remaining consonants except.

a. boys = /bɔɪz/	b. girls = /gɜːlz/
c. bags = /bægz/	d. loves = /lʌvz/

Consonant Letters with more than one Sound

- i. “C” followed by “e, i or y” usually has the soft sound “s”.

Examples: “cyst”, “central”, and “city”.

- ii. “C” followed by “a, o or u” usually has the hard sound /k/.

Examples: can, cube, cone, cane.

- iii. “G” followed by “e, i or y” usually has the soft sound /d/ (“j”).

Examples: “gem”, “gym”, and “gist”.

Exceptions: give, gill, get, geyser, girl

iv. “G” followed by “a, o or u” usually has the hard sound /g/.

Examples: ‘good’, ‘gas’, ‘got’, ‘gun’, ‘gave’

v. **The alphabet ‘s’ is pronounced**

/s/ in sight

/z/ in rise

2.7.2 Tasks

TASK-18: Read the following words, paying attention to the consonant sounds represented by the highlighted letter(s). For each item, write down three words that have the consonant sound represented by the highlighted letter(s).

a. pencil	_____	_____	_____
b. ache	_____	_____	_____
c. book	_____	_____	_____
d. pray	_____	_____	_____
e. twice	_____	_____	_____
f. earth	_____	_____	_____
g. noisy	_____	_____	_____
h. tomato	_____	_____	_____
i. breathe	_____	_____	_____
j. ugly	_____	_____	_____

Answers

a. pencil	pet	appoint	cap
b. ache	cat	acquire	check
c. book	bat	about	lab
d. pray	rose	arise	super
e. twice	water	flower	cow
f. earth	thanks	mother	faith
g. noisy	sink	assignment	bus
h. tomato	mango	common	palm
i. breathe	thumb	mathematics	depth
j. ugly	loyal	english	silly

TASK-19: Underline the letter(s) which correspond to the phonetic symbols given alongside the words below.

/θ/	<u>thumb</u>	/ʃ/	press <u>ure</u>
/ŋ/	br <u>ing</u>	/ʒ/	treas <u>ure</u>
/m/	pl <u>um</u> ber	/g/	beggar
/n/	<u>knee</u>	/r/	<u>rhyme</u>
/z/	reas <u>on</u>	/dʒ/	lang <u>u</u> age
/k/	pock <u>e</u> t	/tʃ/	cat <u>ch</u>
/ʒ/	divis <u>ion</u>	/j/	new
/ð/	weath <u>er</u>		

TASK-20: Transcribe the following words using the phonemic symbols of both consonants and vowels you have learnt.

1. each	_____	6. than	_____
2. cable	_____	7. cycle	_____
3. thank	_____	8. style	_____
4. check	_____	9. though	_____
5. university	_____	10. treasure	_____

Answers

1. /i:tʃ/	6. /ðæn/
2. /keɪbl/	7. /saɪkl/
3. /θæŋk/	8. /stɑɪl/
4. /tʃek/	9. /ðeu/
5. /ju:nɪvɜ:sɪti/	10. /treʒə/

TASK-21: From the given transcription write down the words in ordinary spelling:

1. /dʒu:t/	6. /kwɔ:rə/
2. /blu:/	7. /rɪzʌlt/
3. mʌðə/	8. /θɜ:zdeɪ/
4. /si:z/	9. /ʃɜ:t/
5. /dʒest/	10. /sɔ:/

Answers

1. jute	2. blue	3. mother	4. seize	5. jest
6. quarrel	7. result	8. thursday	9. shirt	10. saw

TASK-22: Transcribe the following words using the phonemic symbols you have learnt.

1. seized	_____	6. weaves	_____
2. licked	_____	7. legs	_____
3. coiled	_____	8. leaves	_____
4. batted	_____	9. walks	_____
5. chicks	_____	10. bushes	_____

Answers

1. seized = /si:zd/	6. weaves = /wi:vz/
2. licked = /lɪkt/	7. legs = /legz/
3. coiled = /kɔɪld/	8. leaves = /li:vz/
4. batted = /bætɪd/	9. walks = /wɜ:ks/
5. chicks = /tʃɪks/	10. bushes = /bʊʃɪz/

2.8 WORD ACCENT

Accent is the music of language. Pronunciation of individual words and the manner in which words glide one into the other, in addition to intonation patterns, determine the accent of a language. A single language can therefore have varied accents. English, for instance, can be spoken the British way, the American way, the Indian way, the Canadian way and the Australian way.

With the basic knowledge of a language, it is possible to learn a new accent in two ways: one can learn it either by just listening and imitating or by studying the accent in a systematic way.

Phonetics and its role in Accent

Phonetics is the systematic study of speech sounds. Every language has its own speech sounds. Phonetics is a branch of Linguistics and it deals with the medium of speech like production, transmission and reception of the sounds of human speech.

Languages like English and French are non- phonetic. By this, we mean that there isn't always a one-to-one correspondence between the letters of English alphabet and the sounds of the language.

For example, cat, c is usually pronounced like “k” as in pinyin “kan”.

sun, s is often pronounced like “s” as in pinyin “sun”.

It is therefore important to learn phonetics properly to become perfect in our pronunciation. The way Indians articulate certain sounds differs largely from the way that of the Americans do.

In Accent, one can listen natural pronunciation and observe lip movement. Accent is an important feature of Spoken English.

A word in English has one or more syllables. In each syllable, vowel is prominent which pushes the air out of the lungs. Vowels generally take the central position in syllables and consonants take the marginal positions.

2.8.1 Importance of Stress

The accent is the stress placed in varying degrees upon the vowel sounds in syllables. A word consists of one or more syllables. Every syllable usually has a vowel sound, but it may or may not have a consonant sound on either side of it.

In any word, if the syllables are more than one, only one syllable is prominent or louder than the rest of the syllables. One syllable occasionally, stands out and is said to be accented or carrying the primary stress.

Example

Ex-1: Consider the word 'tea' - has one vowel sound. It is a mono syllabic word, then it is not stressed in isolation.

Ex-2: Consider the word 'beggar' - has two syllables, beg-gar is a bisyllabic word with stress on the first syllable. So, the syllable 'beg' is spoken with greater stress than 'gar'.

Ex-3: Consider the word 'humanist' - has three syllables, hu-ma-nist is a trisyllabic word with stress on the first syllable 'hu'.

Consider the word 'gi-gan-tic'.

When it is pronounced in the way it should be, the syllable **gan** is heard with more force than the other two syllables. We use vertical line on the prominent syllable- gi-'gan - tic. This is called stressed syllable.

Since English has words with one, two, three, four and more syllables, this stress may be on any one of them.

2.8.2 Aspects of Word Stress

The first aspect of word stress is that stress in English is quite often irregular and unpredictable in which the syllables are stressed in words with two or more than two syllables. It is often difficult to say which syllable is the loudest or which receives the primary stress.

In a word like a e-du-ca-tion, there are four syllables. All the four are not said with the same energy. Only one syllable is made prominent. In this word, only /ke/ is stressed. In English there may be words with one syllable, two syllables, three syllables, and more. The stress may be on any syllable. The stress may be either on the first, second, third syllable or on any other syllable.

I. Stress in Disyllabic Words

Some disyllabic words such as 'always , 'battle are stressed on the first syllable, while other disyllabic words such as ad'vance , con'tain , have the main stress on the second syllable.

Examples of two syllable words with the primary stress on the first syllable

'Action	'EAger	'INstant
'Able	'EARly	'JEWel
'Body	'FOreign	'KITchen
'BEGgar	'GESure	'KIDnap
'CAREful	'GOLden	'MAxim
'DIFFerent	'HARvest	'HUSband
'MESsage	'DOCtor	'IMPulse

Examples of two syllable words with the primary stress on the second syllable

a'bove	con'trol	re'mind
a'bout	de'ceive	pre'vent
a'cross	de'fend	gi'raffe
be'tween	ne'glect	trans'late
be'yond	ob'tain	
con'fess	oc'cur	
con'firm	re'late	

II. Stress in Trisyllabic Words

There are trisyllabic words like ' interval, 'legacy which are stressed on the first syllable, but in other trisyllabic words like de'clare , en'tire , ma'chine, stress is placed on the second syllable and in words like under'stand , disap'pear , stress is placed on the third syllable.

Examples of tri syllable words with the primary stress on the first syllable

'advertise	'industry
'agency	'instrument

'capital	'legislate
'delicate	'manifest
'eagerly	'natural
'excellent	'obstinate

Examples of tri syllable words with the primary stress on the second syllable

a'bolish
be'haviour
com'munize
ef'fective
e'lectric

Examples of tri syllable words with the primary stress on the third syllable

addres'see	employ'ee	person'nel
ciga'rette	intro'vert	under'stand
coin'cide	intro'duce	volun'teer
devo'tee	recom'mend	seven'teen

2.8.3 Rules of Word Stress

There are **English Accent Rules** which are important to understand and apply in pronunciation and spell English words accordingly. In English, word stress is not fixed on a particular syllable. It can be first syllable, second, third and so on. But for some word endings there are certain rules of word stress.

1. **Accent Rule-1:** Each word with two or more syllables has one syllable whose vowel is accented. For example, for-g'et . Accents are very important to spelling rules. Accented means that the sound of that vowel is stressed, or louder, than those in other syllables.
2. **Accent Rule-2:** A long word may have more than one accent. The vowel that is stressed more or most is called the primary accent. The primary accent is key to many of the spelling rules. A second accented vowel is called the secondary accent. For example, c'on-ver-s'a-tion . Very long words can have even more stressed vowel sounds, but only one primary accent.
3. **Accent Rule-3:** The primary accent is usually on the root before a double consonant. For example, for-gét-ting.

4. **Accent Rule-4:** Unaccented vowel sounds frequently have the soft /uh/ schwa sound, especially when there is only one letter in the syllable. All vowels can have the schwa sound. For example, the a in a-bo'ut .
5. **Accent Rule-5:** The primary accent is usually on the first syllable in two-syllable words. For example, p'ay-ment .
6. **Accent Rule-6:** The primary accent is usually on the second syllable of two-syllable words that have a prefix in the first syllable and a root in the second syllable. For example, dis-tr'act .
7. **Accent Rule-7:** For two-syllable words that act as both nouns and verbs, the primary accent is usually on the prefix (first syllable) of the noun and on the root (second syllable) of the verb. For example, prô-duce as a noun; pro-d'uce as a verb.
8. **Accent Rule -8:** The primary accent is usually on the first syllable in three-syllable words, if that syllable is a root. For example, ch'ar-ac-ter .
9. **Accent Rule-9:** The primary accent is usually on the second syllable in three-syllable words that are formed by a prefix-root-suffix. For example, in-v'est-ment .
10. **Accent Rule-10:** The primary accent is usually on the second syllable in four-syllable words. For example, in-t'el-li-gent .

Apart from the above, we can have close look at the following rules:

Rule-1: The syllable having /ə/ vowel sound is usually unstressed.

Examples

a. 'Bro-ther	b. Po-'lice	c. A-'bout

Rule-2: When longer words are made from words, the accent tends to shift from Ist syllable to the second and so on. The third aspect of word stress is that there is a shift in the stresses syllable when some suffixes are added to the same word.

Examples

a. 'po-li-tics	po-'li-ti-cal	po-li-'ti-cian
b. 'pho-to-graph	pho-'to-gra-phy	pho-to-'gra-phic
c. 'hy-po-crite	hy-'po-cri-sy	hy-po-'cri-ti-cal
d. a'cademy	aca'demic	acade'mician

Rule-3: Most words ending in -self, -ee, -eer, -ette and -ique take the stress on the last syllable.

-self my'self , your'self , him'self , her'self

-ee absen'tee , refe'ree , lichen'see , devo'tee

- eer** volun'teer , ca'reer , auctio'neer , pio'neer
- ette** kitche'nette , ga'zette , geor'gette , ciga'rettee
- ique** an'tique , cri'tique , u'nique , o'blique

Rule-4: Words having the following suffixes are stressed on the syllable preceding i.e. second syllable from the end.

Suffix	Example
-ia	'ma-nia, 'm-edia
-id	'can-did, 'ac-id
-im	'de-nim, 'max-im
-ic; -ics	'pub-lic, 'lo-gic
-iac	'ma-niac, car-diac
-ial	'so-cial, con-fi-'den-tial
-ian	'In-dian, co-'me-dian
-iance	'bril-liance, 'ra-diance
-ual	'u-sual, in-di-'vi-dual
-ture	'pic-ture, 'tor-ture
-sure	ex-'po-sure, 'clo-sure
-ental	fun-da-men-tal, ac-ci-'den-tal
-ient	de-'fi-cient, ex-'pe-dient
-ier	'car-rier, 'fron-tier
-ion	va-'ca-tion, af-'fec-tion
-ious /eous	de-'li-cious, cou-'ra-geous
-ium	'cal-cium, 'pre-mium
-tor	'sculp-tor, 'doc-tor
-ience	'au-dience, o-'be-dience

Rule-5: Words having the following suffixes are stressed on the syllable just before the suffix i.e. third syllable counted from the last as the suffix has 2 syllables.

Suffix	Example
-ary	'pri-ma-ry, 'con-tra-ry
-eau	'bu-re-au, 'pla-te-au

-icle	'ar-ti-cle, 'par-ti-cle
-era	'cho-le-ra, 'ca-me-ra
-erie	're-ve-rie
-ery	'bra-ve-ry, 'art-er-y
-ical	e-co-'no-mi-cal, his-'to-ri-cal
-itive	pro-'hi-bi-tive, com-'pe-ti-tive
-logy	psy-'cho-lo-gy, phy-si-'o-lo-gy
-tory	'vic-to-ry, 'his-to-ry
-inal	o-'ri-gi-nal, me-'di-ci-nal
-iture	ex-'pen-di-ture, 'fur-ni-ture
-ity	pe-cu-'lia-ri-ty, ca-'pa-ci-ty
-itive	pro-'hi-bi-tive
-sory	com-'pul-so-ry
-cracy	de-'mo-cra-cy
-graphy	ge-'o-gra-phy
-gamy	'bi-ga-my
-nomy	as-'tro-no-my
-gyny	mi-'so-gy-ny
-metry	tri-go-'no-me-try
-scopy	ra-di-'o-sco-py
-phony	'eu-pho-ny
-sophy	phi-'lo-so-phy

Rule-6: The words having the following suffixes are stressed on the last syllable i.e. the syllable containing the suffix.

Suffix	Example
-aire	que-stion-'naire
-eer	en-gi-'neer
-ier	bri-ga-'dier
-ee	em-ploy-'ee
-ate	trans-'late, re-'late, cul-ti-'vate

Note: As we have seen in the above given examples, stress is affected by a change in the suffix. But there are some suffixes which do not affect stress. Some of them are -age, -ance, -en, -ess, -er.

-age	'parent , 'parentage
-ance	'clear , 'clearance
-en	'gold , 'golden
-ess	'host , 'hostess
-er	'teach , 'teacher

2.8.4 Stress Shift According to Function

Another aspect of word stress is the shift in stress in a number of disyllabic words, depending on whether the words are used as nouns, as adjectives or as verbs. If it is used as a noun or an adjective, the stress is on the first syllable. If the same word is used as a verb, the stress is on the second syllable.

Noun/Adj	Verb
'absent(adj)	ab'sent
'conduct(n)	con'duct
'confines(n)	con'fines
'dilute(adj)	di'lute
'desert(n)	de'sert
'exploits(n)	ex'ploits
'frequent(adj)	fre'quent

2.8.5 Stress in Compound Words

Compound words are made up of two words written as one word with or without hyphen. In a compound word, consisting of a combination of two words, the primary stress is generally on the first word.

Examples of primary stress on the first word

a. 'notebook	b. 'blackboard	c. 'bookcase
d. 'raincoat	e. 'cardboard	

Examples of primary stress on the second word

a. part'time	b. four'wheeler	c. middle'class
d. north'east	e. loud'speaker	

1. Compound words with fore, up, under and out as the first element are stressed as follows:

- (a) If the second element is a noun then the accent is on the first element.
a. 'forenoon b. 'upward c. 'underclothes d. 'outdoor
- (b) If the second element is a verb then the accent is on the second element.
a. fore'see b. up'hold c. under'take d. out'look

2. Compound words having here, there, where, over and self as the first element, irrespective of the status of the second element (i.e., whether it is a noun or a verb) have the accent on the second element.

- (a) i. here'in ii. here'to iii. here'with iv. here'by
- (b) i. there'after ii. there'in iii. there'of iv. thereu'pon
- (c) i. where'as ii. where'by iii. where'in iv. where'ever
- (d) i. over'whelm ii. over'flow iii. over'hear iv. over'night

2.9 TASKS

TASK-24: Listen to the following words and mark the syllable which receives the primary stress.

- a. academy b. academic c. academician
- d. advertise e. advertisement f. responsible g. responsibility

Answers

- a. a'cademy b. aca'demic c. acade'mician
- d. 'advertise e. ad'vertisement f. re'sponsible g. responsi'bility

TASK-25: Listen to the following compound words and identify the part on which the stress falls.

- a. second-hand b. bedtime c. typewriter
- d. airport e. salesman f. greenhouse
- g. short-sighted h. postgraduate i. teacup j. vicechancellor

Answers

- a. second-'hand b. 'bedtime c. 'typewriter
- d. 'airport e. 'salesman f. 'greenhouse
- g. short-'sighted h. post-'graduate i. 'teacup j. vice-'chancellor

TASK-26: Using the rules of words stress, mark the primary accent in the following groups of words and pronounce them correctly.

- a. conjunction, dissection, congratulations, vacation, participation, comprehension
- b. pathetic, sympathetic, grammatical, historically, characteristic, radical
- c. ambitious, luxuriant, industrial, casual, commercial, conscious
- d. unique, japanese, convalesce, incidental, zoology, plutocracy
- e. kingdom, clearance, brotherhood, wonderful, laziness, employment.

Answers

- a. con'junction, dis'section, congratu'lations, va'cation , partici'pation, compre'hension
- b. pa'thetic ,sympa'thetic, gram'matical, hi'storically, character'istic, 'radical
- c. am'bitious ,lux'uriant, in'dustrial, 'casual, com'mercial, 'conscious
- d. u'nique , japan'ese , conva'lesce, inci'dental, zo'o'logy, plu'tocracy
- e. 'kingdom, 'clearance, 'brotherhood, 'wonderful, 'laziness, em'ployment

2.10 ACCENT/STRESS AND RHYTHM IN CONNECTED SPEECH

When words are combined into sentences, some of the syllables receive greater prominence. When we listen to someone speaking, we can notice variation in the voice of the speaker. We need to determine the words that are normally to be stressed in a sentence.

Connected speech: We have seen that every word of two or more syllables, when said individual, has a stress on one of its syllables.

This is called word-stress. But in connected speech we do not hear a stress on every word. Some words lose their stresses, especially when we talk quickly, other words keep their stresses and these stressed syllables form what is called **sentence stress**.

In connected speech we put words together to form sentences.

For example, 'Mary and 'John 'went to the 'states is a sentence.

When we put words together to form sentences in English, In a sentence (or in a longer piece of connected speech) we stress some of the words and leave the others unstressed.

In the sentence “ 'Mary and 'John 'went to the 'states ” we stress only the word 'Mary , 'John , 'went , 'states and leave the other words unstressed.

Words which are usually stressed in English speech belong to **content words**. Namely, nouns, adjectives, numerals, notional verbs, adverbs, demonstrative, interrogative, indefinite pronouns and possessive pronouns functioning as nouns.

The words that are usually unstressed in English speech are **form words or structure words** namely, pronouns, auxiliary and modal verbs, verb to be, monosyllabic prepositions, monosyllabic conjunctions, articles and prepositions.

Examples

A few examples are given below, in which only the content words are stressed and the grammatical words are left unstressed.

- a. I 'gave him 'ten 'books.
- b. I 'love to 'live in 'Delhi.
- c. My 'son is a 'good 'driver.
- d. We have a 'grey 'cat in our 'house.

In the above examples, most of the content words are **monosyllabic**. If a content word that has more than one syllable occurs in a piece of connected speech, we stress only that syllable in it which we stress if we were to say the word by itself.

A few examples are given below in which the content words have **more than one syllable each**.

- a. Do you re'quire any as'sistance?
- b. To'morrow is a 'holiday'.
- c. I will 'never for' get you.

2.10.1 Rhythm in Connected Speech

English is a stress timed language, it is said to be having a stress-timed rhythm. Rhythm refers to the recurrence of an event at regular periods of time. The rhythm of English speech depends on the stressed syllables occurring at regular intervals of time by the alternation of stressed and unstressed syllables.

Example

Ex-1: Consider the following sentence:

'Go and 'post this 'card.

In the above sentence there is one stressed syllable, then one unstressed syllable, and then one stressed syllable, and so on and therefore it is easy for the speaker to speak in such a way that the stressed syllables occur at regular intervals of time.

Ex-2: Consider the following sentence:

My 'friend has ar'anged for my re'turn trip

There are four stressed syllables. The first two stressed syllables have two unstressed syllables between them, the next two have three and the last two have none.

The time taken to pronounce a stressed syllable is approximately same as the time taken for the pronunciation of the following unstressed syllable. This stressing of some syllables and weakening of some syllables brings in the quality of the rhythm. This is very important feature of English connected speech and if it is neglected, the characteristic rhythm of the language is lost. To make the speech sound natural and fluent and to achieve the regularity of occurrence of stressed and unstressed syllables, we use the weak forms and contracted forms to maintain the rhythm of the language.

2.10.2 Strong/Weak Forms and Contracted Forms

Strong and Weak Forms

The structure of the form words or the structure words have two forms. The words which are spoken forcefully are called **Strong words**, pronounced when the words are uttered individually or when they are stressed in a given context.

The words that are spoken with a very low tone are called **Weak words**, that are unstressed and hence reduced when these words are uttered in connected speech.

For Example: I have **found** my **CD**.

In the above example, the words in bold are called the strong words, the words which underlined are called weak words.

The **strong words** are usually the nouns, main verbs, adjectives, adverbs. These words are always spoken loudly with stress while speaking. These words are important for conveying the meaning of the sentence.

The words that are spoken without stress, in a low voice are **weak words**. These are usually the pronouns other than the demonstrative and interrogative, prepositions, helping or auxiliary verbs, articles and conjunctions.

Some of the strong and weak forms of words are given below:

Word	Strong form	Weak form
Articles		
a	/eɪ/	/ə/
an	/æn/	/ən/
the	/ði:/	/ðɪ/

Auxiliary verbs

am	/æm/	/əm/
are	/a:/	/ə/
is		
was	/wɜz/	/wɔz/
were	/wɜ:/	/wə/
will	/wɪl/	/l/
would	/wud/	/wəd/
can	/kæn/	/kən/
does	/dʌz/	/dɔz/
had	/had/	/həd/
has	/hæz/	/həz/
have	/hæv/	/həv/
shall	/ʃæl/	/ʃəl/

Prepositions

at	/æt/	/ət/
for	/fɔ:/	/fɒ/
from	/frɔ:m/	/frɒm/
to	/tu:/	/tə/
of	ɒv/	/əv/

Conjunctions

and	/ænd/	/ənd/
as	/æz/	/ɔz/
than	/ðæn/	/ðən/
that	/ðæt/	/ðət/

Pronouns

he	/hi:/	/hɪ/
him	/hɪm/	/ɪm/
his	/hɪz/	/ɪz/
me	/mi:/	/mɪ/
she	/ʃi:/	/ʃɪ/

her	/hɜ:/	/hə/
them	/ðem/	/ðəm/
some	/sʌm/	/ʃəm/
you	/ju:/	/ju/

Contracted Words: The words that are shortened or contracted are called the contracted words.

For Example

- a. He'll come at nine b. I've found my book.

In the above example, the words that are underlined are called the contracted words. “I’ve” is the contracted form of ‘I have’ and “He’ll” is the contracted form of ‘He will’. The contracted words are also another type of weak form words.

They are severely reduced forms of some auxiliary verbs, such as is, am, are, have, has, had, will, shall, would are attached to the preceding noun or pronoun.

Example

- a. He is - He's b. They are - they're
c. we have - we've d. I would - I'd

Look at the contracted forms given below:

Personal pronoun	Contraction
I	I'm
You	you're
He	he's
She	she's
It	it's
We	we're
They	they're

We would/should/had	we'd
They are	they're
They have	they've
They will	they'll
They would/should/had	they'd
He is/has	he's
He will	he'll
He would/had/should	he'd
She is/has	she's
She will	she'll
She would/should/had	she'd
It is/has	it's
It will	it'll
It would/should/had	it'd

Negative Contractions

does + not - doesn't
 has + not - hasn't
 can + not - can't
 would + not - wouldn't
 should + not - shouldn't
 will + not - won't
 do + not - don't

2.11 TASKS

TASK-27: Mark the stressed syllables in the following sentences. Say the sentences with the correct stress patterns.

1. He's a good painter.
2. Jack and Jill went to get some water.
3. I'm afraid I'm very late today.
4. The plane to London is delayed by two hours.
5. He's extremely honest.
6. He's a Professor of Physics

7. My neighbour has an imported car.	8. I worked in the States for two years.
9. She has a very pleasant personality,	10. Can you get me a cup of tea?

Answers

1. He's a 'good 'painter.	2. 'Sam and 'Ram 'went to 'get some 'water.
3. I'm a'fraid I'm 'very 'late to'day.	
4. The plane to 'London is de'layed by 'two hours.	
5. He is extremely 'honest.	6. He is a pro'fessor of 'Physics.
7. My 'neighbour has an im'ported 'car.	8. I 'worked in the 'States for 'two 'years.
9. She has a 'very 'pleasant perso'nality.	10. Can you 'get me a 'cup of 'tea?

TASK-28: Write the following sentences in phonemic transcription using the appropriate weak forms and read them aloud.

- I thought it was silly.
- It's not what I asked you for.
- Turn to the right at the end of the street.
- It's very kind of you to come.
- An apple a day keeps the doctor away.

Answers

1. /aɪ 'θʌ:t ɪt wəz 'sɪli/	2. /ɪts 'nɒt wɒt aɪ 'a:skt ju fɔ:/
3. /hɪ 'dʌznt 'wɒnt tə 'si: ðəm/	4. /ɪts 'veri 'kaɪnd əvju tə 'kʌm/
5. /ən 'æpl ə'deɪ 'ki:ps ðə 'dɒktər ə'weɪ/	

2.12 INTONATION

Intonation is the word used to describe the way in which the voice rises or falls is spoken English. It is very important in speech. The rise and fall of the voice while speaking is called Intonation.

Intonation is defined as “speech melody consisting of different tones”. An intonation is a melody that belongs to an entire sentence. Intonation plays an important role in the spoken language. Different intonation patterns are used to send out signals to express different attitudes that may “colour” a message.

Without intonation, our voices are flat and monotone. Without intonation, one cannot understand the speaker's feelings as well the speaker's attitudes.

For Example: Are they really happy? or Are they very angry?

Is there something exciting happening or perhaps a surprise of some sort? Thus, the person confident in what they think or say, or are they unsure of what they are thinking or saying?

Intonation is about how we say things, rather than what we say, the way the voice rises and falls when speaking, that is why, it is the music of the language.

2.12.1 Objective Factors

Few things must be kept in mind during a conversation:

a. Pitch

While some people naturally have higher voices than others. Women tend to speak in a high pitch voice than men. We convey emotions through our pitch of voice.

b. Pace

This is how fast and slow the speech is. While rapid speech may indicate that the speaker is nervous or excited, a steady pace shows confidence. It reflects a topic of a more serious nature.

c. Power

This refers to where you place the stress in a sentence, and can change the meaning of your speech almost entirely. For example, take a sentence “I didn’t say your behaviour was bad!”. Depending on where you place the stress in this sentence, you can elicit an entirely different response. The rate at which work is done is called power. One can practically name it by the way of utterance.

d. Tone

Tone is the easiest giveaway when it comes to emotion. We often think of vocal tones as being warm or cold. For example, the phrase “see you later” spoken in a warm tone implies excitement at the impending reunion, whereas spoken in a cold tone it could be a clue that the speaker isn’t particularly keen on seeing you after all! Tone makes the sender as well as the listener attentive.

2.12.2 Tone Groups

Intonation and stress are closely linked. They go hand in hand. Just as words have stressed syllables, sentences have regular patterns of stressed words. In addition, the voice tends to rise, fall or remain flat depending on the meaning or feeling we want to convey (surprise, anger, interest, wonder, gratitude, solitude etc.). It indicates the mood of the speaker.

There are two basic patterns of intonation in English:

1. Falling intonation and
2. Rising intonation.

In the following examples a downward arrow (↘) indicates a fall in intonation and an upward arrow (↗) indicates a rise in intonation.

I. Falling Intonation (?):- The pitch of the voice falls at the end of the sentence. But, voice must be clear till the end. Falling intonation is the most common intonation pattern in English. It is commonly found in statements, commands, wh-questions, confirmatory question tags and exclamations as well.

1. Statements

- a. Glad to meet ↘ you.
- b. I will be back in a ↘ minute.
- c. He doesn't seen here ↘ anymore.
- d. My mother wants to change her ↘ car.
- e. Here is the weather ↘ forecast.

2. Commands

- a. Write your name ↘ here.
- b. Show me what have you ↘ written.
- c. Keep it on the ↘ desk.
- d. Take that picture ↘ down.
- e. Throw that ↘ out.

3. Why-questions(requesting information)

(questions beginning with 'who', 'what', 'why', 'where', 'when', 'which', and 'how')

- a. What country do you come ↘ from?
- b. Where do you ↘ work?
- c. Which of them do you ↘ prefer?
- d. How many books have you ↘ bought?
- e. When does the shop ↘ open?
- f. Whose bag is ↘ this?

4. Questions Tags that are statements requesting confirmation rather than questions.

Not all tag questions are really questions. Some of them merely ask for confirmation or invite agreement, in which case we use a falling tone at the end.

- a. She thinks, she's so clever, doesn't ↘she?
- b. He is such an arrogant, isn't ↘he?
- c. They failed the test because they didn't revise, did ↘they?
- d. It doesn't seem to bother him much, does ↘it?

5. Exclamations

- a. How nice of ↘you!
- b. That's just what they ↘need!
- c. He doesn't ↘say!
- d. What a beautiful ↘voice!
- e. That's a ↘wonder!

II. Rising Intonation

The pitch of the voice rises at the end of a sentence. Rising intonation invites the speaker to continue talking. It is normally used with yes/no questions, and question tags that are real questions.

1. Yes or No Questions

- a. Do you like your new ↗teacher?
- b. Have you finished work ↗already?
- c. May I borrow your ↗bike?
- d. Do you have any ↗magazines?
- e. Do you sell ↗grocery?

2. Questions tags that show uncertainty and require an answer (real questions).

- a. We've met already, ↗haven't we?
- b. You like fish, ↗don't you?
- c. You're a new student ↗aren't you?
- d. The view is beautiful, ↗isn't it?

We sometimes use a combination of rising and falling intonation in the same sentence. The combination is called Rise-Fall or Fall-Rise intonation.

III. Rise-Fall Intonation (↗↘) : This is also called Rising Tone-Falling Tone. We use rise-fall intonation for choices, lists, unfinished thoughts and conditional sentences.

1. Choices(alternative questions)
 - a. Do you have ↗tea or ↘coffee?
 - b. Is Kavish leaving on ↗Monday or ↘Friday?
 - c. Does he speaks ↗French or ↘English?
 - d. Is your name ↗Rama or ↘Bima?
2. **Lists** (rising, rising, rising, falling) – 3 times rising and one time falling. Intonation falls on the last item to show that the list is finished.
 - a. We've got ↗apples, pears, bananas and ↘oranges.
 - b. The sweater comes in ↗blue, white pink and ↘black.
 - c. I like ↗football, tennis, basketball and ↘volleyball.
 - d. I bought ↗ a t-shirt, a skirt and a ↘ handbag.
3. **Unfinished thoughts(partial statements):** In the responses to the following questions, the rise-fall intonation indicates reservation. The speaker hesitates to express his/her thoughts completely.
 - a. Do you like my new handset? Well the ↗guard is ↘nice...
(but i don't like it).
 - b. What was the meal like? Hmm, the ↗ bitter guord dish was ↘ good...
(but the rest wasn't great).
4. **Conditional Sentences:** The tone rises in the first clause and falls gradually in the second clause.
 - a. If she ↗calls, ask her to leave a ↘message.
 - b. Unless he ↗insists, I'm not going to ↘go.
 - c. If you have any ↗problems, just ↘contact us.

IV. Fall-Rise Intonation (↘↗) : The voice falls and rises usually within one word. The main function of fall-rise intonation is to show, the speaker is not certain of the answer. It is also used in polite or suggestions.

1. Hesitation/reluctance

- a. So you'd be willing to confirm that? ...Well ... I \suppose so ...
- b. You didn't see him on Monday? I don't quite \remember ...

2. Politeness-Doubt-Uncertainty: (You are not sure what the answer might be.)

- a. Perhaps we could \visit the place?
- b. Do you think it's \allowed?

2.12.3 Some Important Points to be Remembered

The following are the most important aspects to be noted.

Pronunciation, Stress and Rhythm are the integral parts of intonation.

1. One must be a good listener.
2. Be attentive while you talk.
3. Observe lip movement and mouth while others pronouncing.
4. Initially, take one letter or two pairs of letters or small words – get on to the pronunciation.
5. One must observe oneself by standing in front of a mirror – practice accordingly.
6. Make a note from the sounds of English.
7. Tongue plays a vital role, for Eg – ‘l’, ‘R’.
8. Break the words into sounds, for Eg – ‘in’- ‘tro’- DUCE.
9. Take a video of your pronunciation and check twice.
10. Get improved by reading aloud.
11. This is going to act a key to speak.
12. Pronunciation mixed with stress sometimes become softer and sometimes hard.
13. Practice right form of the letters into words and then to sentences.
14. The tone and pitch of the voice sometimes incredible and listeners get impressed.
15. This has its own naturality with strength and sometimes the force of action.
16. Pronunciation along with stress joined with rhythm give natural sound.
17. It has its own fluency.
18. It develops confidence.
19. Improve listening skills and speaking ability.
20. This is music of English.

2.13 TASKS

TASK-29: Mark the stress and use falling intonation on the following sentences.

1. Nobody told me about it.
2. You can't be so disobedient.
3. There's some milk in the fridge.
4. I never understood him.
5. Very nice of you to have come.
6. Can you help me lift the box?
7. I'm very sorry.
8. Get me a glass of water please.
9. I bought a pen, a pencil, a scale and a book.
10. When I was young _____ .

Answers

1. 'Nobody 'told me a\bout it.
2. You\can't be'so dis'obedient.
3. 'There's some 'milk in the\fridge.
4. I never 'understood \him.
5. 'Very nice of 'you to have\come.
6. Can you ↗help me lift this box?
7. I'm 'very ↗sorry.
8. 'Get me a 'glass of 'water ↗please.
9. I bought a ↗pen, a ↗pencil, a ↗scale and a 'book.
10. When I was ↗young.....(incomplete sentence)

2.14 OUTCOMES

1. Communicate with professors or other professionals by phone to set up appointments for which to later conduct interviews; present interview results to the class
2. Use appropriate vocabulary and grammar in speaking at the advanced level.
3. Develop your public speaking abilities by giving you opportunities to speak in class, both informally and formally.
4. Increase your self-awareness about the English language and the culturally-bound conventions of American academic writing.

2.15 CHECK OUT

Assignment-1: Listen to the words below and write down the phonemic symbol for the vowel sound.

1. could
2. food
3. finger
4. large
5. cinema
6. father

7. little	8. where
9. pleasure	10. yellow

Assignment-2: For each phonemic symbol, write a word that contains the corresponding sound, and underline the letter (s) that corresponding to it.

Symbol	Word	Symbol	Word
1. /ŋ/		2. /ʃ/	
3. /ʌ/		4. /u:/	
5. /eɪ/		6. /ɔɪ/	
7. /tʃ/		8. /i:/	

Assignment -4: Listen to the following compound words and identify the part on which the stress falls.

a. grandmother	b. swimming pool
c. instruction	d. government
e. difference	f. tomorrow
g. autobiography	h. superstitious
i. politician	j. incredible

Assignment-6: Read aloud the sentences below as naturally as possible.

Please pay special attention to the weak pronunciation form of some words and the intonation of each sentence.

- I ordered an apple not a pear.
- Pass me the onion near the sugar bowl.
- Are you coming to our party?
- Is he the man you talked to me about?
- I already know him, but I haven't met her yet.
- Ask them all the questions you want.
- Where were your glasses?
- John'll do the work for you?
- I was cleaning the house when he arrived.
- There are eighteen students in my class.
- What's it mean?
- The teacher gave each one of us a piece of cake.

Unit-3

GRAMMAR

3.0 OBJECTIVES

After completion of this module we should be able to understand

- To know about the Model, Concord, Tenses, Articles.
- Discuss about the preposition.
- Concept of Question tags, Active & Passive Voice, Degree of Comparison.
- Discuss the concept of Vocabulary

Grammar is the system of a language. People sometimes describe grammar as the “rules” of a language; but in fact no language has rules. If we use the word “rules”, we suggest that somebody created the rules first and then spoke the language, like a new game. But languages did not start like that. Languages started by people making sounds which evolved into words, phrases and sentences. No commonly-spoken language is fixed. All languages change over time. What we call “grammar” is simply a reflection of a language at a particular time.

Grammar is the breaking down of the building blocks, or parts of speech, in language, and the use of those pieces to form complete sentences. In this lesson, we will identify the eight primary parts of speech, look at their functions, and practice using them.



Do we need to study grammar to learn a language? The short answer is “no”. Very many people in the world speak their own, native language without having studied its grammar. Children start to speak before they even know the word “grammar”. But if you are serious about learning a foreign language, the long answer is “yes, grammar can help you to learn a language more quickly and more efficiently.” It’s important to think of grammar as something that can help you, like a friend. When you understand the grammar (or system) of a language, you can understand many things yourself, without having to ask a teacher or look in a book.

3.1 IMPORTANCE OF GRAMMAR

Correct grammar is your key to speaking English fluently and confidently. Knowing your grammar will help you avoid errors that make your English sound strange to native speakers.

But there are certain situations in which English grammar is especially important. For example, if you’re going for a job interview in an English-speaking country, the employer will be interested in the quality of your spoken and written English. In fact, in a recent survey of U.K. job recruiters, 50% said that bad spelling and grammar was the biggest reason they would dislike an application.

Correct grammar won’t just demonstrate your English skills—it’ll also show that you’re diligent and have an eye for detail.

This is equally important if you’re aiming to study abroad. Colleges and universities are likely to assess your academic English based largely on your knowledge of English grammar.

Grammar is even important for your social life. Did you know that people on online dating apps are 14% less likely to chat with someone who uses poor grammar? Plus, when you’re meeting new people or visiting new places, the last thing you want is to be misunderstood! To avoid confusing your friends, or even ordering more drinks than you intended, you need to have a firm idea of how to structure your words.

With all that said, remember that in some situations it’s okay to relax your grammar. When you’re texting a close friend, for example, it’s fine to use casual or more simplified language. Talking online is a fantastic way to connect with native speakers and other English learners in a friendly and pressure-free environment.

3.2 CONCORD

The word concord is derived from the Latin for agreement. When applied to English grammar, the term is defined as the grammatical agreement between two words in a sentence. Some linguists use the terms concord and agreement interchangeably, although traditionally, concord is used in reference to the proper relationship between adjectives and the nouns they modify, while agreement refers to the proper relationship between verbs and their subjects or objects.

Mixed concord, also known as discord, is the combination of a singular verb and a plural pronoun. This structure happens when there's a substantial distance between a noun and its modifier and shows up most frequently in informal or spoken language. Discord is motivated when the abstract preference for a phrase's meaning to be in agreement outweighs the desire for the formal subject noun phrase to agree.

Concord, as it is also often referred to, mainly focuses on subject-verb agreement. This is subdivided into three categories:

1. Grammatical concord
2. Concord of Proximity
3. Notional concord

1. Grammatical Concord: Some Rules for Grammatical Concord

The grand rule of subject-verb concord is that a singular subject takes a singular verb and a plural subject takes a plural verb. And it is needful to establish this fact that singular verbs are inflected with suffix '-s' while plural verbs maintain the base form. In other words, a singular verb ends with an 's' and a plural verb has no 's'.

Singular	Plural
comes	come
greet	greet
prays	pray

Let's check some of the guiding rules under grammatical concord:

3.2.1 Rules for Concord

Rule 1: Singular subjects take singular verbs.

- The student advocates for free lunch after the extra mural lesson.
- A serious situation calls for a serious approach.
- The period between pregnancy and childbirth is sometimes critical.
- Anxiety solves no problem.

Rule 2: Plural subjects take plural verbs.

- The children wake up late every day.
- Serious issues call for serious approaches.
- The young boys on the pitch play

Note: The focus is on the subject of the verb, not what comes in between the subject and the verb.

Rule 3: When a subject is joined to another noun by subordinator, disregard the subjoined noun or noun phrase. Focus on the first noun.

- The chairman alongside other members visits the orphanage quarterly.
- The teachers with the principal encourage the students to perform well.
- The senior prefect, as well as, other students never likes the physics teacher.
- From the examples above, we have two nouns in each subject slot as highlighted below:
- The chairman alongside other members ...
- The teachers with the principal ...
- The senior prefect, as well as, other students...
- The subjoined nouns are members, principal and students. Going by the rules, the focus of the expression is on chairman, teachers and senior prefect. Hence, they determine the nature of the verbs. Moreover, the sentence can be restructured thus for further clarity:
- Alongside other members, the chairman visits the orphanage quarterly.
- With the principal, the teachers encourage the students to perform well.

So, the main subject determines the status of the verb.

Other examples

- The man with his children attends to customers.
- The soldiers as well as the vigilante team watch over the small community.

Rule 4: When more than one is used as a subject of a verb in simple present tense, the verb should be singular because the headword is one.

- More than one man was asked to embark on the journey.
- More than one mango was shared among the children.

Rule 5: When two nouns refer to one person at the subject position, the verb should be singular, of course, because it is one person.

- My husband and boss never goes late for meetings.
- Here the speaker's husband is also her boss. So, one pre-modifier is used for both nouns as it is one person. Compare, "My husband and my boss never go late to meeting". Here, the speaker is referring to two different people.
- The president and Commander-in-chief of the armed forces lives his life fighting corruption.
- The class captain and best student of our set is just too proud.

Note: Always check for the pre-modifier when you have two nouns in the subject slot. When the nouns refer to one person, we use one pre-modifier.

Rule 6: When an indefinite pronoun pre-modifies a subject or acts as the main subject, the verb should be singular.

- Everyone loves to be respected.
- Every boy and girl loves his or her mother.
- Nobody cares for everybody's job.

Rule 7: Some nouns end with 's' but they are singular. You need to be careful because they are meant to go with singular verbs.

- Measles is caused by uncleanliness.
- Mathematics has been the problem of most students.

Rule 8: When a relative/adjectival clause qualifies a noun, the verb in the relative/adjectival clause works with the noun it qualifies.

For instance, 'One of the girls that sit in the front row has been suspended'. 'sit' in the relative clause agrees with 'girls' as the relative clause, 'that sit in the front row' qualifies the noun, 'girls'. Then, the main verb in the sentence 'has' agrees with 'one'.

- Semantically, it means many girls sit in the front row only one has been suspended.

Other examples

- Algebra is one of the topics that confuse
- Dr Osoba is one of the lecturers who teach well in LASU.

Rule 9: When a generic reference is used with the definite article 'the' as a subject of the verb, the verb should be plural.

Generic reference is used when you make a reference to all the members of a class of people or things.

Examples

- The rich also cry.
- The less privileged look after one another.

Rule 10: When a result of a survey is issued or reported, caution should be exercised to avoid error of overgeneralization.

For instance, 'One in ten prefer coffee to tea'; Not, 'One in ten prefers coffee to tea'. In the real sense, more than one person prefers coffee. So, if we have thirty-two people in a group and we say one in ten, it then means at least two. Such expressions attract the plural.

Other examples

- One in every five boys go to the local cinema.

Rule 11. When an uncountable noun is introduced with a quantifier or percentage, it attracts a singular verb. In the same vein, when a countable noun is introduced in percentage, it goes with a plural verb.

- A quarter of the land is occupied by the aborigines.
- Two cups of flour is enough for the cake.
- Only ten percent of people in the world actually believe in self-actualization.

Rule 12. When a modal auxiliary verb precedes a main verb, the verb maintains the base form.

- The boy might come
- He came in so that we could discuss the issue.

Rule 13: Mandative Subjunctive: Mandative Subjunctive is used to express a demand, requirement, request, recommendation or suggestion. When it is used with either a the singular or the plural subject, the verb takes the base form:

- I recommend he attend the seminar alone.
- The board suggests the chairman resign immediately.

3.2.2 Concord of Proximity

The rule here says when a subject of a sentence is initiated by ‘either...or’, ‘neither...nor’, ‘not only...but’ only the noun after the correlative conjunction, that is, the one closer to the main verb is considered to determine the status of the verb.

For instance

Neither the vice principal nor the teachers honour the principal.

Neither the teachers nor the vice principal honours the principal.

Either the main man or I am supposed to anchor the event.

Not only the king but his subjects swear to the gods of the land.

Not only the people of the land but also the priest defies the tradition.

1. Notional concord

Here under notional concord we consider the relationship between collective nouns and their verbs. A collective noun is a noun used to refer a group of people or thing e.g. committee, team etc.

With collective nouns, the context determines whether the verb is singular or plural. If the noun is taken as a unit. Then the singular verb will be used but if the members in the group are seen as separate. Then, the plural will be used.

Examples

- The committee contribute to issues as they are empowered.
- The jury vote according to their consciences.

3.2.3 The Basics of Subject-Verb Concord

In subject-verb concord, if the subject of the sentence is singular, the verb must also be singular. If the subject is plural, the verb must be plural as well.

- The window is open. (Incorrect)
- The windows are open. (Correct)

Of course, these are easy examples but where people tend to get confused is when a phrase is containing another noun is inserted between the subject and the modifying verb and that noun has a different numeric value (singular or plural) than the subject noun.

- In this example, the first sentence is incorrect:
- The crates in the warehouse is ready to be loaded. (Incorrect)
- The crates in the warehouse are ready to be loaded. (Correct)

While “warehouse” is singular, it is not the subject of the sentence. The second sentence is correct. The word “crates” is the subject of the sentence, so must take the plural form of the vowel (in this case, “are”) to be in agreement.

When two singular subjects are linked in a sentence by “either/or” or “neither/nor,” correct usage requires the singular verb.

Neither Mary or Walter is available at present.

What happens when one subject is singular and the other is plural? Agreement depends on the subject placement in the sentence:

- Either the dog or the cats are in the basement.
- Either the twins or Mandy is waiting for you now.
- Two subjects connected by “and” take a plural verb.
- Orville and Wilbur are over by the fence.
- The rooster and the chickens are missing.

There are two exceptions to these rules. The first is when a compound subject is connected with “and” but through popular use is considered a singular subject. While “Bacon and eggs is my favorite breakfast” is not grammatically correct, “bacon and eggs” is considered a singular item on the average American breakfast menu. The second exception is when both subjects are the same entity: The author and illustrator of “Where the Wild Things Are” is Maurice Sendak.

Meanwhile, some plural subjects call for singular verbs:

- Fifty dollars is too much to pay for that dress.
- Twenty seconds is all you get before I scream.

The following all take singular verbs: each, everyone, everybody, anyone, anybody, somebody, nobody, someone, none, and no-one.

- Each candle is burning.
- Everyone is having a good time.
- Nobody is going to mind if you get to the party on time.
- Someone is likely to know where the house is.
- None of us is to blame.

3.2.4 Tasks

TASK-1: Fill in with the correct form of the verb given in brackets.

1. Every boy _____ a pair of shoes. (needs/need)
2. Jai or her sister _____ done this. (has/have)
3. Either John or his wife _____ dinner. (cooks / cook)
4. Neither my brother nor my sister _____ come today. (has/have)
5. Raju or his brothers _____ home every Sunday. (come/comes)
6. Neither I nor my mother _____ heard the sound. (has/have)
7. The boy as well as his parents _____ arrived. (has/have)
8. The guest, along with others _____ left. (has/have)
9. All the students, together with their teacher _____ arrived. (have/has)
10. One of the students _____ fined. (was/were)
11. More than one invitee _____ arrived. (has/have)
12. A good number of students _____ passed. (have/has)
13. None of the passengers _____ injured. (was/were)
14. A lot of money _____ spent on education. (is/are)

15. A dozen oranges _____ Rs.50/- (cost/costs)
16. The furniture _____ old. (is/are)
17. Physics _____an interesting subject. (is/are)
18. My trousers _____new. (are/is)
19. The poet and philosopher _____ the award. (deserves/deserve)
20. The police _____searching for a clue. (are/is)
21. Antony and Cleopatra _____an absorbing film. (is/are)
22. Each man and woman __the same rights.
(a) has (b) have (c) had (d) is having
23. Every means _____tried but without much result.
(a) has been (b) have been (c) are (d) is
24. There _____in this room.
(a) are too much furniture (b) is too many furnitures
(c) are too much furnitures (d) is too much furniture
25. _____is to attend our evening.
(a) both the singer and the dancer (b) Either the singer or dancers
(c) The singer or dancers (d) The singer and dancer
26. Not only I but also David and Iris _____ fond of playing basketball.
(a) am (b) is (d) are
27. _____ was wrong.
(a) Not the teacher but the students (b) Both the students and the teacher
(c) Neither the teacher not the students (d) Not the students but the teacher
28. More than one worker _____ dismissed.
(a) have been (b) are (c) has been (d) has
29. The Prime Minister together with his colleagues _____ attending the dinner.
(a) is (b) are (c) been (d) has been
30. The public _____generous in their contributions to the earthquake victims.
(a) is (b) was (c) are (d) has been

Answers

1. need	2. has	3. cooks	4. have	5. come
6. have	7. have	8. has	9. have	10. was
11. has	12. have	13. were	14. is	15. costs
16. is	17. is	18. are	19. deserves	20. is
21. is	22. a (has)	23. d (is)	24. d (is too much furniture)	
25. a (both the singer and the dancer)			26. a (am)	
27. b (Both the students and the teacher)			28. c (has been)	
29. a (is)	30. c (are)			

Examples on Subject Verb Concord

TASK-2: Choose the correct subject verb combinations in the sentences below.

- The captain with his crew **was/were** drowned.
- Many a boy **is/are** doing their work.
- If **you work/ will work** hard, you will pass.
- Each of those mangoes **is/are** rotten.
- Neither he nor I **was/ were** there.
- Either he or his brother **has/ have** made the mistake.
- Man and woman **is/ are** complementary to each other.
- Plenty of mangoes and bananas **is/ are** available in this season.
- A dictionary and an atlas **is/ are** missing from the library.
- The leader as well as his brothers **belong/ belongs** to the same tribe.
- Cats and dogs **do/does** not get along.
- The brothers as well as their sister **is/ are** good at their studies.
- The teacher with his students **has/have** gone on a picnic.
- A Lot of houses **has/ have** collapsed in the storm.
- The children as well as their mother **is/ are** missing.

Answers

1. Was	2. Is	3. Work	4. Is	5. Was
6. Has	7. Are	8. Are	9. Are	10. Belongs
11. Do	12. are	13. Has	14. Have	15. Are

3.2.5 Check Out

Assignment-1: Choose the correct form of the verbs given in the brackets in the following sentences

1. Each of these producers _____ his own advantage, (has, have)
2. Ten miles _____ long distance, (is, are)
3. Many a student _____ hard to pass his entrance exam, (try, tries)
4. The furniture in his house _____ impressive, (look, looks)
5. Few students _____ present in the class today, (is, are)
6. Ramesh, my best friend _____ leaving for Japan next week, (is, are)
7. Most of my friends _____ government employees, (is, are)
8. The level of intoxication _____ from subject to subject, (vary, varies)
9. Either men or women _____ telling lies, (is, are)
10. A number of people _____ reported to be missing in the train accident at Sruthi. (was, were)
11. The Ritesh _____ divided in their opinions, (was, were)
12. There _____ many exceptions to this rule, (is, are)
13. Bread and butter _____ my favourite breakfast, (is, are)
14. Neither Naresh nor his friends _____ hurt, (was, were)
15. Slow and steady _____ the race, (win, wins)

Assignment-2: Correct the following sentences: (concord)

1. Siri as well as Ramya like fruit.
2. The owner of these houses are very clever.
3. There is eleven players in the ground.
4. Rice and curry are his favourite dish.
5. 'Great Expectations' are a good book.
6. Both of the books requires careful reading.
7. Neither Tarun nor his friends is going there.
8. A doctor as well as a nurse are working in the hospital.
9. A doctor and a nurse is working in the hospital.
10. A number of books is missing.

3.3 MODALS

Modals (also called modal verbs, modal auxiliary verbs, modal auxiliaries) are special verbs which behave irregularly in English. They are different from normal verbs like “work, play, visit...” They give additional information about the function of the main verb that follows it. They have a great variety of communicative functions.

Here are some characteristics of modal verbs

- They never change their form. You can’t add “s”, “ed”, “ing”...
- They are always followed by an infinitive without “to” (i.e., the bare infinitive.) in most cases, except Ought to: You can go home. You ought to go home.
- They are used to indicate modality allow speakers to express certainty, possibility, willingness, obligation, necessity, ability.

Note: Here you must recall the similarity and differences between Primary auxiliaries verbs and Modal auxiliaries verbs

Primary Auxiliaries	Modal Auxiliaries
1. Form tenses and voices.	1. Don’t have "s", "ed", "ing" forms.
2. Form negatives and questions.	2. Form questions and negatives.
3. May stand alone.	3. Never stand alone. Always used with main verbs.
4. Change form according to the number and person of the subject.	4. Express a wide variety of meanings.
5. Help the main verb to carry the different times of action.	5. Their form does not change according to the number or person of the subject.

3.3.1 List of Modal Verbs

Here is a list of modal verbs: can, could, may, might, will, would, shall, should, must.

The verbs or expressions dare, ought to, had better, and need not behave like modal auxiliaries to a large extent and may be added to the above list.

Modal verbs are used to express functions such as:

1. Permission	2. Ability	3. Obligation	4. Prohibition
5. Lack of necessity	6. Advice	7. Possibility	8. Probability

Examples of modal verbs

Here is a list of modals with examples:

1. *can*

Use	Examples
ability to do sth. in the present (substitute form: to be able to)	I can speak English.
permission to do sth. in the present (substitute form: to be allowed to)	Can I go to the cinema?
request	Can you wait a moment, please?
offer	I can lend you my car till tomorrow.
suggestion	Can we visit Grandma at the weekend?
possibility	It can get very hot in Arizona.

2. *could*

Use	Examples
ability to do sth. in the past (substitute form: to be able to)	I could speak English.
permission to do sth. in the past (substitute form: to be allowed to)	I could go to the cinema.
polite question *	Could I go to the cinema, please?
polite request *	Could you wait a moment, please?
polite offer *	I could lend you my car till tomorrow.
polite suggestion *	Could we visit Grandma at the weekend?
possibility *	It could get very hot in Montana.

3. may

Use	Examples
possibility	It may rain today.
permission to do sth. in the present (substitute form: to be allowed to)	May I go to the cinema?
polite suggestion	May I help you?

4. might

Use	Examples
possibility (less possible than may) *	It might rain today.
hesitant offer *	Might I help you?

5. must

Use	Examples
force, necessity	I must go to the supermarket today.
possibility	You must be tired.
advice, recommendation	You must see the new film with Brad Pitt.

6. must not/may not

Use	Examples
prohibition (must is a little stronger)	You mustn't work on dad's computer.
	You may not work on dad's computer.

7. need not

Use	Examples
sth. is not necessary	I needn't go to the supermarket, we're going to the restaurant tonight.

8. ought to

similar to *should* – *ought to* sounds a little less subjective

Use	Examples
advice	You ought to drive carefully in bad weather.
obligation	You ought to switch off the light when you leave the room.

9. shall: used instead of *will* in the 1st person

Use	Examples
suggestion	Shall I carry your bag?

10. should

Use	Examples
advice	You should drive carefully in bad weather.
obligation	You should switch off the light when you leave the room.

11. will

Use	Examples
wish, request, demand, order (less polite than would)	Will you please shut the door?
prediction, assumption	I think it will rain on Friday.
promise	I will stop smoking.
spontaneous decision	Can somebody drive me to the station? - I will .
habits	She's strange, she'll sit for hours without talking.

12. would

Use	Examples
wish, request (more polite than will)	Would you shut the door, please?
habits in the past	Sometimes he would bring me some flowers.

Examples

- You **must stop** when the traffic lights turn red.
- You **should see** to the doctor.
- There are a lot of tomatoes in the fridge. You **need not buy** any.

Modals in the present and past

Generally speaking modals in the past have the following form:

- modal + have + past participle

Example

- Present**

You **should see** a doctor.

- Past**

You **should have seen** a doctor

Except for modals that express obligation, ability and lack of necessity:

- Obligation**

Present = I **must / have to** work hard. Past = I **had to** work hard.

- Ability**

Present = I **can** run fast. Past = I **could** run fast when I was young.

- Lack of necessity**

Present = You **don't have to / needn't** take your umbrella. Past = You **didn't have to / didn't need** to take your umbrella.

	Modals in the Present	Modals in the Past
Obligation	You must / have to stop when the traffic lights are red.	You had to stop .
Advice	You should see a doctor.	You should have seen a doctor
Prohibition	You mustn't smoke here.	You mustn't have smoked there.
Ability	I can run fast.	I could run fast. now I am old.

	Modals in the Present	Modals in the Past
Certainty	He has a Rolls Royce. He must be very rich. He can't be American. His English is terrible.	He must have been rich. He had a big house and an expensive car. He can't have written that poem. He was illiterate.
Permission	Can I go out?	She could drive her father's car when she was only 15.

Possibility	It may / can / could / might rain. It's cloudy.	I guess it may / can / could / might have been Lacy on the phone.
Lack of necessity	You don't have to / needn't buy any tomatoes. There are plenty in the fridge.	You didn't have to / didn't need to buy tomatoes.

3.3.2 Tasks

TASK-3: Choose the right modal verb

- There are plenty of drumsticks in the fridge. You _____ buy any.
- It's a nursing care. You _____ smoke.
- He had been working for more than 12 hours. He _____ be tired after such hard work. He _____ prefer to get some rest.
- I _____ speak Arabic fluently when I was a child and we lived in Morocco. But after we moved back to Canada, I had very little exposure to the language and forgot almost everything I knew as a child. Now, I _____ just say a few things in the language.
- The teacher said we _____ read this book for our own pleasure as it is optional. But we _____ read it if we don't want to.
- _____ you stand on your head for more than a minute? No, I _____.
- If you want to learn to speak English fluently, you _____ to work hard. .
- Take an umbrella. It _____ rain later.
- You _____ leave small objects lying around. Such objects _____ be swallowed by children.
- People _____ walk on grass.
- Drivers _____ stop when the traffic lights are red.
- _____ I ask a question? Yes, of course.
- You _____ take your umbrella. It is not raining.
- _____ you speak Spanish? No, I _____.

Answers

- There are plenty of drumsticks in the fridge. You needn't buy any.
- It's a nursing care. You mustn't smoke.

3. He had been working for more than 12 hours. He must be tired after such hard work. He may prefer to get some rest.
4. I could speak Arabic fluently when I was a child and we lived in Morocco. But after we moved back to Canada, I had very little exposure to the language and forgot almost everything I knew as a child. Now, I can just say a few things in the language.
5. The teacher said we can read this book for our own pleasure as it is optional. But we needn't read it if we don't want to.
6. Can you stand on your head for more than a minute? No, I can't.
7. If you want to learn to speak English fluently, you need to work hard.
8. Take an umbrella. It might rain later.
9. You shouldn't leave small objects lying around. Such objects may be swallowed by children.
10. People mustn't walk on grass.
11. Drivers must stop when the traffic lights are red.
12. May I ask a question? Yes, of course.
13. You needn't take your umbrella. It is not raining.
14. Can you speak Spanish? No, I can't.

TASK-4: Choose the right on modal forms in the following sentences

1. May I use your mobile phone?
2. May I help you?
3. You mustn't walk on grass.
4. What do you think I should do?
5. Can you help me with this exercise?
6. I can speak Arabic.
7. I think you should see a doctor.
8. You must stop when the traffic lights are red.
9. You needn't take your umbrella. It isn't raining.
10. You may pass the exam. It is not very difficult. You only have to work harder.

Answers

1. Asking for permission	2. Making an offer	3. Expressing prohibition
4. Asking for advice	5. Making a request	6. Expressing ability

7. Giving advice 8. Expressing obligation
9. Expressing lack of necessity. 10. Expressing possibility.

TASK-5: Choose the correct Modal Verbs

He had been working for more than 11 hours. He _____ be tired after such hard work. He _____ prefer to get some rest. 2. _____ stand on your head for more than a minute? No, I _____. 3. If you want to learn to speak English fluently, you _____ to work hard. 4. Take an umbrella. It _____ rain later. 5. You _____ leave small objects lying around. Such objects _____ be swallowed by children. 6. People _____ walk on grass. 7. I _____ speak Arabic fluently when I was a child and we lived in Morocco. But after we moved back to Canada, I had very little exposure to the language and forgot almost everything I knew as a child. Now, I _____ just say a few things in the language. 8. The teacher said we _____ read this book for our own pleasure as it is optional. But we _____ read it if we don't want to. 9. There are plenty of tomatoes in the fridge. You _____ buy any. 10. It's a hospital. You _____ smoke.

1. Must, may	2. Can, can't	3. Need	4. Might
5. Shouldn't, may	6. Mustn't	7. Could, can	8. Can, needn't
9. Needn't	10. Mustn't		

3.3.3 Check Out

Assignment-3: Choose the right modal verb

1. I didn't feel very well yesterday. I _____ eat anything.
(a) cannot (b) couldn't (c) mustn't
2. You _____ look at me when I am talking to you.
(a) could (b) should (c) would
3. I was using my pencil a minute ago. It _____ be here somewhere!
(a) can (b) could (c) must (d) would
4. You really _____ be late again.
(a) must not (b) don't have to be
5. If you don't start working harder, you _____ repeat the course next year.
(a) have to (b) must (c) will have to
6. His parents spoil him. He's always _____ to do whatever he wants.
(a) been able (b) been allowed

7. Phone her now. She _____ home by now.
(a) has to be (b) must to be (c) would be
8. You _____ forget your sun cream. It's going to be very hot!
(a) don't have to (b) mustn't (c) needn't
9. I _____ be able to help you, but I'm not sure yet.
(a) might (b) would
10. Entrance to the museum was free. We _____ pay to get in.
(a) needn't (b) didn't need to

Assignment-4: Fill in the blanks in the following sentences with modals - Will / Shall , Would/ Should or Can/Could.

1. She told me that she was unwell so she _____ not go to office.
2. The visitors _____ not carry eatables with them in the hotel.
3. As he is in dire need of money, we _____ help him immediately.
4. _____ you please lend me your book for a week?
5. His son is not so brilliant in his studies but he _____ pass the examination.
6. I _____ be thankful to you if you help me at this time of need.
7. Drive fast lest you _____ miss the flight.
8. _____ you like to accompany us to the market tomorrow?
9. The lady has grown so old that she _____ not walk without a stick.
10. Had he worked hard, he _____ have passed the examination.

3.4 TENSES (PRESENT/ PAST/ FUTURE)

Tenses play a crucial role in the English language. It denotes the time an action takes place, whether some time in the past, in the present or will take some time in the future.

Tense is the form taken by a verb to indicate time and continuance or completeness of action. Mainly verbs come in three tenses namely past, present, and future. Then these three continuance or completeness of action is classified into four subcategories

The past is used to describe things that have already happened (e.g., earlier in the day, yesterday, previous week, five years ago). The present tense is used to describe things that are happening (e.g., right now, or things that are continuous). The future tense describes things that have yet to happen (e.g., later, tomorrow, next week, next year, five years from now).

3.4.1 Present Tense

1. Simple present tense
2. Present progressive or continuous tense
3. Present perfect tense
4. Present perfect continuous tense

1. Simple present tense

Subject + V1 + s/es + object

We use **present** tense from: **subject** + **stem** verb to communicate

- i. It is used to express habitual action.
 - She **goes** for a walk every evening.
 - I get up early in the morning.
- ii. It is used in Repetition of action
 - Promotion exercises **occur** twice a year
 - **"I spend** two or three days a week in New York besides Detroit."
- iii. General statements not bound to specific time
 - Oil **floats** on water.
 - You **take** one step towards god and god **takes** ten steps towards you, they say.
 - Heated ice **turns** to water.
 - Delayed premium payments **attract** a fine.
- iv. Action in future time in 'if' and 'time' clauses
 - If you **agree** to the conditions, you'll get the contract.
 - You'll know what I mean when she **speaks** to you.
- v. Certain verbs only in present tense form in present time
 - "Twenty million?" He gasped in mock horror. "That's outrageous!"
 - "I've seen the algorithm. I **assure** you it's well worth it."
 - "We both **know** Mr. Tarun would never stand for this".
 - "And Takanado gave this ring to a total stranger moment before he died? Why?" "What do you **think**?"

2. Present Continuous Tense

We use present progressive/continuous tense form: Subject + **be** + **v-ing** to communicate

- i. It is used to express an action that is going on at the time of speaking.
 - What you're **offering** is peanuts.

- Tell him I'm talking to the Governor on line one
- "How much are you asking for both keys?"
- ii. It is used to express an action that will happen in the future.
 - Are you **doing** anything this evening?
 - "Mommy is with me. She's **catching** a plane from Boston to London and will be home with you tomorrow."
- iii. It is used an action in process but not necessarily occurring in the present time
 - **I'm doing** part-time PhD.
 - "The pass-key is worth hundreds of times what he **is paying** me to handle it for home."
 - **I'm** Seriously **thinking** of reporting the matter.
 - **I'm** always forgetting people's names

3. Present perfect tense

We use present perfect tense form: subject + **have/has** ['s] + [been] **past participle** to communicate

- Action completing in the present • **I've done** my job; it's up to you now.
- ii. It is used to express a past action the result of which continuous at present [as knowledge/information/ Experience]
 - She say she's **read** the instructions but doesn't understand them.
 - "The list of [paintings] **has been circulated** to museums, art dealers and collectors."
- iii. It is used to express an action starting in the past and going on in the present time.
 - **I've lived** here for twenty years/since 1998.
 - **I haven't visited** my parents for five years.

4. Present perfect continuous tense

We use present perfect continuous tense form: subject + **have/has** + **been** + **v-ing** to communicate

- It is used to refer to an action that begins in the past and continuous through a given period of time up to the present moment.
- My wife **has been pestering** me for some platinum jewellery.
- Sudhakar **has been seeing** a lot of Swarna lately.
- He has been painting the door since 2 p.m.

Note on when to use present perfect and present perfect progressive tenses

- a. Present perfect tense is used to describe permanent situations:
 - I've lived here all my life. This mosque has stood here for two hundred years.
- b. Present perfect progressive is used to describe temporary situations:
 - I've been waiting here for two hours. We've been living here since last month.
- ii. Present perfect progressive can also describe an action completed in the present [The emphasis here is on the effect of the action rather than on the action itself.]:
 - Please excuse my dirty clothes. I've been dusting the Sitting room.
 - Be careful! I've been painting the door. [The paint is still wet.]

3.4.2 Past Tense

1. Simple past tense	2. Past continuous tense
3. Past perfect tense	4. Past perfect continues tense

1. Simple past tense

We use simple **past** tense form: subject + stem verb to communicate

- i. It is used to express the action completed in the past. Adverbs and adverbial phrases expressing past time are often used with this tense.
 - The train **reached** half an hour late.
 - She **underwent** a training course for a month.
- ii. It is used to express a habitual action in the past.
 - I never **believed** in ghosts.
 - She always carried an umbrella.
- iii. It is used to express that not real in the present time or future time but imagined to be real
 - If you brought a lawsuit, the company would fire you.
[I know you don't intend to bring a lawsuit.]
[I'm just imagining it as a condition.]
 - "I'd rather you **didn't look** at that."
 - It's time you **slept**.
 - You look as if you **were** slapped.

2. Past Continuous Tense

We use past progressive tense form : subject + **was/were** + **v-ing** to communicate

- i. It is used to express an action that was still going on the past time.

- Why **were** you weeping?
- When I saw him last, he **was watering** the plants in the garden.

3. Past perfect tense

We use past perfect tense form: subject + had+ [verb] past participle to communicate

- It is used to express an action which had been completed at some point in the past time before another action was started.
 - She had to stay away from school because she had been suspended for a week.
“..... but when Dana asked him what **had happened**, he could not tell her the truth.”
- In indirect speech a message that had been expressed in past tense or present perfect tense in direct speech
 - He said, “She has resigned.” • He said she **had resigned**
 - He said, “she **reached** the station in time to board the train.”
 - He said she **had reached** the station in time to board the train.
- It is used to express that a condition in the past time with an implied negative meaning
 - If I had known you would be offended, I wouldn’t have treated the matter so lightly.
[meaning : I didn’t know you’d be]
[offended, so I treated the matter lightly.]

4. Past perfect continuous tense

We use past perfect continuous tense form: subject + **had + been +v-ing** to communicate

- It is used to show an action that had begun in the past and continued till some point of time in the past.
 - We **had been trying** to get her on the phone but were unsuccessful.
 - She wanted to know what I **had been doing** before becoming freelance journalist.

3.4.3 Future Tense

1. Simple future tense
2. Future continuous tense
3. Future Perfect tense
4. Future perfect continuous tense

1. Simple future tense: We use simple future tense form

will/shall +v [for first person: I, we] **will** +v [for second and third person “ you, she, he, **it**, they]
to communicate

- i. It is used to express an action that will take place in the future.
 - I **shall/will** post the letter.
 - **Will** he grant permission?
 - I wonder if they **Will** accept the terms of the contract.

Note: I **won't** see her again. [I am determined not to see her again.]

- I **won't be seeing** her again. [I will have no chance of meeting her again.]

2. Future Progressive/Continuous Tense

We use future progressive tense form: subject + **shall/will** + **be** + **v-ing** to communicate

- i. It is used to express an action going on at some point in future.
 - "Are you free tomorrow morning?"
 - "I'll **be giving** a lecture."

3. Future Perfect Tense

We use future perfect tense form: subject + **will** + **have** + **past participle** to communicate

- i. It is used to express an action that will be completed at some point in the future.
 - On 25 July we **shall have been** married thirty years.
- ii. It is also used to express that possibility or assumption
 - By this time, next year I'll have retired from service.
 - It's six o' clock; they'll **have arrived** by now.

Note: Verbs **rarely** used in progressive [**continuous**] form-present, past, future

- i. State verbs like 'be,' become, 'taste'
- ii. Verbs of perception and appearance: **notice, perceive, see, hear, seem, appear, resemble**
- iii. Verbs of belief and knowledge: **believe, consider, regard, think, imagine, suppose, suspect, know, realise, recognise, understand, see, remember, recall, remind, forget**
- iv. Verbs of emotion, desire and attitude
 - Like, love, adore, admire, respect, trust, please, appeal,
 - Amuse, attract, interest, desire, need, prefer, require,
 - Want, wish, dislike, hate, detest, despise, care about,
 - Mind, concern, fear, frighten, shock, surprise, amaze,

4. Futures perfect continuous tense

- i. The future perfect progressive emphasize the duration of an activity that will be in progress before another time or event in the future.

- This time tomorrow, I will be enjoying the cricket match in the stadium.
- ii. It is also used to talk about planned actions or actions expected to happen.
- They will be staying for a week's

Table Format of Tenses

Tense	Formula	Example
Present tense		
Simple present tense	Subject + V1 + s/es + object	She writes a letter
Present continuous	Subject + be +v-ing	she is writing a letter.
Present perfect	subject + have/has ['s] + [been] past participle	She has written a letter.
Present perfect continuous	subject + have/has + been + v-ing	She has been writing a letter.
Past tense		
Simple past tense	subject + stem verb or v2 form verb	She wrote a letter
Past continuous	subject + was/were + v-ing	She was writing a letter.
Past perfect	subject + had+ [verb] past participle	She had written a letter.
Past perfect continuous	subject + had + been +v-ing	She had been writing a letter.
Future tense		
Simple future tense	will/shall +v [for first person: I, we] will +v	She will write a letter.
Future continuous tense	subject + shall/will + be + v-ing	She will be writing a letter.
Future perfect	subject + will + have + past participle	She will have written a letter.
Future perfect continuous	Will/Shall + Have been + Verb (1st form) + ing	She will have been writing a letter.

3.4.4 Tasks

TASK-6: Choose the correct tense from the following brackets

- When I opened my eyes, I _____ a strange sight. (saw, was seeing, have seen)
- Every morning she _____ up early and gets ready for work.
(is waking, wakes, has woken)

3. If I knew what he wanted, I _____ this.
(will not permit, would not permit, would not have permitted)
4. I _____ anything from her in a long time. (didn't hear, haven't heard, am not hearing)
5. The headmaster _____ to talk to you. (want, wants, is wanting)
6. Jane _____ with her parents. (is living, lives, has lived)
7. We _____ Greece next month. (visit, will visit, would visit, are visiting)
8. The moon _____ around the earth. (is revolving, has revolved, revolves)
9. She _____ a novel. (wrote, writes, has written)
10. All students _____ in their work. (handed, have handed, hand)

Answers

1. Saw	2. wakes	3. would not permit
4. haven't heard	5. wants	6. lives
7. are visiting	8. revolves	9. has written
10. have handed		

TASK-7: Choose the correct tense on simple past and present.

1. Dad _____ tea in the morning, but today he _____ coffee.
(drinks, drank; drinks, drinks; drank, drinks)
2. All children _____ love. (need, needed, needs)
3. I _____ a strange dream yesterday. (have, had)
4. I _____ a Sci-fi movie yesterday. (watch, watched)
5. I _____ my phone while I was on vacation in Greece. (lose, lost, lost)
6. He _____ gently to the child. (speaks, spoke)
7. Plants _____ carbon dioxide and release oxygen. (absorb, absorbed)
8. Kind words _____ others happy. (absorb, made)
9. Birds _____ in the sky. (fly, flies, flew)
10. Money _____ on trees. (do not grow, does not grow, did not grow)
11. They _____ the car to pay off the loan. (sold, sell, had sold)
12. She _____ me a story the other day. (tell, told, has told)

Answers

1. drinks, drank	2. need	3. had	4. watched	5. lost
6. spoke	7. absorb	8. absorb	9. fly	10. does not grow
11. sold	12. told			

TASK-8: Choose the correct verb form from those in brackets:

- Abdul _____ to be a doctor. (wants, wanting, is wanting)
- The Soup _____ good. (taste, tastes, is tasting)
- He _____ TV most evening. (watches, is watch, is watching)
- He _____ out five minutes ago. (has gone, had gone, went)
- When he lived in Hyderabad, he _____ to the cinema once a week. (goes, went, was going)
- The baby _____ all morning. (cries, has been crying)
- I _____ Rahim at the zoo. (saw, have seen, had seen)
- I _____ Kumar this week. (haven't seen, did't see, am not seeing)
- This paper _____ twice weekly. (is appearing, appearing, appears)
- Ashok fell off the ladder when he _____ the roof. (is mending, was mending, mended)
- I _____ something burning. (smell, am smelling, have been smelling)
- Look, the sun _____ over the hills. (rises, is rise, is rising)
- She _____ unconscious since four o'clock. (is, was, has been)
- He used to visit us every week, but he _ now. (rarely comes, is rarely coming, has rarely come)
- I _____ him since we met a year ago. (didn't see, haven't seen, hadn't seen)

Answers

1. Wants	2. Tastes	3. Watches	4. Went	5. Went
6. Has been crying	7. Saw	8. Haven't seen	9. Appears	10. Was mending
11. Smell	12. Is rising	13. Has been	14. Rarely comes	15. Haven't seen

TASK-9: Complete the following dialogues by using the perfect form of the verb.

- A: Did suma write to her parents about the problems in her hostel?
B: I don't think she _____ home since January. (write)
- A: Did you see Lavanya? I've to return her book.
B: I _____ not _____ her since Monday. (see)

3. A: The police are search in for the thief everywhere. They even went to his village.
B: Yeas, I know. People say he _____ (be, not) home for six months.
4. A: Have you completed your work?
B: I _____ (not, be) able to because I was busy.
5. A: _____ you _____ in Hyderabad for many years? (lives)
B: No, I haven't.
6. A: _____ you ever ____ a tree? (climb)
B: Of course, I have so many times.
7. A: Will you come for the movie?
B: No, I _____ (see) it.
8. A: Shall I add the tea powder now to the water?
B: The water _____ not _____ yet. (boil)

Answers

1. has written	2. have ... seen	3. has not been	4. have not been
5. Have ... lived	6. Have ... climbed	7. have seen	8. has ... boiled

TASK-10: Complete the following sentences by using the appropriate modal.

1. The train will leave at 9.00 pm; we (must be / can be) ready by 8.00 pm so that we can reach the station in time.
2. In order to save petrol, motorists (should be / can be) very cautious while driving along the highways.
3. Rash driving (can / must) be dangerous.
4. (Can't / mustn't) you ever understand what I'm saying?
5. Neither of us (could / can) attend the function tonight.
6. Shamala said she (will / would) come.
7. What (will / may) you do if this class is cancelled?
8. You (can / ought to) know what I like.

Answers

1. The train will leave at 9.00 pm; we **must be** ready by 8.00 pm so that we can reach the station in time.

2. In order to save petrol, motorists **should be** very cautious while driving along the highways.
3. Rash driving **can** be dangerous.
4. **Can't** you ever understand what I'm saying?
5. Neither of us **can** attend the function tonight.
6. Shamala said she **would** come.
7. What **will** you do if this class is cancelled?
8. You **ought to** know what I like.

TASK-11: Fill in the blanks with the past tense form of the verb given in brackets.

1. I ____ to you about him. (speak)
2. Venu ____ the letter a week ago. (receive)
3. Ramu ____ (see) the Tai Mahal when she ____ to Agra last year. (go)
4. Bharat ____ the entrance exam well. (write)
5. After he ____ his homework, he went out within. (do)
6. I ____ cricket every morning last year. (play)
7. While I ____ a letter, I heard a loud sound. (write)
8. Meena l ____ when the phone rang. (study)
9. When Sita reached home, the children ____ TV.(watch)
10. They ____ the old wall when it collapsed.(paint)

Answer

1. spoke	2. received	3. saw/went	4. wrote	5. did
6. played	7. was writing	8. was studying	9. were watching	10. were painting

TASK-12: Fill in the blanks with the future tense form of the verb given in brackets.

1. He ____ a house by the end of next year. (build)
2. She ____ in hospital for 6 months by the end of July. (be)
3. The Prime Minister ____ 5 years office by March. (complete)
4. Let us leave at 5 p.m. I ____ my exercise by then. (finished)
5. He ____ by the time you reach. (leave)
6. By the end of this month, we ____ here for 25 years. (work)
7. She ____ for eight months by the end of this year. (travel)

8. They ____ in Vijayawada for five years by the end of 2011. (live)
9. I ____ in this college for two twenty years by the end of February this year. (teach)
10. Sachin Tendulkar ____ for India for twenty years by 2010. (play)

Answer

1. will have built	2. will have been	3. will have completed
4. shall have finished	5. will have left	6. will have been working
7. will have travelling	8. will have been living	9. shall have been teaching
10. will have been playing		

3.4.5 Check Out

Assignment-5: Fill in the correct form of the verb – All tenses

1. My family have _____ (buy) some land in southern France recently. They _____ (build) a summer house there at the moment.
2. Andy and Mary _____ (go) to a concert tomorrow night. They _____ (look forward to) it the whole week.
3. Jonathon _____ (watch) the news on TV every day and it _____ (help) him with his English.
4. My car _____ (break) down when I _____ (drive) home from work. I _____ (fix) it if I _____ (know) what was wrong. But I didn't so _____ (have) to take it to the garage.
5. When he _____ (found) Microsoft, Bill Gates was only 20 years old. He _____ (already write) his first computer programme six years earlier.
6. An accident _____ (happen) near my house last night. A car _____ (hit) a young man. He _____ (ride) his bike when someone in front of him suddenly _____ (open) a car door. Many people _____ (see) the accident. The police _____ (interrogate) them last night.
7. Mrs Smith said that one day she _____ (retire) from teaching. She said that she _____ (spend) her new free time learning about computers.
8. I ____ (not sleep) at all last night. Someone _____ (listen) to music all night.
9. I _____ (see) a film a week ago, but I _____ (not enjoy) it very much because I _____ (already read) the book. If I _____ (not read) the book I _____ (probably enjoy) the film more.

10. The judge sentenced the man to eight years in prison because he _____ (rob) a bank.
11. They _____ (stand) in the queue for over an hour when the manager _____ (tell) them that there were no more tickets.
12. Alan _____ (be) in the car accident yesterday. The other driver _____ (lose) control of his car because he _____ (fall) asleep.
13. She _____ (not see) her father since he _____ (start) to work in Marseille two years ago.
14. I _____ (sleep) when the fire broke out.
15. Linda phoned and explained that she _____ (not can) to come to the party the next day because she _____ (be) still sick.
16. I _____ (just see) the film "The Da Vinci Code". _____ (you see) it too? – No, I _____ (not have) but I _____ (read) the book.
17. My sister _____ (fly) home from London today. Her flight _____ (arrive) in an hour so I _____ (leave) for the airport right now to get there in time.
18. Unless he _____ (sell) more he won't get much money.
19. While he _____ (wait) for the bus there _____ (be) a robbery at the bank. After the robbers _____ (go) away the police _____ (come) but they _____ (not can) to catch them.
20. I _____ (use) to ski when I was at the university but I _____ (break) a leg five years ago and since then I _____ (not ski) any more.

Assignment-6: Fill in the blanks with the present tense form of the verb given in brackets.

1. Shriya cannot talk to you because she ____ her home work.(do)
2. What ____ you ____ about? (talk)
3. The beggar ____ for alms. (beg)
4. I ____ my home work. (finish)
5. The clock ____ just ____ twelve. (strike)
6. I ____ him for a long time. (know)
7. Mr. Martin ____ a book on English Grammar. (write)
8. Rahul ____ disobedient.(be)
9. Tripura ____ for three hours. (dance)
10. My clothes are wet because I ____ the garden.(water)

Assignment-7: Complete the following dialogues by using the past tense of the verb.

1. A: When did Rajini finish reading the book?
B: I think she _____ sixteen minutes ago. (finish)
2. A: Did Revanth agree to help?
B: Yes, he _____ to do so. (promise)
3. A: Did you go to watch the movie last night?
B: No, I didn't. I _____ (have another engagement)
4. A: _____ you _____ (drink milk) this morning.
B: I sometimes do, but I didn't drink milk this morning.
5. A: The phone _____ (ring) a short time ago.
B: I didn't hear it but Annaya _____ it. (hear)
6. A: Vani _____ a purse in the market. (find)
B: What did she do about it ?
7. A: I believe Raja _____ the silver medal this year. (win)
B: Yes, he did, But last year he _____ the gold medal. (win)
8. A: Sid _____ a wrong ticket at the railway station. (buy)
B: What _____ then? (happen)
A: He _____ (explain) the mistake to the clerk and _____ (ask) for another ticket.
9. A: When did the children finish eating?
B: I think they _____ about an hour ago. (finish)
10. A: We _____ to a beach resort last week. (go)
B: Yes, but the Sharmas _____ (go) to a hill station.

Assignment-8: Fill in the correct form verb – All Tenses

1. I _____ a great film yesterday. (see)
2. _____ a new car? (you ever buy)
3. I _____ him last Monday. (meet)
4. The band _____ while I _____ . (play, write)
5. She _____ the new car in 2005. (buy)
6. Her mother _____ in Victoria for the past five years. (live)

7. They _____ in Germany when we arrived a few days ago. (already be)
8. _____ to get married? (you plan)
9. I _____ so much fun since I was a kid. (have)
10. When I got up I _____ out of the window and _____ that it _____. (look, see, rain)
11. Janet _____ for Smith and Brothers before she came to work for us. (work)
12. I _____ three movies so far this week. (see)
13. How long _____ for me? (you wait)
14. I _____ over Loch Ness last week. _____ the Loch Ness monster? (fly, you see)
15. I'm afraid I'm not hungry. I _____. (already eat)
16. Peter _____ football in the afternoon when he got the call. (play)
17. "What _____ between 9 and 12 yesterday morning", the detective said. (you do)
18. He kept looking at her, wondering where he _____ her before. (see)
19. The doctor's waiting room was full of people. Some _____ a magazine, a woman _____ and a child _____ with a doll. Suddenly the door _____ and a nurse _____ out. (read, knit, play, open, come).
20. Travelling _____ much easier and more comfortable in the past hundred years. (become)
21. I _____ cake. That's why my hands are full of flour. (bake)
22. When I first came to this house it _____ quite a noisy area. (be)
23. He twisted his ankle while he _____ (ski)
24. _____ the doors before you leave the house? (you ever lock)
25. My best friend and I _____ each other for 15 years. (know)
26. Jack usually _____ but he _____ when his father comes. (smoke, not smoke)
27. _____ breakfast yet? – Yes I had it together with Sue at 7. (you have)
28. I _____ this kind of work when I was a small boy. (do)
29. He _____ the paper when his wife came home. (read)
30. He _____ for an hour now. I'll be finished soon. (speak)
31. How long _____ John and Maria? – We met the couple over thirteen years ago. (you know)
32. He _____ in Oxford for two years and when his mother died he moved to London. (live)

33. After Harry _____ his work he _____ Jude from the office. (finish, call)
34. You _____ your homework for two hours. Haven't you finished yet? (do)
35. He always _____ to the supermarket alone, but today he _____ his son with him. (go, take)
36. He never _____ in the evening, only on Sundays. (work)
37. I _____ to South America but I have been to New York several times. (never, be)
38. _____ Jean? – No, she probably went to her friend's place. (anyone, see)
39. I _____ to the bank yesterday but when I got there it was closed. (go)
40. She _____ in school all day. (be)
41. Lee _____ late every day since Tuesday. (be)
42. Herbert's father _____ his son's birthday (never forget)
43. I _____ my report because I had a problem with my computer. (not finish)

Assignment-9: A. Put in the present continuous form of the verb in brackets.

1. Please be quiet. I _____ (try) to read my book.
2. I _____ (not/use) the computer at the moment so you can use it.
3. Mary is ill so Sue _____ (teach) her lessons today.
4. Excuse me, I _____ (look) for a hotel. Is there one near here?
5. _____ (you/wait) for someone?
6. Jack, you are very careless. You _____ (always/forget) to do your homework!
7. The cost of living _____ (rise) very fast. Every year things are more expensive.
8. What _____ (you/do)? I _____ (clean) my shoes.
9. Why _____ (not/wear) shorts? It's so hot today.
10. The neighbours are so noisy! They _____ (always/argue) loudly.

B: Put the verb in brackets into the present simple or the present continuous

1. She always _____ (remember) my birthday.
2. Mr Brown _____ (work) in a supermarket.
3. I _____ (work) in this factory until I find a better job.
4. Look! It _____ (snow).
5. Can you hear those girls? What _____ (they/talk) about?
6. _____ (you/know) Helen?
7. We _____ (never/go) to work by tube. It is too busy.

8. When I'm in Paris I _____ (usually/stay) in the Hotel du Pont, but this time I _____ (stay) in the more expensive Hotel Notre Dame.
9. Ruth _____ (be) a vegetarian. She _____ (not/eat) meat or fish.
10. My father _____ (be) an engineer, but he _____ (not/work) right now.
11. _____ (you/believe) in ghosts?
12. My parents _____ (live) in Sydney. Where _____ (your parents/live)?
13. We _____ (own) two cars, an estate car and a sports car.
14. Can you drive? No, but I _____ (learn) at the moment.
15. Look! That woman _____ (try) to steal that man's wallet.
16. The River Nile _____ (flow) into the Mediterranean.
17. _____ (you/like) Bon Jovi?
18. I _____ (get) thirsty. Let's get something to drink.
19. Those flowers _____ (smell) lovely. What are they?
20. Jane _____ (repair) her bike. She _____ (know) exactly what to do.

Assignment-10 Past Simple and Past Continuous

A: Put one of these verbs in each sentence. Use the past simple: eat bring write buy see meet

1. The party was fantastic. Every guest _____ something to eat and a bottle of wine.
2. I had an extravagant weekend. I _____ some clothes and a plant.
3. Three weeks ago Tracy _____ her ex-husband in Mallorca. What a coincidence!
4. When I lived in Italy, we always _____ lamb at Easter.
5. Shakespeare _____ a lot of plays.

B: Put the verb in the past simple

1. Tom _____ (not/come) to the office yesterday because he _____ (be) ill.
2. She _____ (not/read) the book because she _____ (not/be) very interested in that author.
3. The students _____ (not/finish) their group project because they _____ (run out) of time.
4. We _____ (not/eat) anything for breakfast because we _____ (be) in a hurry.
5. Mary _____ (not/catch) the train to Mexico City because she _____ (arrive) at the station too late.

C: Put the verb in the correct form: past simple or past continuous

1. I _____ (dream) when the alarm clock _____ (go off).
2. They _____ (wait) for me when I _____ (arrive).
3. The phone _____ (ring) while I _____ (have) a shower.
4. We _____ (not/go out) last Sunday because it _____ (rain).
5. I _____ (see) Kim at the party. She _____ (wear) a new dress.
6. I _____ (break) a bowl this morning. When I _____ (wash) the dishes it just _____ (slip) out of my hand onto the floor!
7. When he _____ (carry) the table, he _____ (feel) a sharp pain in his back.
8. Sarah _____ (go) down the stairs when the lights _____ (go out).
9. We _____ (watch) TV when someone _____ (come) to the door and _____ (knock) very loudly.
10. What _____ (you/do) at this time yesterday? Oh, I _____ (prepare) the dinner.
11. I _____ (fall) asleep while I _____ (watch) television.
12. At 12:45 yesterday, Mr Alright _____ (see) a client in his office.

D: Complete the sentences using the present perfect continuous and add since or for.

1. Maria _____ (learn) English _____ two years.
2. I _____ (write) letters _____ 8:00.
3. Robert and Jane _____ (travel) around Europe _____ five weeks.
4. We _____ (go) to Ireland for our holidays _____ 1968.
5. It _____ (rain) _____ this morning.
6. Anne _____ (look) for a new job _____ a long time.
7. Mark _____ (sell) computers _____ he started his job with Olivetti.
8. We _____ (wait) for the bus _____ twenty-five minutes.
9. She _____ (play) piano _____ she was eight.
10. They _____ (watch) TV _____ hours.

E: Put the verb in the most suitable form, present perfect simple or continuous.

1. You look tired. _____ (you/study) hard?
2. Mr Brown is new here, isn't he? How long _____ (he/work) for the company?

3. I _____ (lose) my wallet. Have you seen it anywhere?
4. I _____ (read) the magazine you lent me, but I _____ (not/finish) yet.
5. _____ (you/hear) the bad news? Simon _____ (break) his leg!
6. How many articles _____ (you/write)?
7. What _____ (you/do)? I _____ (wait) for you for an hour!
8. Bob and his friends _____ (play) golf since this morning.
9. I _____ (know) Louise for ten years.
10. Mr Brown _____ (mark) the exams all morning, but he _____ (not/read) them all.

F: Put in the correct verb form: present perfect or past simple.

1. How long _____ (she/study) German?
2. When _____ (he/begin) to study Business Administration?
3. Who _____ (write) the play Dancing at Lughnasa.
4. _____ (you/visit) any museums when you were in Sofia.
5. Henry has a perfect school record. He _____ (not/be) sick this year.
6. Prices _____ (go) up. Things are much more expensive this week.
7. What _____ (happen) to you. I waited all afternoon for you.
8. Marilyn ____ (have) an accident. She was running for the bus when she ____ (fall) down.
9. Mr Arnold _____ (win) the Exporter of the Year prize twice.His brother _____ (win) it four times already.
10. Alfred Hitchcock _____ (make) lots of films in his long career.
11. I _____ (just/remember) something.
12. _____ (you/reply) to Mr Aston's letter yet?
13. Mr Miller _____ (work) in a travel agency for years. Then he gave it up.
14. Melanie lives in Bucharest. She _____ (live) there all her life.
15. My uncle died in 1960. I _____ (never/have) the opportunity to meet him.

G: Complete the sentences using the past simple or the past perfect.

1. When the teacher came in, everybody _____ (stand up).
2. I arrived two hours late because my car _____ (break down).
3. I was really tired last night. I _____ (have) a hard day.
4. Sam felt ill, so he _____ (go) to bed.
5. When we _____ (write) the letter, we went to the post office.

H: Complete the sentences using the past perfect or the past perfect continuous.

1. By the time I got home they _____ (eat) all the cake.
2. The room was very smoky. I could tell that my brother _____ (smoke) in there all afternoon.
3. She retired at fifty-five, but she _____ (work) hard all her life.
4. James was very irritable. He _____ (look) for his contact lens for an hour and he still _____ (not / find) it!
5. I was furious with Tom when he arrived. I _____ (wait) for him for hours.
6. Harry was sad to sell his car. He _____ (have) it for a long time.
7. Mary was covered in white paint. She _____ (decorate) the kitchen all afternoon.
8. Lucy went into the sitting room. The TV was on. Her brother _____ (watch) it and _____ (forget) to switch it off.
9. Hattie felt terribly sick. She _____ (eat) too many cream cakes.
10. The journey was incredibly long. We _____ (travel) for ten hours and we weren't even half way yet.

I: Complete the sentences using the present perfect or past perfect.

1. The park looked awful after the music festival. People _____ (leave) litter everywhere.
2. You _____ (make) a mistake. I am not the person you are looking for.
3. When we arrived at the cinema, the film _____ (already/start).
4. It isn't raining now. It _____ (finally/stop).
5. I am really not very hungry. I _____ (just/have) lunch.
6. His apartment was really dirty. He obviously _____ (not/clean) it for weeks.
7. At last the Board of Directors were ready to announce their decision. They _____ (make) up their mind.
8. I am so exhausted. _____ (really/have) a tough week.
9. The ball hit the back of the net before the goalkeeper _____ (notice).
10. The CEO didn't speak until he _____ (hear) all the arguments.

3.5 ARTICLES

Articles are words that define a noun as specific or unspecific. Consider the following examples:

After the long day, the cup of tea tasted particularly good.

By using the article *the*, we've shown that it was one specific day that was long and one specific cup of tea that tasted good.

After a long day, a cup of tea tastes particularly good.

English has two types of articles: Definite and Indefinite. Let's discuss them now in more detail.

3.5.1 The definite article

The definite article is the word *the*. It limits the meaning of a noun to one particular thing. For example, your friend might ask, "are you going to the party this weekend?" The definite article tells you that your friend is referring to a specific party that both of you know about. The definite article can be used with singular, plural, or uncountable nouns. Below are some examples of the definite article *the* used in context:

Please give me the hammer

Please give me the red hammer; the blue one is too small.

Please give me the nail.

Please give me the large nail; it's the only one strong enough to hold this painting.

Please give me the hammer and the nail.

3.5.2 The indefinite article

The indefinite article takes two forms. It's the word *a* when it precedes a word that begins with a consonant. It's the word *an* when it precedes a word that begins with a vowel. The indefinite article indicates that a noun refers to a general idea rather than a particular thing.

For example, you might ask your friend, "should I bring *a* gift to the party?" Your friend will understand that you are not asking about a specific type of gift or a specific item. "I am going to bring *an* apple pie," your friend tells you. Again, the indefinite article indicates that she is not talking about a specific apple pie. Your friend probably doesn't even have any pie yet. The indefinite article only appears with singular nouns. Consider the following examples of indefinite articles used in context

Please hand me a book; any book will do.

Please hand me an autobiography; any autobiography will do.

Exceptions: Choosing a or an

There are a few exceptions to the general rule of using *a* before words that start with consonants and *an* before words that begin with vowels. The first letter of the word *honor*, for example, is a consonant, but it's unpronounced. In spite of its spelling, the word *honor* begins with a vowel sound. Therefore, we use *an*.

Consider the example sentence below for an illustration of this concept.

My mother is a honest woman.

My mother is an honest woman.

Similarly, when the first letter of a word is a vowel but is pronounced with a consonant sound, use *a*, as in the sample sentence below:

She is an united states senator.

She is a United States senator.

This holds true with acronyms and Initialisms, too: an CD display, a UK-based company, an HR department, a URL.

Article before an adjective

Sometimes an article modifies a noun that is also modified by an adjective. The usual word order is article + adjective + noun. If the article is indefinite, choose *a* or *an* based on the word that immediately follows it. Consider the following examples for reference:

Eliza will bring a small gift to Sophie's party.

I heard an interesting story yesterday.

3.5.3 Indefinite articles with uncountable nouns

Uncountable nouns are nouns that are either difficult or impossible to count. Uncountable nouns include intangible things (e.g., information, air), liquids (e.g., milk, wine), and things that are too large or numerous to count (e.g., equipment, sand, wood). Because these things can't be counted, you should never use *a* or *an* with them - remember, the indefinite article is only for singular nouns. Uncountable nouns can be modified by words like *some*, however. Consider the examples below for reference.

Please give me a water.

Water is an uncountable noun and should not be used with the indefinite article.

Please give me some water.

However, if you describe the water in terms of countable units (like bottles), you can use the indefinite article.

Please give me a bottle of water.

Please give me an ice.

Note that depending on the context, some nouns can be countable or uncountable (e.g., hair, noise, time):

We need a light in this room.

We need some light in this room.

3.5.4 Uses of article ‘a’

- I. Before a word which begins with a consonant sound.
a man, a horse, a cat, a dog, a girl, a man, a woman and a pen.
- II. Before a vowel which has a consonant sound ‘yu’ or ‘w’:
a utensil, a university, a union, a uniform, a useful thing, European and a one rupee note.
- III. Before a common noun in the singular to represent the whole class.
A lion is a dangerous animal.
A dog is a faithful animal
- IV. Before Mr./miss/ Mrs. /Ms. And a surname when he or she is a stranger to the speaker.
a Mr. Rao left his card for you
- V. Before the names of professions/ a trade/ an occupation/ a class/ a religion, etc.
a teacher, a doctor, a lawyer, a farmer, a Hindu, a Christian and a Muslim.
My father is a farmer.
- VI. A is used with a proper noun used as a common noun.
He thinks he is a Bheema.
He thinks he is a Tendulkar.
- VII. Before numerical expressions such as:
Dozen/ hundred/ thousand/ million.
I ordered a hundred chairs.
She bought a dozen mangoes.
- VIII. Before phrases of time/speed/ratio and measurements.
He was driving at 50 miles an hour.
Tomatoes are rs.20 a kilo.
- IX. A is used in exclamations before singular countable nouns.
What a beautiful monument!
What a pretty child!

X. A is used with few and little in a positive sense.

We've had a few replies.

I need a few things from the store.

A stitch in time saves nine.

XI. Used before certain words: noise, headache, distance, hurry, walks.

Don't make a noise.

He is suffering from a headache.

3.5.5 Uses of article 'an'

I. Before a word beginning with a vowel or a vowel sound

(a, e, i, o, u).

An event, an egg, an hour, an x-ray, an Indian, an orange and an umbrella.

an event in history.

II. Before a word which starts with a silent 'h'.

An hour, an honest man, an honourable man, etc.

III. A consonant in an abbreviation which begins with a vowel sound.

An M.L.A., an M.P, an M.A., etc.

3.5.6 Omission of articles/Zero Article

Occasionally, articles are omitted altogether before certain nouns. In these cases, the article is implied but not actually present. This implied article is sometimes called a "zero article."

I Often, the article is omitted before nouns that refer to abstract ideas.

Examples

Let's go out for a dinner tonight.

Let's go out for dinner tonight.

The creativity is a valuable quality in children.

Creativity is a valuable quality in children.

II. Many languages and nationalities are not preceded by an article.

Example: *I studied the French in high school for four years.*

I studied French in high school for four years.

III. Sports and academic subjects do not require articles.

Examples

I like to play the baseball.

I like to play baseball.

My sister was always good at the math.

My sister was always good at math.

IV. a + nouns starting with a pronounced “h”: a horse

In some cases where “h” is pronounced, such as historical,” you can use an. However, a is more commonly used and preferred.

A historical event is worth recording

V. If the noun is modified by an adjective, the choice between a and an depends on the initial sound of the adjective that immediately follows the article:

Examples

A broken egg

An unusual problem

a European country (sounds like ‘yer-o-pi-an,’ i.e. Begins with consonant ‘y’ sound)

VI. Remember, the indefinite articles are used to indicate membership in a group:

I am a teacher. (I am a member of a large group known as teachers.)

Brian is an Irishman. (Brian is a member of the people known as Irish.)

Seiko is a practicing Buddhist. (Seiko is a member of the group of people known as Buddhists.)

VII. Before plural nouns.

Cows give milk.

Dogs are pet animals.

VIII. Before uncountable nouns.

Luggage, news, information, furniture, water, rice, milk, coffee and money.

I like coffee.

IX. Before material nouns

Gold, silver, glass, paper, cloth, wood, fiber and milk.

The table is made of wood.

3.5.7 Use of the definite article ‘the’

- I. Before a noun which refers to a specific or particular thing.
The boy in blue shirt is my brother.
The people i met there were very friendly.
- II. To refer to persons or things mentioned for the second time.
I met a girl and the girl was beautiful.
- III. To signify persons or things understood from the context.
I left the luggage (which I had with me) at the cloak room at the airport.
- IV. Before a singular noun which represents the whole class.
The lion is a ferocious animal.
The dog is a faithful animal.
The rose is a lovely flower.
- v. Before the names of unique things. (which there is only one in the universe)
The earth, the sky, the sun and the moon.
The sun rises in the east.
The sky is in blue color.
- VI. Before the names of rivers/ oceans/ seas/ gulfs/ mountain ranges and groups of islands.
 - (a) The Godavari, the Ganges, the Narmada, the Nile, the Krishna, etc.
 - (b) The Indian Ocean, the Arabian sea, the Persian gulf.
 - (c) The Himalayas, the vindhyas, the Andaman and Nicobar islands, the Maldives.
- VII. To tell the names of well known/ famous books. (Holy books)
The Ramayana, the Koran, the bible, the Bhagavad-Gita, etc.
The bible is a scripture.
- VIII. Before the names of ships/ trains/ aero planes and rockets.
The minar express, the jumbo, the Aryabhata.
The Boeing 707 is a supersonic flight.
- IX. Before the names of public/ historical buildings/ hotels/ shops/ theatres/ clubs/ companies etc.
The parliament house, the taj-banjara, the shopper’s stop and the lions club.
The maharaja palace is in Mysore.

- X. Before the plural names of the countries or where the type of the government is mentioned.
The west indies, the Netherlands, the Indian republic, the united kingdom.
He went to the U.S.A. last month.
- XI. Before the names of inventions.
The telescope enables us to see distant stars.
- XII. Before proper noun, when it is used as a common noun.
Kalidasa is the shakespeare of India.
- XIII. Before superlative degree (adjectives).
He is the best player in the team.
He is the smallest boy in class.
It was the best day of my life.
- XIV. Before ordinals (first, second, etc).
He came here on the fifth of October recently.

3.5.8 Omission of the article 'the'

- I. Before proper nouns/ material nouns/ collective nouns/ abstract nouns/ plural nouns (used in general sense).
(a) Joy, sorrow, intelligence, ram, Hyderabad and India.
India is a great country.
Gold is a valuable metal.
Fruits are good for health.
Knowledge is power.
- II. Before institutions and places of assembly like school, church, college, hospital and university etc., (when these places are visited for their primary purpose).
We went to church on Sunday.
Children go to school.
- III. Before names of meals unless specially qualified. (when used in general sense)
Dinner is ready.
Children are waiting for breakfast.
- IV. Before the names of the days/night/week/month/year, proceeded by next or last.
We will meet next year.
Went to a film last night.

- V. Before parts of the body (when they are used with possessives)
My legs, his eyes
- VI. Before names of substances (used in general sense).
(a) Iron, flour and dough etc.
- VII. Before words showing nationality used in plural form.
Indians are very good at heart.
- VIII. Before title/positions like president, king, pope etc., if the name follows;
Pope Benedict is a good Samaritan.
- IX. Before the names of mountains and hills.
Mt. McKinley is the highest peak in North America.
- X. Geographical use of the
There are some specific rules for using 'the' with geographical nouns.

Do not use the before

Names of most countries/territories: Italy, Mexico, Bolivia; however, the Netherlands, the Dominican republic, the Philippines, the united states is correct.

Names of cities, towns, or states: Mumbai, Delhi

Names of streets: Gandhi Street

Names of lakes and bays: Lake Kolleru, Lake Panama except with a group of lakes like the great lakes of Africa.

Names of mountains: Mount Everest, mount Fuji except with ranges of mountains like the Andes or the Rockies or unusual names like the Matterhorn

Names of continents: Asia, Europe

Names of islands (Easter island, Maui, key west) except with island chains like the aleutians, the Hebrides, or the canary islands.

3.5.9 Task

TASK-13: Choose the suitable article from the following

- Are you coming to _____ party next Saturday?
- I bought _____ new TV set yesterday.
- I think _____ man over there is very ill. He can't stand on his feet.
- I watched _____ video you had sent me.
- She was wearing _____ ugly dress when she met him.
- I am crazy about reading _____ history books.

7. She is _____ nice girl.
8. Do you want to go to _____ restaurant where we first met?
9. He is _____ engineer.
10. He thinks that _____ love is what will save us all.

Answers

1. Are you coming to the party next Saturday?
2. I bought a new TV set yesterday.
3. I think the man over there is very ill. He can't stand on his feet.
4. I watched the video you had sent me.
5. She was wearing an ugly dress when she met him.
6. I am crazy about reading x history books.
7. She is a nice girl.
8. Do you want to go to the restaurant where we first met?
9. He is an engineer.
10. He thinks that x love is what will save us all.

TASK-14: Choose the correct article: (a or an)

1. I am going to _____ concert tomorrow.
2. My boyfriend is _____ actor.
3. Her cousin has _____ very good job.
4. That was _____ interesting game.
5. She is _____ honest person.
6. We had _____ really good time yesterday.
7. Bring _____ umbrella. It is going to rain.
8. Tomorrow will be _____ hot day.
9. Mary is _____ good friend.
10. I want to eat _____ apple.

Answers

1. a	2. an	3. a	4. an	5. an
6. a	7. an	8. a	9. a	10. an

Mixed Articles**TASK-15: For each blank space, choose the proper article (a, an, the, or no article)**

1. Denver is located at the foot of _____ Rocky Mountains. a) a b) the c) no article
2. Toronto is located on _____ Lake Ontario. a) a b) the c) no article
3. San Diego is located near _____ Mexican border. a) a b) the c) no article
4. Let's go to _____ Mexico. a) a b) the c) no article
5. _____ Nile is the longest river in the world. a) A b) The c) no article
6. _____ Sahara is the world's biggest desert. a) A b) The c) no article
7. I spoke with _____ Chinese film director that I told you about. a) a b) the c) no article
8. Do you speak _____ Chinese? a) a b) the c) no article
9. I need _____ bottle of water. a) a b) the c) no article
10. Spain is one of _____ largest European countries. a) a b) the c) no article

Answers

1. b	2. c	3. b	4. c	5. b
6. b	7. b	8. c	9. a	10. b

TASK-16: Fill in the blanks below with either a, an, the, or no article:

1. Q: Is dad picking us up today?
A: Nope, _____ mom's picking us up.
2. Q: Who's that?
A: That's _____ guy I told you about last week.
3. Q: Why are you so upset?
A: I'm not upset. You're _____ one who's upset.
4. Q: Is this _____ bad time? Should I call you later?
A: Yes, please call me in 30 minutes.
5. Q: How do you like my dress?
A: Wow! That's _____ one beautiful dress!
6. Q: Why won't your brother talk to me?
A: Because you told him he was stupid! That was _____ very mean thing to say.

7. Q: Do you like cats or dogs?

A: I like them both, but I think I like _____ cats more than _____ dogs.

8. Q: Is this _____ road to San Francisco?

A: Yes, it is.

9. Q: Do you know the name of _____ artist who painted this portrait?

A: Yes, it's Henri

10. Q: We'll never make it on time!

A: Sure we will! I know _____ shortcut

Answers

1. no article	2. the	3. the	4. a	5. no article
6. a	7. no article	8. the	9. the	10. a

TASK-17: Please complete the following exercise using a/an/the/zero (no article) in the underlined spaces where appropriate. (Some articles have been included for you, but others are missing.) Change capital letters to lower case letters at the beginning of a sentence if necessary.

There has never been (1) _____ more exciting time to produce (2) _____ new dictionary. Everything is changing and expanding: the English language itself, the technology that helps us to describe it, and (3) _____ needs and goals of those learning and teaching (4) _____ English. (5) _____ 1960s saw the development of (6) _____ first large corporate (special collections) of English text. (7) _____ another of the Macmillan English dictionary's innovations is that two similar but separate editions have been created from (8) _____ same database: one for learners whose main target variety is (9) _____ American English, (10) _____ other for learners of British English. The differences are small but significant.

Answers

1. A	2. A	3. The	4. No article	5. The
6. The	7. No article	8. The	9. No article	10. The

3.5.10 Check Out

Assignment-11: Fill in the blanks below with either a, an, the, or no article:

1. Q: What did you get for your birthday?

A: I got _____ lot of good presents.

2. Q: What did you get for your birthday?
A: I got _____ lots of good presents.
3. Q: Where are you going for your vacation?
A: I'm going to _____ Dominican Republic.
4. Q: What do you think of Mexico?
A: I think it's _____ very beautiful country.
5. Q: Do you have a scarf I could borrow?
A: Yes, I have two. _____ blue one and _____ beige one.
6. Q: How is your grandfather?
A: He's _____ little sick, but it's nothing serious.
7. Q: Where were you _____ last night? I called you three times.
A: Oh, sorry. My cell phone was off all day yesterday.
8. Q: Do you think he's lying?
A: No, he's the kind of _____ guy that always tells the truth.
9. Q: Do you remember _____ exact date when the war started?
A: No, I don't.
10. Q: Are you watching _____ Lakers-Celtics game? What's _____ score?

Assignment-12: Choose the correct article: (a or an)

1. I moved to _____ USA when I was 15 years old.
(a) a (b) the (c) no article
2. I can spell as well as _____ most students.
(a) a (b) the (c) no article
3. He is _____ most famous actor I know.
(a) a (b) the (c) no article
4. Hurry up. We don't have _____ lot of time.
(a) a (b) the (c) no article
5. I live around here = I live in _____ neighborhood.
(a) a (b) the (c) no article

6. I don't know at all = I don't have _____ clue.
(a) a (b) the (c) no article
7. I have _____ idea!
(a) a (b) the (c) no article
8. _____ tea in my cup is too hot to drink.
(a) a (b) the (c) no article
9. The US President lives in _____ White House.
(a) a (b) the (c) no article
10. My parents live in _____ white house.
(a) a (b) the (c) no article

Assignment-13: Complete the following exercise with a / an, or the, put "X" where no article is needed.

1. Have you got _____ car?" "No, I've never had _____ car in my life."
2. Don't stay in that hotel. _____ beds are very uncomfortable.
3. "Is that your wife?" "No, my wife's _____ woman in _____ red dress."
4. After I leave _____ school, I want to go to _____ university.
5. What's in _____ newspaper?
6. Can you show me _____ that book, please?
7. What's _____ name of _____ woman in _____ blue dress?
8. _____ water turns into _____ ice at 0 degree c.
9. I go to _____ hospital to treat _____ patient.
10. She lives in _____ nice flat on _____ fifth floor of _____ old house.

Assignment-14: Put a suitable article wherever necessary.

1. I have _____ little money left; let's have dinner in _____ restaurant.
2. I had _____ very bad night; i didn't sleep _____ wink.
3. He is _____ vegetarian; you won't get _____ meat at his house.
4. Tobacco is one of _____ most important products of _____ south.
5. Like many women, she loves _____ tea parties and _____ gossip.
6. _____ coffee which comes from Brazil is _____ best.

7. _____ fresh air is needed by everyone.
8. I get on _____ train at _____ same place every day.
9. _____ telephone seldom rings in our home.
10. _____ coffee is very strong.

Assignment-15: Fill in the blanks with the suitable article.

I am from Winchester, Hampshire. Winchester is ____ city in ____ united kingdom. I live in ____ town called taunt on which is on ____ river tone. I live in ____ house in ____ Quiet Street in the country side. ____ street is called Hudson street and ____ house is old more than 100 years old! I am ____ English lecturer at ____ college near ____ centre of the town. I like books, music and taking photographs. I usually have lunch at college. I usually go home by car. We have all kinds of food in England. I like polish food very much. Sometimes, I go to ____ polish restaurant in bath. ____ restaurant is called magda's. ____ Polish food is delicious!

Assignment-16: Complete the following exercise with a / an, or the, put "X" where no article is needed.

1. Have you got _____ car?" "No, I've never had _____ car in my life."
2. Don't stay in that hotel. _____ beds are very uncomfortable.
3. "Is that your wife?" "No, my wife's _____ woman in _____ red dress."
4. After I leave _____ school, I want to go to _____ university.
5. What's in _____ newspaper?
6. Can you show me _____ that book, please?
7. What's _____ name of _____ woman in _____ blue dress?
8. _____ water turns into _____ ice at 0 degree c.
9. I go to _____ hospital to treat _____ patient.
10. She lives in _____ nice flat on _____ fifth floor of _____ old house.

Assignment-17: Put a suitable article wherever necessary

1. I have _____ little money left; let's have dinner in _____ restaurant.
2. I had _____ very bad night; i didn't sleep _____ wink.
3. He is _____ vegetarian; you won't get _____ meat at his house.
4. Tobacco is one of _____ most important products of _____ south.
5. Like many women, she loves _____ tea parties and _____ gossip.

6. _____ coffee which comes from Brazil is _____ best.
7. _____ fresh air is needed by everyone.
8. I get on _____ train at _____ same place every day.
9. _____ telephone seldom rings in our home.
10. _____ coffee is very strong.

3.6 PREPOSITIONS

Prepositions are short words (on, in, to) that usually stand in front of nouns. The prepositions are a part of the parts of speech which connect words, clauses and sentences together and show the relations between them. In a sentence, the preposition shows relationships among other words in the sentence that include direction, place, time, cause, manner and amount.

Prepositions are those words in a sentence that show how the nouns, pronouns and phrases are related with other parts of the sentence.

Example: In the sentence the cow is in the field, the preposition in shows the relationship between the words cow and the field. The relations that prepositions express can be as follows:

(a) Time relation	(b) place relation	(c) Position relation
(d) state relation	(e) Cause relation	(f) purpose relation.

By using the relations we have the following examples

- (i) He came at five o'clock. (Expresses time relation of the noun to the verb.)
- (ii) He is in the room. (Expresses place relation of the noun to the verb.)
- (iii) He is standing between John and Jack. (Between expresses position relation.)
- (iv) She is in a trouble. (Expresses state relation of the noun to the verb.)
- (v) They jumped up for joy. (For expresses cause relation.)
- (vi) They stood firm for their rights. (Expresses purpose relation.)

3.6.1 Types of Prepositions

Prepositions may be arranged in the following classes

1. Simple preposition

At, by, for, from, in, of, off, on, out, through, till, to, up, with.

2. Compound preposition

Which are generally formed by prefixing a preposition to a noun, an adjective or an adverb.

Ex: About, above, across, along, amidst, among, before, behind, beside, between, inside, outside, underneath, within, without.

3. **Phrase preposition:** Phrase preposition is a group of words used with the force of a single preposition: according to, in accordance with, in place of, along with, in course of, owing to, with a view to, in order to, for the sake of.
4. **Preposition of place:** About, across, among, before, between below, behind, from, through, near, on, over, under, upon, within, round, without, beside into.
5. **Preposition of time:** After, at, in, on, during, since, through, throughout, towards, from, during, into, behind.

At: Is used to indicate a definite point of time:

Ex: He came *at* 8 o'clock; I shall tell him the fact *at* the right time.

In: Is used to indicate year, century, morning, evening, time period (in years, hours, days, months) seasons etc.

Ex: I get up early *in* the morning. It shall be completed *in* four hours/months.

On: Is used in expressing days and dates, as

Ex: My school shall reopen on Monday

India was declared independent on 15th august 1947.

From and to: From is used to indicate the beginning of an action, and to indicate the time when the action ends.

Ex: The diwali vacation is from 15th October to 22nd October 2005.

6. **Preposition of direction:** Prepositions are those indicative of direction, such as across, up, and down.

Ex: look to the left and you'll see our destination.

Ending a sentence with a preposition

The old claim that it's wrong to end a sentence with a preposition has been utterly debunked. It's not true and it never was true. Writers who always insist that a preposition can't end a sentence often end up with stilted and unnatural sentences:

There's no one else to hide behind. (Grammatically correct and natural)

There's no one else behind whom to hide. (Grammatically correct, but unnatural)

Where did you come from? (Grammatically correct and natural)

From where did you come? (Grammatically correct, but unnatural)

That said, it is sometimes more elegant to move a preposition to an earlier spot in a sentence, especially in very serious and formal writing. But if you do move the preposition, remember to delete it from the end.

This is something we must meditate on.

This is something on which we must meditate.

This is something on which we must meditate on.

3.6.2 Unnecessary Prepositions

One of the most common preposition mistakes is adding an unnecessary at to the end of a question.

Where is your brother at?

Although this is common in some English dialects, it's considered an error in writing. You can fix the problem by simply deleting the at.

Where is your brother?

On the bright side, if you're not sure which preposition to use, sometimes you can just get rid of it altogether. In fact, you should always get rid of unnecessary prepositional phrases. Too many prepositions can be a sign of flabby writing.

Getting rid of the prepositions forces you to tighten up the sentence. The result is shorter, more direct, and easier to understand:

Here's another example

Alex hit the baseball up over the fence.

Get rid of the up. You don't need it:

Alex hit the baseball over the fence.

3.6.3 Other Uses of Preposition

1. **`About'** shows nearness.

Example: I am about to reach.

2. **`After'** refers to sequence.

Example: She came just after her husband.

3. **`Across'** means from one side.

Example: Rahul shouted my name from across the road.

4. **`Before'** stands for 'in front of'.

Example: Aman stood before his father and begged for his forgiveness.

5. 'Beside' means 'by the side of'.

Example: A couple should stand beside each other through tough times.

3

6. 'Besides' means 'in addition to'.

Example: I cannot come, besides I am not even interested in the event.

3.6.4 Task (GATE 2018)

TASK-18: Correct the sentence using the proper preposition

1. The diver dive in the pool from a great height (SSC CGL, 2019)
 - (a) Dives to a pool
 - (b) Dived into the pool
 - (c) No improvement
 - (d) Dived at the pool
2. The director will agree with the proposal if we do not exceed the budget. (SSC CGL, 2019)
 - (a) No Improvement
 - (b) Agree to the proposal
 - (c) Agree on the proposal
 - (d) Agreed by the proposal
3. There is a great degrade in values in modern age. (SSC CGL, 2019)
 - (a) Degradation of values
 - (b) Deliberation of values
 - (c) Demonstration from values
 - (d) No Improvement
4. No effort has been made by the Indian cricket team to cash off on its vibrant image in the world cup (SSC CGL, 2019)
 - (a) to cash up on
 - (b) for cash through in
 - (c) to cash in on
 - (d) for cashing off on
5. Amit has the good command on English as he was born and brought up in England (SSC CGL, 2019)
 - (a) A better command of
 - (b) A good command over
 - (c) No improvement
 - (d) The best command in
6. Our new office will become operational from a week's time. (SSC CGL, 2019)
 - (a) In a week's time
 - (b) By the week's time
 - (c) For a week's time
 - (d) No Improvement

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In the sentence identify the segment which contains the grammatical error

7. The prime minister along with the other ministers ____ for America. (SSC CGL, 2019)
 - (a) For America
 - (b) Have left
 - (c) The prime minister along with
 - (d) The other ministers

8. A man in need pleaded for help (SSC CGL, 2019)
 (a) No Improvement (b) Promised for help
 (c) Commanded to help (d) Requested for helpin
9. Deepa walked down the road slowly without looking anybody (SSC CGL, 2019)
 (a) Slowly without (b) Down the road (c) Looking anybody (d) Deepa walked
10. One of the boys from our school have been selected for national badminton (SSC CGL, 2019)
 (a) Have been selected (b) From our school
 (c) For national badminton championship (d) One of the boys
11. One of the greatest responsibilities of a scientist is that his discoveries and inventions are utilized to the overall development of the nation. (SSC CGL, 2019)
 (a) Development of the nation (b) One of the greatest responsibilities of a scientist
 (c) Is that his discoveries and inventions (d) Are utilized to the overall
12. Everyone except she have travelled by air (SSC CGL, 2019)
 (a) Everyone except (b) No Error (c) Travelled by air (d) She have
13. We had a long discussion at a cup of coffee (SSC CGL, 2019)
 (a) A long discussion (b) Of coffee (c) We had (d) At a cup
14. He was greatly disappointed to be failed again (SSC CGL, 2019)
 (a) By being failed (b) On failing (c) To failed (d) No improvement
15. As a little child she was afraid from darkness (SSC CGL, 2019)
 (a) No error (b) As a little child (c) From darkness (d) She was afraid

Answers

1. (b) 2. (b) 3. (a) 4. (c) 5. (b) 6. (a) 7. (b) 8. (a)
 9. (c) 10. (a) 11. (d) 12. (d) 13. (d) 14. (b) 15. (c)

TASK-19: Choose the correct prepositions from the following options

1. I talked to him _____ the weekend.
 (a) at (b) in (c) on
2. The dog is _____ the doghouse.
 (a) at (b) in (c) on

3. I eat breakfast _____ the morning.
(a) at (b) in (c) on
4. We arrived _____ the airport in the evening.
(a) at (b) in (c) on
5. I was _____ work all day.
(a) at (b) in (c) on
6. Put the book _____ the table.
(a) at (b) in (c) on
7. He is currently _____ vacation.
(a) at (b) in (c) on
8. I'll call you _____ half an hour.
(a) at (b) in (c) on
9. We had a good time _____ the basketball game.
(a) at (b) in (c) on
10. There are many good restaurants _____ this city.
(a) at (b) in (c) on
11. Thank you _____ telling me about this.
(a) in (b) by (c) for
12. Who did you buy this _____?
(a) from (b) on (c) in
13. The factory workers have been _____ strike since January.
(a) on (b) in (c) about
14. _____ you and me, I don't think he's a very good teacher.
(a) Through (b) Between (c) Among
15. P1: Did you do it _____ purpose? P2: No, it was an accident!
(a) by (b) in (c) on

Answers

1. c 2. b 3. b 4. a 5. a 6. c 7. c 8. b 9. a 10. b
11. c 12. a 13. a 14. b 15. c

TASK-20: Write the correct preposition in a given paragraph.

I'm Peter and I live _____ (1) Germany. _____ (2) Summer I like to travel _____ (3) Italy, because _____ (4) the weather and the people there. Last summer I took a plane _____ (5) Munich to Rome. _____ (6) the airport we went to our hotel _____ (7) bus. We stopped _____ (8) a small restaurant for a quick meal. The driver parked the bus _____ (9) the restaurant. Nobody could find the bus and the driver, so we waited _____ (10) the restaurant _____ (11) one hour. The driver was walking _____ (12) the small park _____ (13) the restaurant which we did not know. So we were very angry _____ (14) him. But my holidays were great. We sat _____ (15) campfires and went dancing _____ (16) the early mornings.

Answers

1. In	2. In	3. To	4. Of	5. From	6. From
7. By	8. At	9. Behind	10. Outside	11. For	12. Through
13. Near	14. With	15. Round	16. Till		

3.6.5 Check Out

Assignment-18: Please choose the correct preposition (in/of/on) for the sentences in this exercise.

- All the students will work _____ a collaborative environment.
- They need to concentrate _____ their studies.
- They will be placed _____ a range of community settings.
- We examined the scientific basis _____ dental practice.
- This degree appeals to students who are interested _____ working in the new fields and occupations created by digitization
- The essay will be _____ a topic you have studied recently.
- These are the cultural processes _____ globalisation.
- Here is a simple analysis _____ algorithm.
- The researchers are reliant _____ external funding.
- This course provides the opportunity to focus _____ your major area of interest.

Assignment-19: Please choose the correct preposition (about/for/to) for the sentences in this exercise.

- In addition to the formal contact time required _____ each course students will need to allocate non-contact time.

2. The course encourages students to think critically ——— development.
3. The relative proportion of contact and non-contact time may vary from course ——— course.
4. The course aims to help people make sound choices ——— health.
5. Graduates are well equipped ——— careers in environmental policy.
6. Marine biology is all ——— the largest and most diverse ecosystem on the planet ——— the sea.
7. This academic program offers opportunities for studies that can lead ——— careers in the increasingly important field of international business.
8. Students will learn ——— such key concepts as the scientific method.
9. The degree is designed to build a student's capacity ——— lifelong learning beyond graduation.
10. You will study issues related ——— individual adjustment and maladjustment.

Assignment-20: Fill the gaps with the correct prepositions.

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1. We live _____ London.
2. Would you like to go _____ the cinema tonight?
3. No, thanks. I was _____ the cinema yesterday.
4. We are going _____ holiday next week.
5. There is a bridge _____ the river.
6. The flight from Leipzig to London was _____ Frankfurt.
7. _____ my wall, there are many picture postcards.
8. Who is the person _____ this picture?
9. Come _____ the sitting room, we want to watch TV.
10. Munich lies 530 meters _____ sea level.
11. James stood _____ the end of the cliff and looked to the sea below.
12. I met my girlfriend _____ an art exhibition.
13. They've bought a house _____ the corner of Green Street.
14. We stopped _____ our way to Madame Tussaud's to ask for directions.
15. The group of boys walked slowly _____ the entrance sign.
16. The best view of the city is _____ the top of the castle, but you have to climb a steep hill to reach it.

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17. We couldn't get _____ the theatre because the doors were locked.
18. He ran _____ the stairs and opened the front door.
19. Go _____ the bridge and you'll see the bowling alley on the other side.
20. We stopped in shock because we saw a huge truck coming _____ us.

Assignment-21: Complete the passages using suitable prepositions.

The dromedary is a type of camel kept _____ (1) desert people. It is not an easy animal to handle. It never becomes friends' _____ (2) its master or anybody else. Every night, these animals have to be pushed _____ (3) to their knees and tied _____ (4) tightly.

The dromedary is strong. It can easily throw _____ (5) all it is carrying and gallop madly _____ (6). To lead these animals, the nomads use long reins. These reins are tied _____ (7) an iron ring. The iron ring is pushed _____ (8) the nostril of the animal.

Dromedaries can live _____ (9) thorny plants, leaves, twigs and dried grasses that other animals cannot eat. They keep stores of fat _____ (10) the humps on their backs. Their bodies can use these stores of fat _____ (11) bad times, when there is no food. They can make water _____ (12) these stores, too. Dromedaries are able to go _____ (13) food and water _____ (14) many days. Hence, they are extremely useful for journeys _____ (15) the desert.

3.7 QUESTION TAGS

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Question tags are used in spoken English, but not in written English. They are put **at the end of the sentence**.

To make a **question tag**, use the first auxiliary (forms of to be, have) or modal verb (must, can, will). If there isn't an auxiliary or modal verb, use do, does or did.

3.7.1 Positive or Negative Question Tags

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1. If the sentence is positive, the question tag must be negative.

- He **is** good at dancing, **isn't** he?
- They **left** yesterday afternoon, **didn't** they?
- She **was** surprised, **wasn't** she?
- Madhavi can speak English, **can't** she?

3

2. If the sentence is negative, the question tag must be positive.

- He **isn't** good at dancing, **is** he?
- They **didn't** leave yesterday, **did** they?
- She **wasn't** surprised, **was** she?
- They **aren't** funny, **are** they?
- He **shouldn't** say things like that, **should** he?

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3. When the verb in the main sentence is in the present simple we form the question tag with **do / does**.

- You play the guitar, **don't** you?
- Anitha likes tennis, **doesn't** she?

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If the verb is in the past simple we use **did**.

- They went to the cinema, **didn't** they?
- She studied in Germany, **didn't** she?

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4. When the statement contains a word with a negative meaning, the question tag needs to be **positive**

- He hardly ever speaks, **does** he?
- They rarely eat in restaurants, **do** they?

5. Question Tags with Auxiliary Verbs

- They **haven't** met him before, **have** they?
- He **is** in the park, **isn't** he?
- They **are** studying at the moment, **aren't** they?
- She **has** a brother, **hasn't** she?
- They **were** in Paris last week, **weren't** they?

6. Question tags with modal verbs

- She **can** help him, **can't** she?
- He **will** tell me, **won't** he?
- They **should** learn for the test, **shouldn't** they?
- It **can't** be true, **can** it?

7. Question tags without auxiliary or modal verb

- She **left** last Friday, **didn't** she?
- He **works** in your company, **doesn't** he?
- You **don't** know him, **do** you?

8. Each, every, everyone, everybody, no one, nobody, none are singular and hence will take singular verb/ singular pronoun/ singular adjective with them but their question tag will take plural verb and plural pronoun.

- Everyone has come, **haven't** they
- Everybody has to pay his own bill, **Haven't** they?
- None of your friends has arrived yet, **Have** they?
- None of your friends like her, **do** they
- Everyone can speak English, **can't** they?

9. If the sentence starts with "let us/ let's ", "shall we" is used in the question.

- Let us go to party tonight, **shall** we?
- Let us help her to complete the work , **shall** we?
- Let us go to meet her, **shall** we?

10. In Imperative sentences, question tag 'won't you' is used.

- come in, **won't** you?
- Please give me the documents, **won't** you?

11. Collective noun takes singular verb and singular pronoun in question tag.

- The jury has taken its decision, **hasn't** it?

12. If we talk about the individual members of the collective noun or if there is a difference in opinion among the members of the collective noun, plural verb and plural pronoun are used.

- The comm are divided in their opinion, **aren't** they?
- The audience have taken their seats, **haven't** they?

13. If in a imperative sentence, somebody is being offered anything, or if someone is being asked to do something, "will you/ would you" is used in the question tag.

- Open the door, **would** you?
- Have some more tea, **would** you?

14. Moon, earth, river, motherland, country, ship, train are treated as feminine gender. In the tag question the Pronoun used will be "she". Instead of she ' it' can also be used.

- The Titanic was thought to be unsinkable, **wasn't** she?
- India has never attacked any country, **has** she?

Exceptions

Some verbs / expressions have different question tags. For example

- **I am** - I am attractive, **aren't** I?
- **Positive imperative** - Stop daydreaming, **will** / **won't** you?
- **Negative imperative** - Don't stop singing, **will** you?
- **Let's** - Let's go to the beach, **shall** we?
- **Have got (possession)** - He has got a car, **hasn't** he?
- **There is / are** - There aren't any spiders in the bedroom, **are there**?
- **This / that is** - This is Paul's pen, **isn't** it?

3.7.2 Intonation

Intonation is the word used to describe the way in which the voice rises or falls is spoken English. It is very important in speech. The rise and fall of the voice while speaking is called Intonation.

Intonation is defined as "speech melody consisting of different tones". An intonation is a melody that belongs to an entire sentence. Intonation plays an important role in the spoken language.

Different intonation patterns are used to send out signals to express different attitudes that may “colour” a message.

Without intonation, our voices are flat and monotone. Without intonation, one cannot understand the speaker’s feelings as well the speaker’s attitudes.

For Example

Are they really happy? or Are they very angry?

Is there something exciting happening or perhaps a surprise of some sort? Thus, the person confident in what they think or say, or are they unsure of what they are thinking or saying?

Intonation is about how we say things, rather than what we say, the way the voice rises and falls when speaking, that is why, it is the music of the language.

Objective Factors

Few things must be kept in mind during a conversation:

a. Pitch

While some people naturally have higher voices than others. Women tend to speak in a high pitch voice than men. We convey emotions through our pitch of voice.

b. Pace

This is how fast and slow the speech is. While rapid speech may indicate that the speaker is nervous or excited, a steady pace shows confidence. It reflects a topic of a more serious nature.

c. Power

This refers to where you place the stress in a sentence, and can change the meaning of your speech almost entirely. For example, take a sentence “I didn’t say your behaviour was bad!”. Depending on where you place the stress in this sentence, you can elicit an entirely different response. The rate at which work is done is called power. One can practically name it by the way of utterancy.

d. Tone

Tone is the easiest giveaway when it comes to emotion. We often think of vocal tones as being warm or cold. For example, the phrase “see you later” spoken in a warm tone implies excitement at the impending reunion, whereas spoken in a cold tone it could be a clue that the speaker isn’t particularly keen on seeing you after all! Tone makes the sender as well as the listener attentive.

3.7.3 Tone Groups

Intonation and stress are closely linked. They go hand in hand. Just as words have stressed syllables, sentences have regular patterns of stressed words. In addition, the voice tends to rise, fall or remain flat depending on the meaning or feeling we want to convey (surprise, anger, interest, wonder, gratitude, solitude etc.). It indicates the mood of the speaker.

There are two basic patterns of intonation in English:

1. Falling intonation and
2. Rising intonation.

In the following examples a downward arrow (↘) indicates a fall in intonation and an upward arrow (↗) indicates a rise in intonation.

- I. Falling Intonation (?):-** The pitch of the voice falls at the end of the sentence. But, voice must be clear till the end. Falling intonation is the most common intonation pattern in English. It is commonly found in statements, commands, wh-questions, confirmatory question tags and exclamations as well.

1. Statements

a. Glad to meet ↘ you.	b. I will be back in a ↘ minute.
c. He doesn't seen here ↘ anymore.	d. My mother wants to change her ↘ car.
e. Here is the weather ↘ forecast.	

2. Commands

a. Write your name ↘ here.	b. Show me what have you ↘ written.
c. Keep it on the ↘ desk.	d. Take that picture ↘ down.
e. Throw that ↘ out.	

3. Why-questions(requesting information)

(questions beginning with 'who', 'what', 'why', 'where', 'when', 'which', and 'how')

a. What country do you come ↘ from?	b. Where do you ↘ work?
c. Which of them do you ↘ prefer?	d. How many books have you ↘ bought?
e. When does the shop ↘ open?	f. Whose bag is ↘ this?

4. Questions Tags that are statements requesting confirmation rather than questions.

Not all tag questions are really questions. Some of them merely ask for confirmation or invite agreement, in which case we use a falling tone at the end.

- a. She thinks, she's so clever, doesn't ↘ she?

- b. He is such an arrogant, isn't ↘he?
- c. They failed the test because they didn't revise, did ↘they?
- d. It doesn't seem to bother him much, does ↘it?

5. Exclamations

- a. How nice of ↘you!
- b. That's just what they ↘need!
- c. He doesn't ↘say!
- d. What a beautiful ↘voice!
- e. That's a ↘wonder!

II. Rising Intonation

The pitch of the voice rises at the end of a sentence. Rising intonation invites the speaker to continue talking. It is normally used with yes/no questions, and question tags that are real questions.

1. Yes or No Questions

- a. Do you like your new ↗teacher?
- b. Have you finished work ↗already?
- c. May I borrow your ↗bike?
- d. Do you have any ↗magazines?
- e. Do you sell ↗grocery?

2. Questions tags that show uncertainty and require an answer (real questions).

- a. We've met already, ↗haven't we?
- b. You like fish, ↗don't you?
- c. You're a new student ↗aren't you?
- d. The view is beautiful, ↗isn't it?

We sometimes use a combination of rising and falling intonation in the same sentence. The combination is called Rise-Fall or Fall-Rise intonation.

III. Rise-Fall Intonation (↗↘) : This is also called Rising Tone-Falling Tone. We use rise-fall intonation for choices, lists, unfinished thoughts and conditional sentences.

1. Choices(alternative questions)

- a. Do you have ↗tea or ↘coffee?
- b. Is Kavish leaving on ↗Monday or ↘Friday?
- c. Does he speaks ↗French or ↘English?

- d. Is your name ↗Rama or ↘Bima?

2. Lists (rising, rising, rising, falling) – 3 times rising and one time falling. Intonation falls on the last item to show that the list is finished.

- a. We've got ↗apples, pears, bananas and ↘oranges.

- b. The sweater comes in ↗blue, white pink and ↘black.
 - c. I like ↗football, tennis, basketball and ↘volleyball.
 - d. I bought ↗ a t-shirt, a skirt and a ↘ handbag.
- 3. Unfinished thoughts(partial statements):** In the responses to the following questions, the rise-fall intonation indicates reservation. The speaker hesitates to express his/her thoughts completely.
- a. Do you like my new handset? Well the ↗guard is ↘nice...
(but i don't like it).
 - b. What was the meal like? Hmm, the ↗ bitter guord dish was ↘ good...
(but the rest wasn't great).
- 4. Conditional Sentences:** The tone tone rises in the first clause and falls gradually in the second clause.
- a. If she ↗calls, ask her to leave a ↘message.
 - b. Unless he ↗insists, I'm not going to ↘go.
 - c. If you have any ↗problems, just ↘contact us.

IV. Fall-Rise Intonation (↘↗): The voice falls and rises usually within one word. The main function of fall-rise intonation is to show, the speaker is not certain of the answer. It is also used in polite or suggestions.

1. Hesitation/reluctance

- a. So you'd be willing to confirm that? ...Well ... I ↘sup ↗pose so ...
- b. You didn't see him on Monday?I don't quite ↘re ↗member ...

2. Politeness-Doubt-Uncertainty: (You are not sure what the answer might be.)

- a. Perhaps we could ↘vis ↗it the place?
- b. Do you think it's ↘al ↗lowed?

3.7.4 Some Important Points to be Remembered

The following are the most important aspects to be noted.

Pronunciation, Stress and Rhythm are the integral parts of intonation.

- 1. One must be a good listener.
- 2. Be attentive while you talk.
- 3. Observe lip movement and mouth while others pronouncing.

4. Initially, take one letter or two pairs of letters or small words – get on to the pronunciation.
5. One must observe oneself by standing in front of a mirror – practice accordingly.
6. Make a note from the sounds of English.
7. Tongue plays a vital role, for Eg – ‘l’, ‘R’.
8. Break the words into sounds, for Eg – ‘in’- ‘tro’- DUCE.
9. Take a video of your pronunciation and check twice.
10. Get improved by reading aloud.
11. This is going to act a key to speak.
12. Pronunciation mixed with stress sometimes become softer and sometimes hard.
13. Practice right form of the letters into words and then to sentences.
14. The tone and pitch of the voice sometimes incredible and listeners get impressed.
15. This has its own naturality with strength and sometimes the force of action.
16. Pronunciation along with stress joined with rhythm give natural sound.
17. It has its own fluency.
18. It develops confidence.
19. Improve listening skills and speaking ability.
20. This is music of English.

3.7.5 Tasks

TASK-21: Mark the stress and use falling intonation of the following sentences.

1. Nobody told me about it.
2. You cant be so disobedient.
3. There’s some milk in the fridge.
4. I never understood him.
5. Very nice of you to have come.
6. Can you help me lift the box?
7. I’m very sorry.
8. Gert me a glass of water please.
9. I bought a pen, a pencil, a scale and a book.
10. When I was young..... .

Answers

1. 'Nobody 'told me a\bout it.
2. You\can't be'so dis'obedient.

3. 'There's some 'milk in the \fridge.
4. I never 'understood \him.
5. 'Very nice of 'you to have \come.
6. Can you ↗help me lift this box?
7. I'm 'very ↗sorry.
8. 'Get me a 'glass of 'water ↗please.
9. I bought a ↗pen, a ↗pencil, a ↗scale and a 'book.
10. When I was ↗young.....(incomplete sentence)

TASK-22: Choose the correct tag to complete the questions.

1. She is collecting stickers, _____?
2. We often watch TV in the afternoon, _____?
3. You have cleaned your bike, _____?
4. John and Max don't like maths, _____?
5. Peter played handball yesterday, _____?
6. They are going home from school, _____?
7. Mary didn't do her homework last Monday, _____?
8. He could have bought a new car, _____?
9. Kevin will come tonight, _____?
10. I'm clever, _____?

Answers

1. She is collecting stickers, **isn't she?**
2. We often watch TV in the afternoon, **don't we?**
3. You have cleaned your bike, **haven't you?**
4. John and Max don't like maths, **do they?**
5. Peter played handball yesterday, **didn't he?**
6. They are going home from school, **aren't they?**
7. Mary didn't do her homework last Monday, **did she?**
8. He could have bought a new car, **couldn't he?**
9. Kevin will come tonight, **won't he?**
10. I'm clever, **aren't I?**

TASK-23: Choose the correct words and word order to make a Wh-question with “going to”.

1. When /is she / study?
2. are they / to go / where going /?
3. are you / what / do tomorrow?
4. Who / to Rome / is travel?
5. where / Boris / (go) / to college?
6. What / you / (eat) / for breakfast?
7. you / how many books / (read) / this summer?
8. the plane / where / (land) ?
9. what / your children / to the beach / (wear)?
10. where / your family / (move) / next year?

Answers

1. When is she going to study?	2. Where are they going to go?
3. What are you going to do tomorrow?	4. Who is going to travel to Rome?
5. Where is Boris going to go to college?	6. What are you going to eat for breakfast?
7. How many books are you going to read this summer?	
8. Where is the plane going to land?	
9. What are your children going to wear to the beach?	
10. Where is your family going to move next year?	

3.7.6 Check Out

Assignment-22: Give the correct question tag for the following

1. Neither of them were responsible, _____?
2. Man is mortal, _____?
3. I am tired, _____?
4. Either you or your brother came here, _____?
5. Her mother couldn't walk, _____?
6. Laila knows you, _____?
7. How nicely she writes, _____?
8. Pinnacle conducts classes early in the morning _____?

9. We are your well wishers_____?
10. I had a bad headache yesterday, _____?
11. It is an important matter, _____?
12. I am happy, _____?
13. The jury gave different opinions, _____?
14. The kid is crying, _____?
15. There are many mistakes in his composition,_____?

Assignment-23: Write questions using going to.

1. (where / stay?) Where are you going to stay?
2. (what / see?) _____?
3. (who / go with?) _____?
4. (how / travel?) _____?
5. (how much bags / take?) _____?
6. (what souvenirs / buy?) _____?
7. (Where / we / eat tonight?) _____?
8. (What / he / do tomorrow)? _____?
9. (What / I / eat for dinner)? _____?
10. (Who / carry the shopping for me)? _____?
11. (What time / you / phone me)? _____?
12. (How much juice / they / drink)? _____?

Assignment-24: Mark the stress and use rising, falling and rise-fall intonation on the following sentences.

1. I think we are completely lost.
2. OK, here's the magazine you wanted.
3. Where's the nearest post-office?
4. What time does the film finish?
5. I hear the Health Centre is expanding. So, is that the new doctor?
6. Is this your camera?
7. Would you like another coffee?

8. You like fish, don't you?
9. You're a new student aren't you?
10. The view is beautiful, isn't it?

Assignment-25: Write the correct question tag from the following.

1. It's raining, _____?
2. They are at home, _____?
3. It was a beautiful day, _____?
4. She works very hard, _____?
5. There is a station nearby, _____?
6. You have enough money with you, _____?
7. She is looking after her younger brother, _____?
8. They stayed out late, _____?
9. You are talking about Pamela, _____?
10. She hasn't met him before, _____?
11. You won't tell my parents, _____?
12. She coloured her hair black, _____?
13. They weren't studying hard, _____?
14. He could give them a lift, _____?
15. She hasn't found the keys, _____?

3.8 REPORTED SPEECH

Introduction

Reported speech is the report of one speaker or writer on the words spoken, written, or thought by someone else. In other words, we report a speaker's words to someone else. Speech may include one or many sentences. Sometimes, we report a speaker's words immediately and at other times it may take any amount of time.

3.8.1 Direct and Indirect Speech

There two ways to convey a message of a person, or the words spoken by a person to other person.

1. Direct speech (in which the original speaker's words are quoted word for word) and
2. Indirect speech (in which the original speaker's thoughts are conveyed without using the speaker's exact words).

For example-1

Suppose your friend whose name is Rahul tells you in school, “I will give you a pen”. You come to home and you want to tell your brother what your friend told you.

There are two ways to tell him.

Direct speech : Rahul said, “I will give you a pen”.

Indirect Speech : Rahul said that he would give me a pen.

These two ways are also used to simply narrate spoken words of one person to another.

For example-2

Suppose you meet your friend, Mr. David, in a college. Mr. David says to you, “I bought a book for you”. When you come home, you may say the words of Mr. David to your sister in the following two ways.

Direct Speech : Mr. David said, “I bought a book for you”.

Indirect Speech : Mr. David said that he had bought a book for me.

Direct Speech

Direct speech repeats, or quotes, the exact words spoken. When we use direct speech in writing, the exact words of the speaker are enclosed in quotation marks (“ ”) and there is no change in these words. We may be reporting something that's being said now, or telling someone later about a previous conversation. There is always a comma or a colon after “said” that introduces the spoken words.

Example: He said, “I am busy”.

Indirect Speech

Reported or indirect speech is usually used to talk about the past. The actual words of the speaker are changed. Because the actual words have been spoken by the speaker in the past, so the tense will change and pronoun may also be changed accordingly so as to represent it in the present.

We use reporting verbs like ‘say’, ‘tell’, ‘ask’, and we may use the word ‘that’ to introduce the reported words. Inverted commas are not used. Indirect speech is also called reported speech because reported speech refers to the second part of indirect speech in which something has been told by a person.

Example:

Direct Speech : He said, “I am busy”.

Indirect Speech : He said that he was busy.

3.8.2 Converting Direct Speech into Indirect Speech

We learn the following two components of a sentence of Direct Speech.

Reporting Verb: The verb first part of sentence (i.e. he said, she said, he says, they said, she says,) before the statement of a person in sentence or the actual words of the speaker is called reporting verb. The key element in changing direct speech into reported speech is the use of the reporting verb.

Examples: In the following examples the reporting verbs are ‘said’, ‘say’, ‘says’.

1. He **said**, “I work in a factory” (Direct speech)
2. He **said** that he worked in a factory. (Indirect speech)
3. She **says**, “You are an intelligent student”.
4. You will **say**, “I need your help”.

Here are some of the frequently used reporting verbs:

- **Statements(affirmative and negative):** affirm, state, declare, assert, propose, alleg, maintain, assure, announce, protest, swear, agree, promise, remark, remind, explain.
- **Questions:** enquire(of someone), question, query, wonder.
- **Commands and requests:** command, direct, forbid, warn, ask, beg, plead, pray, advise.
- **Exclamations:** cry, scream. shout, exclaim, thunder, yell.

Reported Speech: The second part of indirect speech in which something has been told by a person (which is enclosed in quotation marks in direct speech) is called reported speech.

For example, a sentence of indirect speech is,

He said that he worked in a factory.

In this sentence the second part “he worked in a factory” is called reported speech and that is why the indirect speech as a whole can also be called reported speech.

Examples

1. He said, “**I got job in a hotel**”.
2. They said, “**It is time to leave for the meeting**”.
3. Raghu said, “ **I am fit to play the game**”.

3.8.3 Rules for Reported Speech

1. Reported speech is not enclosed in quotation marks.
2. The conjunction “that” is always used between reporting verb and reported speech in indirect speech.

Example:

Direct Speech : He said, “ I write a letter”.

Indirect Speech : He said that he wrote a letter.

3. Change in the tense of reported speech

A change is made in tense of reported speech for changing direct speech into indirect speech. If the reporting verb or first part of sentence of direct speech belongs to present or future tense, the tense of reported speech will not change in indirect speech. If the reporting verb or first part of sentence of direct speech belongs to past tense, the tense of reported speech will change for making indirect speech.

Example-1:

Direct speech: He said, “I am happy”

Indirect Speech: He said that he was happy. (Tense of reported speech changed)

Example-2:

Direct speech: He says, “Life is dull”.

Indirect Speech: He says that life is dull. (Tense of reported speech didn’t change)

I. Present Tense

● Present Simple changes into Past Simple

Examples:

1. **Direct Speech:** Ravi said, “ The bell rings at 9 a.m”.

Indirect Speech: Ravi said that the bell rang at 9 a.m.

2. **Direct Speech:** She said, “ I am glad”.

Indirect Speech: She said that she was glad.

3. **Direct Speech:** They said, “We love football”.

Indirect Speech: They said that they loved football.

● Present Continuous changes into Past Continuous

Examples:

1. **Direct Speech:** He said, “he is watching movie”.

Indirect Speech: He said that he was watching movie.

2. **Direct Speech:** They said, “we are enjoying the drama”.

Indirect Speech: They said that they were not enjoying the drama.

3. **Direct Speech:** He said to me, “My children are playing now”.

Indirect Speech: He told me that his children were playing then.

- **Present Perfect changes into Past Perfect**

Examples:

1. **Direct Speech:** My father said, “The monsoon has set in”.

Indirect Speech: My father said that the monsoon had set in.

2. **Direct Speech:** I said, “she have eaten the meal”

Indirect Speech: I said that she had eaten the meal.

3. **Direct Speech:** She said, “he has done his job”.

Indirect Speech: She said that he had done his job.

- **Present Perfect Continuous changes into Past Perfect Continuous**

Examples:

1. **Direct Speech:** She said, “It has been raining for three days”.

Indirect Speech: She said that it been raining for three days.

2. **Direct Speech:** The manager said, “ The workers have been working extra hours”.

Indirect Speech: The manager said that the workers had been working extra hours.

3. **Direct Speech:** I said, “He has been working since 2008”.

Indirect Speech: I said that she had been working since 2008.

II. Past Tense

- **Past Simple changes into Past Perfect**

Examples:

1. **Direct Speech:** Ravi said, “The bell rang”.

Indirect Speech: Ravi said that the bell had rung.

2. **Direct Speech:** He said to me, “You behaved well”.

Indirect Speech: He said to me that I had behaved well.

3. **Direct Speech:** She said, “I didn’t buy a car”

Indirect Speech: She said that she had not bought a car.

- **Past Continous changes into Past Perfect Continous**

Examples:

1. **Direct Speech:** He said to me, “ I was waiting for you”.
Indirect Speech: He said to me that he had been waiting for me.
2. **Direct Speech:** She said, “I was not smiling”.
Indirect Speech: She said that she had not been smiling.
3. **Direct Speech:** The kids said, “We were playing a game”.
Indirect Speech: The kids said that they had been playing a game”.

III. Future Tense

- **Future Simple Tense**

WILL changes into WOULD

Examples:

1. **Direct Speech:** He said, “I will study the book”.
Indirect Speech: He said that he would study the book.
2. **Direct Speech:** They said to me, “we will surprise you”.
Indirect Speech: They said to me that they would surprise you.
3. **Direct Speech:** She said, “I will start a new job”.
Indirect Speech: She said that she would start a new job.

- **Future Continous Tense**

WILL BE changes into WOULD BE

Examples:

1. **Direct Speech:** She said,” I will be shifting to new home”.
Indirect Speech: She said that she would be shifting to a new home.
2. **Direct Speech:** He said, “he will be respecting elders”.
Indirect Speech: He said that he would be respecting elders.
3. **Direct Speech:** She said,” I will be singing a song”.
Indirect Speech: She said that she would be singing a song.

- **Future Perfect Tense**

WILL HAVE changes into WOULD HAVE

Examples

1. **Direct Speech:** She said, "They will have achieved the target".
Indirect Speech: She said that they would have achieved the target.
2. **Direct Speech:** She said, "they will have passed the examination".
Indirect Speech: She said that they would have passed the examination.
3. **Direct Speech:** He said, "I will have cleaned the room".
Indirect Speech: He said that he would have cleaned the room.

We can follow the table below to see how demonstratives change in reported speech.

Direct Speech	Indirect Speech
now or just	then
this	that
these	those
thus	so
here	there
ago	before, earlier
today/tonight	that day/that night
tomorrow	the next day/the following day
yesterday	the day before/the previous day
last monththe	previous month
next Thursday	the following Thursday
last night	the night before

4. The tenses may not change if the statement is a universal truth

Examples:

1. **Direct Speech:** The teacher said, "The earth is round".
Indirect Speech: The teacher said that the earth is round.
2. **Direct Speech:** The teacher said, "The sun rises in the east".
Indirect Speech: The teacher said that the sun rises in the east.

5. Indirect Speech for Interrogative Sentences

- The reporting verbs used in the questions are ask, enquire, wonder, want to know.
- When the question is introduced by a verb, the reporting verb is followed by 'if' or 'whether'.
- When the question is introduced by an interrogative word(what, where, when, why, how, etc), the same word is used in the Indirect Speech. No conjunction is used.

- Question mark is not used in indirect speech.

Examples

1. **Direct Speech:** My friend said, "Is Mr. Rao on leave?"

Indirect Speech: My friend enquired if Mr. Rao was on leave.

2. **Direct Speech:** John said, "Will you play chess with me?"

Indirect Speech: John asked me whether I would play chess with him.

3. **Direct Speech:** I said to him, "Are you feeling well?"

Indirect Speech: I asked him if he was feeling well.

4. **Direct speech:** He said, "when will they come?"

Indirect speech: He asked when they would come.

5. **Direct speech:** Teacher said to him, "What is your name?"

Indirect speech: Teacher asked him what his name was.

6. Indirect Speech for Exclamatory Sentences

Sentence which expresses state of joy or sorrow or wonder is called exclamatory sentence.

- The exclamations are changed into statements in the Indirect Speech.
- To change such sentences, the words "exclaimed with joy" or "exclaimed with sorrow" or "exclaimed with wonder" is added in the reporting verb depending upon the nature of exclamatory sentence in indirect speech.
- The reporting verbs used in exclamatory sentences are exclaim, wonder, remark, wish, pray, shout, cry, etc. are used in Indirect Speech.
- Exclamatory mark(!) is removed.
- The conjunction 'that' is used.

Examples:

1. **Direct Speech:** He said, "What a fool I am!"

Indirect Speech: He exclaimed that he was a fool.

2. **Direct Speech:** He said, "Alas! my wife is dead!"

Indirect Speech: He exclaimed sorrowfully that his wife was dead.

3. **Direct speech:** They said, "Wow! What a pleasant weather it is".

Indirect Speech: They exclaimed with wonder that it was a pleasant weather.

4. **Direct speech:** He said, "Hurrah! I won a prize".

Indirect Speech: He exclaimed with joy that he had won a prize.

5. **Direct Speech:** He said, "May your daughter soon recover"!

Indirect Speech: He prayed that his daughter might soon recover.

7. Indirect Speech for Imperative Sentences

A sentence which expresses command, request, advice or suggestion is called imperative sentence.

- To change such sentences into indirect speech, the word "ordered" or "requested" or "advised" or "suggested" or "forbade" or "not to do" is added to reporting verb depending upon nature of imperative sentence in reported speech.
- The reporting verbs used in imperative sentences are advice, ask, order, request, command, urge, beg, etc.
- The imperative mood is changed into the infinitive.

Examples:

1. **Direct Speech:** They said to us, "Grow more trees".

Indirect Speech: They urged us to grow more trees.

2. **Direct Speech:** The teacher said to the boy, "Get out of the room".

Indirect Speech: The teacher ordered the boy to get out of the room.

3. **Direct Speech:** My friend said, "Let us go to the cinema".

Indirect Speech: My friend proposed that they should go to the cinema.

4. **Direct speech:** He said to me, "please help me"

Indirect Speech: He requested me to help him.

5. **Direct speech:** The teacher said to student, "do not waste time"

Indirect Speech: The teacher advised the students not to waste time.

8. Change in Pronoun

The pronoun (subject) of the reported speech is changed according to the pronoun of reporting verb or object (person) of reporting verb (first part of sentence). Sometimes the pronoun may not change.

In following example the pronoun of reported speech is "I" which will be changed in indirect speech into the pronoun (Subject) of reporting verb that is "he".

Direct speech: He said, "I like music".

Indirect Speech: He said that he liked music.

Rule No.1: The 1st person pronoun of reported speech(We, I, Me, My, Mine, Us or our) is changed according to the pronoun of the reporting verb if it is 3rd person pronoun(i.e. she, he, it, they, their. her, his).

Examples:

1. **Direct Speech:** She said, "I work in a factory".

Indirect Speech: She said that she work in a factory.

2. **Direct Speech:** They said, "We have completed the work".

Indirect Speech: They said that they had completed the work.

Rule No.2: The 1st person pronoun of reported speech(We, I, Me, My, Mine, Us or our) is not changed, if the pronoun of the reporting verb is also 1st person pronoun(i.e. I, we).

Examples:

1. **Direct Speech:** I said, "I had applied for a job".

Indirect Speech: I said that I had applied for a job.

2. **Direct Speech:** We said, "We sing a song".

Indirect Speech: We said that we sang a song.

Rule No.3: The 2nd person pronoun(i.e. you, yours) of the reported speech is changed according to "object" of the reported verb.

Examples:

1. **Direct Speech:** She said to me, "You are a brilliant student".

Indirect Speech: She said to me that I was a brilliant student.

2. **Direct Speech:** She said to them, "You are brilliant students".

Indirect Speech: She said to them that they were brilliant students.

Rule No.4: The 3rd person pronoun (i.e. She, He, It, They, His, Him, the, his) of the reported speech will not changed in the Indirect Speech.

Examples:

1. **Direct Speech:** He said, "She will buy a pen".

Indirect Speech: He said that she would buy a pen.

2. **Direct Speech:** They said, "It is raining".

Indirect Speech: They said that it was raining.

3. **Direct Speech:** He said, “She is waiting for them”.

Indirect Speech: He said that she was waiting for them.

9. **Change in time:** Time is changed according to certain rules like now to then, today to that day, tomorrow to next day and yesterday to previous day.

Examples:

1. **Direct speech:** He said, “I am happy today”

Indirect Speech: He said that he was happy that day.

2. **Direct Speech:** She said, “I will go to college tomorrow”.

Indirect Speech: She said that she would go to college the next day.

3. **Direct Speech:** He said, “I met my friend yesterday”.

Indirect Speech: He said that he had met his friend the previous day.

10. Indirect Speech for having MODALS

Indirect speech for sentence having MODALS, “can, may, must, should, ought to”:

For converting direct speech into indirect speech, present modals(must, can, may) are changed into past modals(had to, could, might).

Examples:

1. **Direct Speech:** He said, “I **can** drive a car”.

Indirect Speech: He said that he **could** drive a car.

2. **Direct Speech:** Ramu said, “I **can** play a piano”.

Indirect Speech: Ramu said that he **could** play a piano.

3. **Direct Speech:** They said, “They **may** go to zoo”.

Indirect Speech: They said that they **might** go to zoo.

4. **Direct Speech:** He said, “I **may** call a Doctor”.

Indirect Speech: He said that he **might** call a Doctor.

5. **Direct Speech:** She said, “they **must** carry on their work”.

Indirect Speech: She said that they **had to** carry on their work.

6. **Direct Speech:** They said, “We **must** finish the work in time”.

Indirect Speech: They said that they **had to** finish the work in time.

Indirect speech for sentence having MODALS, “should, ought to, might, would, and could”:

These modals are not changed and remain same in indirect speech.

Examples:

1. **Direct Speech:** They said, "We **would** apply for a visa".
Indirect Speech: They said that they **would** apply for visa.
2. **Direct Speech:** She said, "She **could** play a piano".
Indirect Speech: She said that she **could** play a violin.
3. **Direct Speech:** He said, "I **should** avail the opportunity".
Indirect Speech: He said that he **should** avail the opportunity.
4. **Direct Speech:** She said, "It **might** rain".
Indirect Speech: She said that it **might** rain.
5. **Direct Speech:** She said, "I **ought to** learn method of study".
Indirect Speech: She said that she **ought to** learn method of study.

3.8.4 Tasks

TASK-24: Rewrite as directed.

1. He said, "The meeting is at five". **(Change it into indirect speech)**
2. He said to her, "Get out of my sight". **(Change it into indirect speech)**
3. She asked me if I know her. **(Change it into direct speech)**
4. They said that they would go to a movie that day. **(Change it into direct speech)**
5. He said, "We are taking the English exam". **(Change it into indirect speech)**
6. They asked when the results would be published. **(Change it into direct speech)**
7. The singer asked the audience, "Do you like classical music?" **(Change it into direct speech)**
8. He said, "my father died." **(Change it into indirect speech)**
9. My friends said that they enjoyed the final cricket match. **(Change it into direct speech)**
10. Mohan said that he had been living in Bombay for nine years. **(Change it into direct speech)**

Answers

1. He said that the meeting was at five.
2. He ordered her to get out of his sight.
3. She said to me, "Do you know her?"
4. They said, "We will go to a movie today".
5. He said that they were taking the English exam".
6. They said, "When will the results be published?"

7. The singer asked the audience whether they liked classical music.
8. He said that his father was dead.
9. My friends said, "we enjoyed the final cricket match".
10. Mohan said, "I have been living in Bombay for nine years."

TASK-25: Change the following into Indirect Speech.

Read what these people say and write sentences with He/She/They said that.....

1. Lucy will come later.
2. I was waiting for the bus when he arrived.
3. I'm very busy.
4. I have to go out.
5. We haven't got a key.
6. We'll be home late.
7. I won't see you tomorrow.
8. He could read when he was three.
9. He hasn't eaten breakfast.
10. I'm going to buy a computer.

Answers

1. She said that Lucy would come later.
2. She said that she had been waiting for the bus when he arrived.
3. He said that he was very busy.
4. He said that he had to go out.
5. They told that they had not got a key.
6. They told that they would be home late.
7. She said that she wouldn't see me tomorrow.
8. She said that he could read when he was three.
9. She said that he hadn't eaten breakfast.
10. She said that she was going to buy a computer.

TASK-26: Convert the below exclamatory, interrogative and imperative sentences into reported speech.

1. Madhur said, "Happy Birthday!"
2. She said in Shimla, "Wow! What a pleasant weather it is."
3. Neha said to Poonam, "Congratulations!"
4. They said to us, "Welcome! Please come in."
5. She said, "How foolish I have been!"
6. The teacher said to Raj, "Stand up on the bench."

7. Seema said to her husband, “Do not tell a lie.”
8. Doctor said to a patient, “Change your life style and eating habits”.
9. He said, “Am I not looking handsome?”
10. Ramu said to me, “Have you read the book on Swaami Vivekananda?”

Answers

1. Madhur wished me happy birthday.
2. She exclaimed with joy in Shimla that it was a very pleasant weather.
3. Neha congratulated Poonam.
4. They welcomed us and requested to come in.
5. She regretted that she had been very foolish.
6. The teacher ordered Raj to stand up on the bench.
7. Seema warned her husband not to tell a lie.
8. Doctor suggested a patient to change his life style and eating habits.
9. He asked whether he was not looking handsome.
10. Biswas jee asked me whether I had read the book on Swaami Vivekananda.

3.8.5 Check Out

Assignment-26: Change into Indirect Speech.

1. Venu said, “I can type the letters”.
2. She said, “I can solve the problem”.
3. I said to Rani, “I have posted the letter just now.?”
4. Gopal said, “I am very busy now.”
5. Rajesh said, “I scored a century yesterday.”

Assignment-27: Change the following into Indirect Speech. Read what these people say and write sentences with He/She/They said (that) ...

1. I’ve lost my watch.	2. I’m very busy.
3. I can’t go to the party.	4. I have to go out.
5. I’m learning Russian.	6. I don’t feel very well.
7. We’ll be home late.	8. I’ve just come back from holiday.
9. I’m going to buy a computer.	10. We havent got a key.

3.9 ACTIVE AND PASSIVE VOICE

1. Active voice

When the subject of a sentence performs the verb's action, we say that the sentence is in the active voice. Sentences in the active voice have a strong, direct, and clear tone. Here are some short and straightforward examples of active voice.

Examples

- Monkeys adore bananas.
- The dog chased the squirrel.
- The cashier counted the money.

All three sentences have a basic active voice construction: subject, verb, and object. The subject monkey performs the action described by adore. The subject the cashier performs the action described by counted. The subject the dog performs the action described by chased. The subjects are doing, doing, doing—they take action in their sentences. The active voice reminds us of the popular Nike slogan, “Just Do It.”

2. Passive voice

A sentence is in the passive voice, on the other hand, when the subject is acted on by the verb. The passive voice is always constructed with a conjugated form of to be plus the verb's past participle. Doing this usually generates a preposition as well. That sounds much more complicated than it is passive voice is actually quite easy to detect. For these examples of passive voice, we will transform the three active sentences above to illustrate the difference.

Examples

- Bananas are adored by monkeys.
- The squirrel was chased by the dog.
- The money was counted by the cashier.

Let's take a closer look at the first pair of sentences, “Monkeys adore bananas” and “Bananas are adored by monkeys.” The active sentence consists of monkeys (subject) + adore (verb) + bananas (object). The passive sentence consists of bananas (object) + are adored (a form of to be plus the past participle adored) + by (preposition) + monkeys (subject). Making the sentence passive flipped the structure and necessitated the preposition by. In fact, all three of the transformed sentences above required the addition of by.

3.9.1 When to use active and passive voice

Using the active voice conveys a strong, clear tone and the passive voice is subtler and weaker. Here's some good advice: don't use the passive voice just because you think it sounds a bit fancier than the active voice.

That said, there are times the passive voice is useful and called for. Take “The squirrel was chased by the dog,” for example. That sentence construction would be helpful if the squirrel were the focus of your writing and not the dog.

A good rule of thumb is to try to put the majority of your sentences in the active voice, unless you truly can’t write your sentence in any other way.

3.9.2 Active to Passive Voice Rules For Conversion of Sentence

Below are the rules to follow for changing an active sentence into a passive voice. Before heading to the rules, let’s check the examples of active and passive voice sentences.

Conversion of Active and Passive voice examples

Rita wrote a letter. (Subject + Verb + Object)

A letter was written by Rita. (Object) + (auxiliary verb) + (past participle) + (by subject).

She cooks food. (Subject + Verb + Object)

The food is cooked by her. (Object) + (auxiliary verb) + (past participle) + (by subject)

Candidates can watch the video on rules and concept of Active and Passive voice in English. This will help them gain conceptual knowledge and understand the variety of questions asked in the exams even better.

Conversion of Active Voice into Passive Voice Rule

Rule 1. Identify the (S+V+O) Subject, Verb and object in the active sentence to convert to passive voice

Example: He drives car. (Subject – He, verb – Drives, object – Car)

Rule 2. Interchange the object and subject with each other, i.e. object of the active sentence become the subject of the passive sentence.

Example: Active voice : She knits sweater. (Subject – She, Verb – Knits, Object – Sweater)

Passive Voice: The sweater is knitted by her. (Object sweater is interchanged with the subject She).

Rule 3. In passive voice sometimes the subject is not used, i.e. the subject in passive voice can be omitted if the sentence without it gives enough meaning.

Example: Milk is sold in litres

Rule 4. Change the base verb in active sentence into the past participle ie. third form verb in passive sentence i.e. preceded by (By, With, to, etc). Base verbs are never used in passive voice sentences.

Example

Active voice: She prepares dinner.

Passive voice: The dinner is prepared by her.

Active voice: She knows him.

Passive voice: He is known to her.

Active voice: Juice fills the jar.

Passive voice: The jar is filled with juice.

Rule 5. While conversion of Active voice sentence to Passive voice sentence, the pronoun used in the sentence also changes in the following manner.

Active Voice Pronoun	Passive Voice Pronoun
I	Me
We	Us
He	Him
She	Her
They	Them
You	You
It	It

Rule 6. Use the suitable helping or auxiliary verb (is/am/are/was, etc.). The rules for using auxiliary verbs in passive voice sentences are different for each tense.

Example:

- The letter is written by her
- A book was not bought by her
- Chocolates are being eaten by them.

Examples

Simple Present Tense

1. **Active Voice:** Seema eats an apple.

Passive Voice: An apple is eaten by Seema.

2. **A.V:** Seema eats two apples.

P.V: Two apples are eaten by Seema.

Present Continuous Tense

1. **A.V:** Seema is eating an apple.
P.V: An apple is being eaten by Seema.
2. **A.V:** They are flying kites
P.V: Kites are being flown by them

Present Perfect Tense

- 1 **A.V:** Seema has eaten an apple.
P.V: An apple has been eaten by Seema.
2. **A.V:** They have received a gift.
P.V: A gift has been received by them.

Simple Past Tense

1. **A.V:** Seema ate an apple.
P.V: An apple was eaten by Seema.
2. **A.V:** Seema ate two apples.
P.V: Two apples were eaten by Seema.

Past Continuous Tense

1. **A.V:** Seema was eating an apple.
P.V: An apple was being eaten by Seema.
2. **A.V:** They were catching a bird
P.V: A bird was being caught by them

Past Perfect Tense

1. **A.V:** Seema had eaten an apple.
P.V: An apple had been eaten by Seema.
2. **A.V:** I had finished my duty before five
P.V: My duty had been finished by me before five

Simple Future Tense

1. **A.V:** Seema will eat an apple.
P.V: An apple will be eaten by Seema.

2. **A.V:** They will not eat sweets

P.V: Sweets will not be eaten by them

Future Perfect Tense

1. **A.V:** Seema will have eaten an apple.
P.V: An apple will have been eaten by Seema.
2. **A.V:** You will have played the Foot-ball match.
P.V: The Foot-ball match will have been played by you.

Imperative Sentences

1. **A.V:** Bring some water.
P.V: Let some water be brought.
2. **A.V:** Post this letter.
P.V: Let this letter be posted.
3. **A.V:** Do not insult the poor.
P.V: Let the poor be not insulted.

Sentences with Object Complements

1. **A.V:** He was called a fool.
P.V: They called him a fool.
2. **A.V:** We chose Ravi leader of our group.
P.V: Ravi was chosen leader of our group.
3. **A.V:** The judge found him guilty of murder.
P.V: He was found guilty of murder.

Sentences with verbs followed by prepositions

1. **A.V:** They will look into your case.
P.V: Your case will be looked into. (by them)

2. **A.V:** The Principal presided over the meeting.
P.V: The meeting was presided over by the Principal.
3. **A.V:** They have objected to my proposal
P.V: My proposal has been objected to (by them).

Interrogative Sentences

1. **A.V:** Do they sell apples?
P.V: Are apples sold by them?
2. **A.V:** Does he play cricket?
P.V: Is cricket played by him.?
3. **A.V:** Will he help me?
P.V: Shall I be helped by him?
4. **A.V:** Who wrote Geetanjali?
P.V: By whom was Geetanjali written?
5. **A.V:** Where did he find the pen?
P.V: Where was the pen found by him?

3.9.3 Tasks

TASK-27: Rewrite the following changing the active sentences to passive and passive sentences to active.

1. The thieves have been arrested by the police.
2. The marvelous performance delivered by the children enthralled us.
3. He has been invited to their party.
4. We have shipped your order.
5. The girl recited the poem beautifully.
6. The guests enjoyed the party.
7. The child impressed everyone with his polite manners.
8. A girl from Chennai won the first prize.
9. The readers like the latest book of the writer.
10. They are painting the walls.

Answers

1. The police have arrested the thieves.
2. We were enthralled by the marvelous performance delivered by the children.
3. They have invited him to their party.
4. Your order has been shipped by us.
5. The poem was beautifully recited by the girl.
6. The party was enjoyed by the guests.
7. Everyone was impressed with the polite manners of the child.
8. The first prize was won by a girl from Chennai.
9. The latest book of the writer is liked by the readers.
10. The walls are being painted by them.

TASK-28: Change the following active sentences into passive voice.

1. I did not beat her.
 - a. She is not beaten by me.
 - b. She has not beaten by me.
 - c. She was not beaten by me.
2. I will never forget this experience.
 - a. This experience is not forgotten by me.
 - b. This experience would never be forgotten by me.
 - c. This experience will never be forgotten by me.
3. Mother made a cake yesterday.
 - a. A cake made by mother yesterday.
 - b. A cake is made by mother yesterday.
 - c. A cake was made by mother yesterday.
4. The boy teased the girl.
 - a. The girl was teased by the boy.
 - b. The girl had teased by the boy.
5. Did she do her duty?
 - a. Was she done her duty?
 - b. Was her duty done by her?
 - c. Had her duty done by her?
6. The tiger was chasing the deer.
 - a. The deer was chased by the tiger.
 - b. The deer was being chased by the tiger.
 - c. The deer had chased by the tiger.

7. She has written a novel.
 - a. A novel has written by her.
 - b. A novel has been written by her.
 - c. A novel had written by her.
8. She has learned her lessons.
 - a. Her lessons has learned by her.
 - b. Her lessons have been learned by her.
 - c. Her lessons had been learned by her.
9. Have you finished the report?
 - a. Has the report finished by you?
 - b. Has the report been finished by you?
 - c. Had the report been finished by you?
10. The police have caught the thief.
 - a. The thief has been caught by the police.
 - b. The thief was caught by the police.
 - c. The thief had been caught by the police.

Answers

1. She was not beaten by me.
2. This experience will never be forgotten by me.
3. A cake was made by mother yesterday.
4. The girl was teased by the boy.
5. Was her duty done by her?
6. The deer was being chased by the tiger.
7. A novel has been written by her.
8. Her lessons have been learned by her.
9. Has the report been finished by you?
10. The thief has been caught by the police.

TASK-29: Complete the following sentences using appropriate active or passive verb forms. Choose your answers from the given options.

1. The problem _____ to the children. (explained / was explained)
2. Those pyramids _____ around 400 AD. (built / were built)
3. All the trouble _____ by your mother. (has caused / was caused)
4. The visitors _____ (were shown / have shown) a collection of old manuscripts.

5. I _____ him ten thousand pounds last year. (lend / lent / was lent)
6. She _____ of spiders. (frightened / is frightened)
7. That picture _____ by my grandmother. (painted / was painted)
8. I _____ by his attitude. (shocked / have shocked / was shocked)
9. Excuse the mess. The house _____ (is painting / is being painted / has painted)
10. I knew why I _____ (had chosen / had been chosen)

Answers

1. The problem was explained to the children.
2. Those pyramids were built around 400 AD.
3. All the trouble was caused by your mother.
4. The visitors were shown a collection of old manuscripts.
5. I lent him ten thousand pounds last year.
6. She is frightened of spiders.
7. That picture was painted by my grandmother.
8. I was shocked by his attitude.
9. Excuse the mess. The house is being painted.
10. I knew why I had been chosen.

TASK-30

1. The manager keeps the work pending. **[SSC CGL 2019]**
 - (a) The work is kept pending by the manager.
 - (b) The work was kept pending by the manager.
 - (c) The work has been kept pending by the manager.
 - (d) The work are being kept pending by the manager.
2. The farmer is ploughing the fields. **[SSC CGL 2019]**
 - (a) The fields have been ploughed by the farmer.
 - (b) The fields were ploughed by the farmer.
 - (c) The fields are ploughed by the farmer.
 - (d) The fields are being ploughed by the farmer.

3. She is teaching French to children. **[SSC CGL 2019]**
(a) Children are taught French by her. (b) Children were taught French by her.
(c) Children are being taught French by her. (d) Children have been French by her.
4. The thief was being arrested by the police. **[SSC CGL 2019]**
(a) The police was arresting the thief. (b) The police has arrested the thief.
(c) The police arrested the thief. (d) The police had arrested the thief.
5. The cyclone has damaged several crops. **[SSC CHSL T-I, 2018]**
(a) Several crops are being damaged by the cyclone.
(b) Several crops had been damaged by the cyclone.
(c) Several crops have been damaged by the cyclone.
(d) Several crops have damaged the cyclone.
6. His mother gave him a note for his teacher. **[SSC CHSL T-I, 2018]**
(a) He had been given a note for his teacher by his mother.
(b) He is given a note for his teacher by his mother.
(c) He was given a note for his teacher by his mother. ‘
(d) His teacher was given a note for his mother.
7. Please lock the door. **[SSC CHSL T-I, 2018]**
(a) The door should kindly being locked. (b) You are requested to lock the door.
(c) You are being ordered to lock the door. (d) Please let the door be lock.
8. The store manager caught the teenager shop lifting. **[SSC CHSL T-I, 2018]**
(a) The store manager is “taught shoplifting by the teenager.
(b) The teenager is caught shoplifting by the store manner.
(c) The teenager has been caught shoplifting by the store manager.
(d) The teenager was caught shoplifting bye the store manager.
9. How much monthly rent did you pay for the house? **[SSC CHSL T-I, 2018]**
(a) How much monthly rent was paid for the house?
(b) How much monthly rent is being paid for the house?
(c) How much monthly rent was being paid for the house?
(d) How much monthly rent is paid for the house?

10. The merchant took out the dead parrot from the cage. **[SSC CHSL T-I, 2018]**
 - (a) The dead parrot took out from the cage by the merchant.
 - (b) The dead parrot taken out from the cage by the merchant.
 - (c) The dead parrot was taking out from the cage by the merchant.
 - (d) The dead parrot taken out from the cage by the merchant.
11. Please show me my son's Mathematics notebook. **[SSC CGL T-I, 2018]**
 - (a) I will please be shown my son's Mathematics notebook.
 - (b) I may please be shown my son's Mathematics notebook.
 - (c) My son's Mathematics notebook was please shown to me.
 - (d) My son may please be shown the Mathematics notebook.
12. At night, lock the outer gate. **[SSC CGL T-I, 2018]**
 - (a) The outer gate is requested to be locked at night.
 - (b) The outer gate be locked at night.
 - (c) Let the outer gate b locked at night.
 - (d) The outer gate is lo(ked at night.
13. Every passing vehicle was being thoroughly checked by the guards. **[SSC CGL T-I, 2018]**
 - (a) The guards were throughly checking every passing vehicle.
 - (b) The guards have thoroughly checked every passing vehicle.
 - (c) Every passing vehicle were thoroughly checking the guards.
 - (d) The guards have been thoroughly checking every passing vehicle.
14. The wall of this park is being painted by children. **[SSC CGL T-I, 2018]**
 - (a) Children are painting the wall of this park.
 - (b) Children have been painting the wall of this park
 - (c) The wall is painting children of this park.
 - (d) Children painted tie wall of this park.
15. One of the passengers was being thoroughly checked by the custom officers. **[SSC CGL T-I, 2018]**
 - (a) The custom officers thoroughly checked one of the passengers.
 - (b) The custom officers have been thoroughly checking one of the passengers.
 - (c) The custom officers were thoroughly checking one of the passengers.
 - (d) One of the passengers was thoroughly checking the custom officers.

16. This medicine gives me a heartburn. **[SSC CGL T-II, 2017]**

- (a) Giving of heartburn is done by this medicine.
- (b) I have got heartburn by that medicine.
- (c) A heartburn is given to me by this medicine.
- (d) Heartburning has been caused by this medicine.

17. She will never admit her mistakes. **[SSC CGL T-H, 2017]**

- (a) Admission of her mistakes will never be done by her.
- (b) Her mistakes will never be admitted by her.
- (c) Her mistakes is what she will never be admitting.
- (d) Admitting her mistakes has never been done by her.

18. I always carry a bottle of water with me. **[SSC CGL T-H, 2017]**

- (a) carrying a bottle of water is always done by me.
- (b) A bottle of water is always carried with me.
- (c) It is with me that I always am carrying a bottle of water.
- (d) Always I carried self.

19. I have known this **[SSC CGL T-II, 2017]**

- (a) This place has was a kid.
- (b) Knowing this ing done by me.
- (c) Since I was a me.
- (d) I have been knowing time I was a kid.

20. I rarely watch action movies. **[SSC CGL T-II, 2017]**

- (a) Action movies are rarely watched by myself.
- (b) Action movies are rarely watched by me.
- (c) I had rarely watched action movies.
- (d) Watching of action movies is rarely done by me.

21. You need to offer them a better deal. **[SSC CGL T-II, 2017]**

- (a) They are in need of being offered a better deal by yourself.
- (b) They need to be offered a better deal by you.
- (c) A better deal is needed by them and you have to offer it.
- (d) The offering of a better deal has to be done by you for their need.

22. You are making your life more difficult. **[SSC CGL T-II, 2017]**
- (a) Your life is being made more difficult by you.
 - (b) You yourself make your life more difficult.
 - (c) Your life had been made more difficult by you yourself.
 - (d) Making of your life more difficult has been done by yourself.
23. She always took her medicines on time **[SSC CGL T-II, 2017]**
- (a) The medicines was always took on time by her.
 - (b) The medicines were always taken on time by her.
 - (c) On time medicines she always took.
 - (d) Taking of the medicines on time was being done by her.
24. Who has composed this song? **[SSC CGL T-II, 2017]**
- (a) This song will be composed by whom? (b) Who composes this song?
 - (c) Composing of this song has been done by who?
 - (d) This song has been composed by whom?
25. You have to take these medicines. **[SSC CGL T-II, 2017]**
- (a) These medicines you have to take. (b) You have took these medicines.
 - (c) These medicines have to be taken by you.
 - (d) Taking of these medicines has toe done by you.
26. The authorities are mistreating the prisoners. **[SSC CGL T-II, 2017]**
- (a) The prisoners will be mistreated by the authorities.
 - (b) The authorities mistreat the prisoners.
 - (c) The prisoners are being mistreated by the authorities.
 - (d) Mistreating of the prisoners will be done by the authorities.
27. The policeman carries a baton whenever he goes on a round. **[SSC CGL T-II, 2017]**
- (a) Carrying of a baton is lone by the policeman whenever he has gone on a round.
 - (b) The policeman has never gone on around without carrying a baton.
 - (c) Going on a round has seen done by the policeman by carrying a baton.
 - (d) A baton is carried by the policeman when ever he goes as a round.

28. The auctioneers are conducting the auction. **[SSC CGL T-II, 2017]**
- (a) The auction is being conducted by the auctioneers.
 - (b) Conducting of the auction has been done by the auctioneers.
 - (c) Conduction of the auctioning has been done by the auctioneers.
 - (d) Conduction of the auctioning is being done by the auctioneers.
29. The moist air will corrode the beam. **[SSC CGL T-II, 2017]**
- (a) Corroding of the beam will be done by the moist air.
 - (b) Corrosion of the beam by the moist air would be done.
 - (c) The beam would be under corrosion by moist air.
 - (d) The beam will be corroded by moist air.
30. She laughed at the antics of the jester. **[SSC CGL T-II, 2017]**
- (a) Laughing at the antics of the jester was done by her.
 - (b) She herself laughs at the antics of the jester.
 - (c) The antics of the jester were laughed at by her.
 - (d) Her laughter was to the antics of the jester.
31. Does he race cars? **[SSC CGL T-II, 2017]**
- (a) Is racing of the cars done by him?
 - (b) Are cars raced by him?
 - (c) Does he the racing of cars?
 - (d) Are race cars done by him?
32. Do you speak Marathi? **[SSC CGL T-II, 2017]**
- (a) Is speaking of Marathi done by you?
 - (b) Do you yourself speak Marathi?
 - (c) Is Marathi spoken by you?
 - (d) Are Marathi ever spoken by your ,elf?
33. His brother doesn't drive a car. **[SSC CGL T-II, 2017]**
- (a) Driving of a car is not done by his brother.
 - (b) The car is not being driven by his brother.
 - (c) Driving of a car has not been done by his brother.
 - (d) A car is not driven by his brother.

34. He doesn't pay tips ever. **[SSC CGL T-II, 2017]**

- (a) Paying of tips has (b) Tips are never paid by him.
(c) Always he himself forgets my name.
(d) My name has been forgotten by him.

35. Does he sing only Ghazals? **[SSC CGL T-II, 2017]**

- (a) Is singing of only Ghazals done by him?
(b) He sang only Ghazals, did he?
(c) He is a singer of only Ghazals, isn't he?
(d) Are only Ghazals sung by him?

36. Does he respect his elders? **[SSC CGL T-II, 2017]**

- (a) Is respecting of elders done by him?
(b) His elders are being respected by him, aren't they?
(c) Are his elders respected by him?
(d) He respects his elders, doesn't he?

37. Meenu will return the book. **[SSC CGL T-II, 2017]**

- (a) Returning of the book will be done by Meenu.
(b) The book will be returned by Meenu.
(c) The book would have been returned by Meenu.
(d) The book Meenu will be returning.

38. I have poured the tea. **[SSC CGL T-II, 2017]**

- (a) Pouring of the tea by me has been done.
(b) The tea is being poured by me.
(c) The tea has been poured by me.
(d) The tea pouring was done by myself.

Answers

1. (a)	2. (d)	3. (c)	4. (a)	5. (c)	6. (c)
7. (b)	8. (d)	9. (a)	10. (d)	11. (a)	12. (c)
13. (a)	14. (a)	15. (d)			

16. (c) The object 'The heartfurn' should be used be used in feginning of passive voice.
17. (b) Sentence should start with object "her mistake" and "cannot be replaced "is", so B is correct answer.
18. (b) "A bottle of water" is object here so sentence should start with it and "carry" should be replaced by "carried".
19. (a) The passive of this sentence should start with object 'This place' and accordingly "Have" should be replaced by "Has".
20. (d)
21. (b)
22. (a) Active [sub + is/am/are + V1 + ing + obj] -4
23. (b)
24. (d) (Interrogative remains interrogative)
25. (c)
26. (c)
27. (d) Changes Active → Subject + V1 + Object Passive → Object + is / am/ are + V3 + by + Sub
28. (a) Changes Active „→ Subject + V1 + Object Passive → Object + is / am/ are + V3 + by + Sub
29. (d) Changes Active „→ Subject + Shall/will + V1 + Object Passive „→ Object + Shall/will + be + V3 + by + Sub
30. (c) Changes Active „→ Subject V2 + Object Passive → Object + was / were + V3 + by + Sub
31. (b) In case of Interrogative sentences 'does' is converted to "in/are" depending on the new subject. Use "cars" as subject and convert "does' to are Correct form is, Are cars raced by him.
32. (c) "Marathi" is object here so, after conversion it will be used as subject. Accordingly "go" will be converted to "Is".
33. (d) "A car" is object here so it will act as subject in converted form and there helping verb will be according to it, convert "doesn't" to "is not".

34. (b) "Tips" are object here so the respective helping verb according to it is "are".
35. "Ghaza is object here and in converted form it will influence the helping verb, so does will be replaced by Art.
36. (c) "His elders" is object here so helping verb "does" will be replaced by "are".
37. Changes ACTIVE „→ Subject + shall/will + V1 + object
PASSIVE „→ Object + shall/will + be + V3 + by +Subject
The book will be returned by Meenu.
38. (c) Changes ACTIVE „→ Subject + has/have + V3 + object
PASSIVE → Object + has/have + been + V3 + by +Subject
The tea has been poured by me.

3.9.4 Check Out

Assignment-28: Rewrite these sentences in the passive voice.

1. They will build a new bridge next year.
2. Brian Brody directed The Ultimate Space Adventure.
3. Madhuri will design her costume.
4. Someone found my wallet.
5. Someone built this house 180 years ago.
6. A thief stole my purse.
7. The police will arrest the robbers.
8. They produce bikes in this factory.
9. They serve lunch at one o'clock every day.
10. People throw away tones of rubbish every day.
11. They make coffee in Britain.
12. Someone stole Jim's bike lat night.
13. One of the students broke the window.
14. They will deliver my computer on Friday.
15. Madhavi invited Pavani to her birthday party.

Assignment-29

1. Did the problems you had to face discourage you? **[SSC CGL 2019]**
 - (a) Are you discouraged by the problems you had to face ?
 - (b) Were you discouraged by the problems you had to face?
 - (c) Are you being discouraged by the problems you had to face?
 - (d) Have you been discouraged by the problems you had to face ?

2. This beautiful story was written by Maya **[SSC CGL 2019]**
 - (a) Maya is writing this beautiful story
 - (b) Maya was writing this beautiful story
 - (c) Maya writes this beautiful story
 - (d) Maya wrote this beautiful story

3. They are going to open the shops at eleven O'clock. **[SSC CHSL T-1, 2018]**
 - (a) The shops must be opened at eleven O'clock.
 - (b) The shops were opened at eleven O'clock
 - (c) The shops are going to be opened at eleven O'clock.
 - (d) The shops have been opened at eleven o'clock.

4. The gardener has mowed the lawn. **[SSC CHSL T-I, 2018]**
 - (a) The lawn was mowed by the gardener.
 - (b) The lawn has been mowed by the gardener.
 - (c) The lawn is mowed by the gardener.
 - (d) The gardener has been mowed by the lawn.

5. Take this suitcase upstairs. **[SSC CGL T-I, 2018]**
 - (a) You must be taking this suitcase upstairs.
 - (b) This suitcase should be taken upstairs.
 - (c) Let this suitcase been taken upstairs.
 - (d) You are requested to take this suitcase upstairs.

6. An elephant may be helped even by an ant. **[SSC CGL T-I, 2017]**
- (a) An ant can even help a elephant.
 (b) An ant may even help a elephant.
 (c) Even ant may help an elephant.
 (d) Even an ant ought to help an elephant.
7. Please guide me. **[SSC CGL T-I, 2017]**
- (a) You are requested to guide me. (b) You have been requested to guide me.
 (c) You were requested to guide me. (d) You are being requested to guide me.
8. I saw him leaving the movie theatre. **[SSC CGL T-I, 2017]**
- (a) He was seen leaving the movie theatre by me.
 (b) Leaving the movie theatre he was seen by me.
 (c) He was seen to be leaving the movie theatre.
 (d) He had been seen leaving the movie theatre.
9. Varun ate six rotis at dinner. **[SSC CGL T-I, 2017]**
- (a) At dinner, six rotis were eaten by Varun.
 (b) At dinner, six rotis were eaten by Varun.
 (c) At dinner, Varun had eaten six rotis.
 (d) At dinner, Varun had eaten six rotis.
10. I adore movie stars. **[SSC CGL T-II, 2017]**
- (a) Adoring movie stars is being done by me.
 (b) Movie stars are adored by me.
 (c) I am in adoration of movie stars.
 (d) Movie stars are what that is adored by me.
11. His behaviour embarrasses me. **[SSC CGL T-II, 2017]**
- (a) His behaviour is embarrassing for me.
 (b) I am embarrassed by his behaviour.
 (c) I am myself embarrassed by his behaviour.
 (d) Embarrassing of myself is done by his behaviour.

12. I gaze at the stars from my balcony. [SSC CGL T-II, 2017]

- (a) Gazing at the stars has been done by me from the balcony.
- (b) The stars are being gazed at by me from the balcony.
- (c) The stars are gazed at from the balcony by me.
- (d) From my balcony I have gazed at the stars.

13. Does he egret drink tea? [SSC CGL T-II, 2017]

- (a) Is tea ever drunk by him?
- (b) Has drinking of tea ever been done by him?
- (c) He never does drink tea, does he?
- (d) Tea drinking has never been done by him isn't it?

14. I wrote a harsh letter to the editor. [SSC CGL T-II, 2017]

- (a) Writing of a harsh letter has been done by me to the editor.
- (b) I myself have written a letter which harsh to the editor.
- (c) The editor will get a harsh letter I wrote.
- (d) A harsh letter was written by me to the editor.

15. Do crows like to eat grain? [SSC CGL T-II, 2017]

- (a) Is liking of grain eating done by crows?
- (b) Is eating grain liked by crows?
- (c) Are grain eating liked by crows?
- (d) Is grain eaten by crows and liked?

3.10 DEGREE OF COMPARISON

There are three degrees of comparison. They are:

- 1. The Positive degree.
- 2. The Comparative degree.
- 3. The Superlative degree.

Examples

- The Positive degree : Rama is tall.
- The Comparative degree : Rama is taller than Gopal.
- The Superlative degree : Rama is the tallest boy in the class.

1. Positive Degree

Comparison of qualities of two or more persons or things can be done in two ways. We can use as ... as or so and a qualitative adjective to compare qualities of two or more things.

Example

- Vijay is not as tall as Ajay.
 - Ajay is not so intelligent as Vijay.
 - No other person in the class is as handsome as Ajay.
 - No other person in the class is so clever as Vijay.
- i. The adjectives used in the above sentences are said to be in the positive degree. In a number of common expressions, not so is used rather than not as.

Examples

- He's not so bad.
 - The roof is not so high.
- ii. Some quantitative adjectives can also be used in as ... as construction. Then quantity of something is compared to the quantity of something else.

Example

- We earn as much as they but they lead a better life.

2. Comparative Degree

We can also express the comparison of qualities of two or more persons or objects by using comparative form of an adjective and the word than after the adjective.

Examples

- Vizag is bigger than Kakinada.
- Plastic bags are more common than jute bags.
- Raja Reddy is more popular than other politicians.

i. Comparative Adjective

- To compare two people, places or things: add comparative adjective + than
- Two syllable adjectives: add -er or more
- More than two syllables: add more to make comparative form

- Comparative form of an adjective is formed by either addition of the suffix-ex to the adjective or the use of the word more before the adjective. Usually -er is attached to monosyllabic adjectives.

In the case of other adjectives, the word more/less is used.

Some irregular comparative forms of adjectives are

- i. The comparative elder is not followed by the word than.
 - She is elder of the two sisters.
 - He is elder to me by two years.
- ii. The words senior and junior can also be used to compare persons. But, they are followed by the preposition to.
 - Prasad is senior to me. (Not 'Prasad is senior than me')
 - She is junior to everybody here. (Not 'She is junior than everybody')

Comparative Adverbs

- i. To compare two actions: comparative adverbs + than
One syllable adverbs: add – er
Adverbs that end with –ly: add more

Examples

- Did cities grow more quickly after the Industrial Revolution?
- He hit the ball more powerfully than his competitor.

3. Superlative Degree

When a person or thing is superior to all the other persons or things under consideration, a superlative adjective is used. That is, we compare a person or thing with all the other things and say that person or the thing is superior to all those in some respect. A superlative adjective is formed either by affixing-est or by using the word most/least before the adjective. Note that the definite article is used before the superlative adjective.

Examples

- Anita was the best singer of the evening.
- These are the most expensive shoes I have ever bought.
- She is the youngest of all the graduates.

- i. Like comparatives, some adjectives have irregular superlative forms.

When the word most is used for emphasis not for comparison, it is not preceded by the definite article.

Examples

- This year, the results are most encouraging.
- That's a most interesting book.

3.10.1 Rules for Changing the Degrees of Comparison

1. Positive Degree

- a. An adjective without comparison is said to be in the Positive Degree.

Examples

- Gopi is a clever boy.
 - The rose is a beautiful flower.
- b. (i) Start the sentence with very few.
(ii) Add the subject.
(iii) Write the Positive Degree.

Very few + subject + verb + as + Positive Degree + as

Examples

- Very few kings are as noble as
 - Very few cities are as much populated as
 - Very few girls are as clever as
- c. When two persons or two things are compared:

Examples

- Hercules is not stronger than Atlas. [C.D]
 - Atlas is as strong as Hercules. [P.D]
- d. (i) Start the sentence with 'No other'.
(ii) Write the positive form so + P.D + as

Example- No other building in Madras is so tall as the L.I.C. building.

- (iii) Write the remaining part.

No other + subject + verb + so + P.D + as

No other building is so tall as

No other creature is so industrious as

Example- No other creature is so industrious as the ant.

Examples

1. Sakunthala is the best drama in Sanskrit. [S.D]
Sakunthala is better than any other drama in Sanskrit. [C.D]
No other drama in Sanskrit is so good as Sakunthala. [P.D]
2. Govind is the tallest man I have ever seen. [S.D]
Govind is taller than any other man I have ever seen. [C.D]
No other man I have ever seen is so tall as Govind. [P.D]

2. Comparative Degree

An adjective used to compare only two persons or two things is said to be in the Comparative Degree.

Examples

- Gopi is a cleverer than Murali.
 - The rose is more beautiful than Jasmine.
- i. Comparative Degree -er is added.
 - ii. In Comparative Degree more is added to positive degree.

Ex: Beautiful ... more beautiful

- iii. Add 'than;
- iv. Write any other.

Cleverer + than + any other _____

taller + than + any other _____

heavier + than + any other _____

more beautiful + than + any other _____

more difficult + than + any other _____

Examples

1. The L.I.C. building is the tallest in Madras. [S.D]
The L.I.C building is taller than any other building in Madras. [C.D]
2. The ant is the most industrious of all the creatures. [S.D]
The ant is more industrious than any other creature. [C.D]

3. Superlative Degree

An adjective used to compare more than two things or two persons and which indicates the highest degree of quality is said to be in the Superlative Degree.

- a. In (Superlative Degree if 'one of' is there).
 - i. Put the comparative degree
 - ii. Add 'most other'

richer than + most other

prettier than + most other

Examples

1. Gopi is the cleverest of all the boys in the class. [S.D]
Gopi is cleverer than any other boy in the class. [C.D]
No other boy in the class is so clever as Gopi. [P.D]
2. America is one of the richest countries. [S.D]
America is richer than most other countries.[C.D]
Very few countries are as rich as America. [P.D]

3.10.2 Degrees of Comparison are Applicable only to Adjectives and Adverbs

1. Nouns and verbs do not have degrees of comparisons

He is the tallest student in the class.

The term "tallest" is an adjective.

Among the members of the group, Mr. Charan speaks most effectively.

The term "effectively" is an adverb.

All the terms used in the above examples are either adjectives or adverbs.

We have seen all the three Degrees of Comparison.

a. Models for Degrees of Comparison**Model -1: “The best”:****Examples**

- i. This is the best hospital in this area.
No other hospital is as better as this one in this area.
No other hospital is as good as this one in this area.
- ii. Unemployment is the most serious problem facing our country.
Unemployment is more serious than any other problem facing our country.
No other problem facing our country is as serious as unemployment.

Model-2: “One of the best”:**Examples**

- i. Calcutta is one of the largest cities in India.
Calcutta is large than most other cities in India.
Very few cities in India are as large as Calcutta.
- ii. Sachin Tendulkar is one of the best batsmen in the world.
Sachin Tendulkar is better than most other batsmen in the world.
No other batsmen in the world is as good as Sachin Tendulkar.

Model-3: “Not the best”:**Examples**

- i. This is not the best solution to the problem.
This is not better than few other solutions to this problem.
Other solutions to this problem are not as good as this one.
 - ii. New York is not the largest city in America.
New York is not bigger than many other cities in America.
Few other cities in America are at least as large as New York.
2. Few adjectives and adverbs get their Comparative forms by simply getting “more” before them. And their superlative terms, by getting “most” before them.

3.10.3 Rules for Adjectives and Adverbs in Degrees of Comparison

Some Rules for adjectives and adverbs in degrees of comparison

1. By addition of 'er' and '-est' to the positive degree

Positive	Comparative	Superlative
bright	brighter	brightest
black	blacker	blackest
bold	bolder	boldest
clever	cleverer	cleverest
cold	colder	coldest
fast	faster	fastest
great	greater	greatest
high	higher	highest
kind	kinder	kindest
long	longer	longest
rich	richer	richest
small	smaller	smallest
strong	stronger	strongest
sweet	sweeter	sweetest
tall	taller	tallest
thick	thicker	thickest
young	younger	youngest

2. By addition of '-r' and '-st' to the positive degree ending in 'e'

Positive	Comparative	Superlative
brave	braver	bravest
fine	finer	finest
large	larger	largest
nice	nicer	nicest
noble	nobler	noblest
pale	paler	palest
simple	simpler	simplest
wise	wiser	wisest
white	whiter	whitest

3. When the positive ends in 'y' and has a consonant before it, we change 'y' into 'i' and then add 'er' and 'est'.

By deleting the final 'y' and adding 'ier' and 'iest'

Positive	Comparative	Superlative
costly	costlier	costliest
dry	drier	driest
easy	easier	easiest
happy	happier	happiest
heavy	heavier	heaviest
lazy	lazier	laziest
mercy	mercier	merciest
wealthy	wealthier	wealthiest

4. When the positive degree ends in a consonant with a vowel before it, we double the consonant & then add '-er' and '-est'

Positive	Comparative	Superlative
big	bigger	biggest
dim	dimmer	dimmest
fat	fatter	fattest
hot	hotter	hottest
thin	thinner	thinnest

5. By addition of '-er' and '-est' to the positive degree when it ends in '-y'

Positive	Comparative	Superlative
gay	gayer	gayest
grey	greyer	greyest

6. By placing 'more' and 'most' before the positive form

Positive	Comparative	Superlative
active	more active	most active
attractive	more attractive	most attractive

beautiful	more beautiful	most beautiful
brilliant	more brilliant	most brilliant
careful	more careful	most careful
courageous	more courageous	most courageous
cunning	more cunning	most cunning
difficult	more difficult	most difficult
famous	more famous	most famous
faithful	more faithful	most faithful
important	more important	most important
proper	more proper	most proper
popular	more popular	most popular
splendid	more splendid	most splendid
suitable	more suitable	most suitable

Some adjectives do not follow any of the rules explained earlier. They are compared irregularly. Here are the different forms of such adjectives.

Positive	Comparative	Superlative
bad	worse	worst
evil	worse	worst
good	better	best
ill	worse	worst
far	farther	farthest
well	better	best
late	later	latest (time)
late	later	last (position)
little	less	least
much	more	most
many	more	most
near	nearer	nearest
old	older	oldest
old	elder	eldest

1. Difference in meaning with adjectives

Positive	Comparative	Superlative	Comment
Far	Farther Further	Farthest Furthest	Distance Distance or time
Late	Later Latter X	Latest X Last	
Old	Older Elder	Oldest Eldest	People and things People (family)

2. Special adjectives

Some adjectives have two possible forms of comparison (-er/-est and more/most).

Positive	Comparative	Superlative
clever	cleverer / more clever	cleverest / most clever
common	commoner / more common	commonest / most common
likely	likelier / more likely	likeliest / most likely
pleasant	pleasanter / more pleasant	pleasantest / most pleasant
polite	politer / more polite	politest / most polite
quiet	quieter / more quiet	quietest / most quiet
simple	simpler / more simple	simplest / most simple
stupid	stupider / more stupid	stupidest / most stupid
subtle	subtler / more subtle	subtlest / most subtle
sure	surer / more sure	surest / most sure

3. Irregular adjectives

Positive	Comparative	Superlative	Comment
good	better	best	
bad	worse	worst	
much	more	most	uncountable nouns
many	more	most	countable nouns
little	less	least	
small	smaller	smallest	

3.10.4 Tasks

TASK-31: Fill in the blanks with suitable degree of words

1. This summer is _____ than the previous summer. (hot)
2. Harsha is the _____ boy in the class. (intelligent)
3. Her doll is _____ than yours. (pretty)
4. Name the _____ city in the world. (big)
5. He is the _____ friend I have. (good)
6. Iron is _____ than any other metal. (useful)
7. Ram's work is bad, Hari's is _____, but Govind's work is the _____. (bad)
8. Silver is _____ than gold. (cheap)
9. The Eiffel Tower is _____ than the Qutub Minar. (tall)
10. Akbar was the _____ Mughal Emperor. (great)
11. Prevention is _____ than cure. (good)
12. Mathematics is the _____ subject. (difficult)
13. Apples are _____ than oranges. (Costly)
14. Mr. Sharma is the _____ person I have ever seen. (fat)
15. This suitcase is _____ than that one. (heavy)

Answers

1. hotter	2. most intelligent	3. prettier	4. biggest
5. best	6. more useful	7. worse, worst	8. cheaper
9. taller	10. greatest	11. better	12. most difficult
13. costlier	14. fattest	15. heavier	

TASK-32: Fill in the blanks with an adjective of the appropriate degree of comparison.

1. James is as _____ as his brother.
(a) tall (b) taller (c) tall than
2. Alexander was one of _____ kings who ever lived.
(a) great (b) the greatest (c) the greater
3. Martin is _____ than any other boy in the class.
(a) more industrious (b) the more industrious (c) the most industrious

4. Chennai is _____ than Mumbai.
(a) hot (b) hotter (c) hottest
5. Very few cities in Asia are as _____ as Hong Kong.
(a) big (b) bigger (c) biggest
6. This cathedral is the _____ in South India.
(a) big (b) bigger (c) biggest
7. An airplane flies _____ than birds.
(a) more fast (b) more faster (c) faster
8. Kitchen appliances have made cooking _____.
(a) more easy (b) more easier (c) easier
9. Very few countries are as rich _____ America.
(a) than (b) as (c) so
10. Some beans are at least _____ as meat.
(a) more nutritious (b) as nutritious (c) nutritious

Answers

1. James is as **tall** as his brother.
2. Alexander was one of the **greatest** kings who ever lived.
3. Martin is **more industrious** than any other boy in the class.
4. Chennai is **hotter** than Mumbai.
5. Very few cities in Asia are as **big** as Hong Kong.
6. This cathedral is **the biggest** in South India.
7. An airplane flies **faster** than birds.
8. Kitchen appliances have made cooking **easier**.
9. Very few countries are **as rich** as America.
10. Some beans are at least **as nutritious as** meat.

Task-33: Fill in the correct form of the words in brackets (comparative or superlative).

1. My house is (big)_____ than yours.
2. This flower is (beautiful)_____ than that one.

Unit-4

WRITING

4.0 OBJECTIVES

After completion of this module we should be able to understand

- Concepts of sentence structures and uses of phrases and clauses
- Basic concepts of a paragraph structure and strategies to develop a paragraph.
- Nature and style of sensible writing and describing objects, events, places.

4.1 INTRODUCTION

Writing is a form of communication that allows to put people their feelings and ideas on paper, to organize their knowledge and beliefs into convincing arguments, and to convey meaning through well-constructed text. In its most advanced form, written expression can be as vivid as a work of art. Written communication guarantees that everyone concerned has the same information. It provides a long-lasting record of communication for future. Written instructions are essential when the action called for is crucial and complex. To be effectual, written communication should be understandable, brief, truthful and comprehensive.

The Written Communication has lots of forms. The letter, the content of a letter, report, essays, situations and processes. The written communication means also the total of all written communications which intercede in a judicial person's activities regarding his interests and relations. The written communication of a judicial or physical person it's a type writing paper like application, address, offers, telegram, complaint and so on. We use written communication when oral communication is not possible, when there is no other way of communicating and the written communication is the most convenient.



But always, it's necessary the existence of a written form. For physical persons, the written communication is an occasional activity. For State bodies, institutions and all the other foundations, the communication is a continue activity, a work method, a modality of solving lots of problems. The correspondence made possible new relations in politic life, in commercial activity, in cultural world and also in quotidian existence. The correspondence respect a certain protocol and suppose as for emitter but also for receiver, the knowledge and the respect of some rules. It supposes also privacy. The written communication role in commercial activities of the society infuses the definition of correspondence but also its importance.

The correspondence is a written communication between two persons, institutions, received letters, send by an institutions, organism or person. This form of written communication is very important because it plays a big role in the activity of commercial societies. For approaching other problem of written communication, I'll talk in the following lines about some examples of written communication technology use of phrases with average length (15-20 words), of centered paragraphs for a single idea, of correct words, avoiding common expressing and bootless words. The written communication process a great number of advantages which should cater for like it's durability in rapport with oral communication and also a text can be seen or read by many persons.

The List of Written Communication Tools are

1. Written communication includes **written words, graphs, charts, reports, diagrams**, etc. It takes several forms such as letters, memos, notice, reports, etc.
2. Written messages are transmitted by the **mail, courier, telegraph, telex, fax, e-mail, notice boards and bulletin boards, newspapers and magazines**.
3. Facsimiles (Fax) and Electronic mail (e-mail) are the most used computerized media for transmission of the written message.

Merits of Written Communication

- It ensures transmission of information in uniform manner.

- It provides a permanent record of communication for future reference.
- It is an idealistic way of conveying long messages.
- It ensures little risk of unauthorized alteration in the message.
- It tends to be comprehensive, obvious and accurate.
- It is well suited to express messages to a large number of persons at the same time.
- It can be quoted as legal evidence in case of any disputes.

Demerits of Written Communication

- It is costly and time consuming.
- It becomes difficult to maintain privacy about written communication.
- It is rigid and doesn't provide any scope for making changes for inaccuracies that might have crept.
- It is very formal and lacks personal touch.
- It boosts red-tapism and involves so many formalities.
- It may be represented in a different way by different people.

4.2 SIGNIFICANCE OF WRITING

Writing skills are an important part of communication. Good writing skills allow you to communicate your message with clarity and ease to a far larger audience than through face-to-face or telephone conversations.

Definition: Writing is a medium of human communication that represents language and emotion with signs and symbols. It consists of letters or characters that serve as visible signs of ideas, words, or symbols.

Significance: Writing is the frame work of our communication. Good writing skills allow us to communicate our message with clarity and ease to a far larger audience than through face-to-face or telephone conversations. Writing plays an important role in our day to day life. We write in order to prepare notes, note down important points of heard and watched content, or even writing answers in the examination is considered as a skill of writing. We write letters to convey official information or sending emails includes framing the content in understandable written content.

Writing skills can be major criteria towards better academic position and greater educational success. Students should believe the importance of writing skills in helping them achieve academic

mastery. Every career path requires its workers to write notes, memos, emails, and reports, all of which require good writing skills to effectively communicate a certain set of ideas.

4.2.1 Spelling

1. **Spelling:** English spelling is notoriously difficult to master for native speakers and language learners as well. Because English developed from several different language families, and because it so easily absorbs new words from other languages even today, the language of English has many different ways to spell the same sound and many different ways to pronounce the same spelling.

Spelling, the art of correctly assembling words from their letters, is one of the essential components of successful writing. Being confident at spelling leads to confidence in all aspects of literacy. The ability to recognise the links between word of the same origin and understanding word relationships has been proven to aid comprehension skills.

Improving your English spelling is not impossible: with some patience, one can see a noticeable improvement in spelling by using some techniques as good spellers use.

i. Importance

- a. **Communication:** Good spelling facilitates communication, when the same rules applied for spelling words, we can all understand the text we read.
- b. **Comprehension:** Good spelling avoids confusion, which is a bit like sports. It is up to the person passing the ball to make sure the receiver actually catches it. The same is apply even in the case of spelling. If you write with intent and proper spelling, the receiver of that text can understand it.
- c. **Future:** Let us face it, to our surprise university applications and job resumes littered with spelling errors.
- d. **Computer error:** We cannot rely on computers to check our spelling. They get it wrong sometimes.
- e. **Distraction:** Poor spelling distracts the reader and they lose focus. It is hard to read a text for comprehension when it is full of spelling errors.
- f. **Impressions Last:** When you have people read something you have written and that text is full of spelling errors, it does not leave a good impression. We should care about the fundamental part good spelling plays in our language. Spelling is a part in part of English Grammar.

- g. **Make it a Habit to Use a (good) Dictionary to Improve Spelling Skills:** Though memory aids are useful for memorizing difficult-to-spell words, good spellers never rely solely on memory: they depend on a reliable, up-to-date dictionary. There are many kinds of dictionaries available, both in print and online. Some of your instructors will have strong preferences about spelling conventions while others will accept any standard spelling from a standard dictionary.

An English dictionary designed for English language learners, such as Longman's Dictionary of Contemporary English or Oxford's Advanced Learner's Dictionary, can be very helpful for non-native speakers. These dictionaries give more information and often many more examples of words in context to help the students in order to select and use words appropriately.

- Be consistent about using British or American spellings in your writing.
- Create your own "difficult-to-spell" lists.
- Learn the standard pronunciations for frequently misspelled words.
- Use your computer spellchecker, but with caution.
- Become familiar with English spelling rules.

ii. **Rules:** The rules are meant for proper spelling-Writing skills.

- a. **Adding a Suffix:** When a suffix (an ending) is added to a word, the word's spelling usually changes in the following ways

- **Rule-1: One-syllable Words**

When a suffix that begins with a vowel (-ed, -ing, -er, -est) is added to a one-syllable word that ends in a consonant-vowel-consonant pattern, the final consonant of the word is doubled.

Examples:

- plan + ed =planned
- swim + ing = swimming
- er = runner
- thin + est = thinnest

- **Rule-2: Multi-syllable Words**

When a suffix that begins with a vowel (-ed, -ing, -er, -est) is added to a multi-syllable word, the final consonant is doubled if (1) the word ends in a consonant-vowel-consonant pattern, and (2) the accent or stress is on the last syllable.

Examples:

- begin + ing =beginning
- control + ed = controlled

- **Rule-3: Words Ending in-e**

When a suffix that begins with a vowel (-ing, -ence, -able) is added to a word ending in -e, the word's final-e is usually dropped. However, if the suffix begins with a consonant (-ment, -less, -ly), the word's final -e usually remains.

- Examples:**
- move + ing = moving
 - note + able = notable
 - advertise + ment = advertisement
 - home + less = homeless

Some exceptions to this rule include the words argument, awful, courageous, judgement, manageable, noticeable, truly, and simply.

● **Rule – 4: Words Ending in –y**

For most words that end in -y, if the letter before the -y is a consonant, the -y becomes an -i when the suffix is added. However, if the letter before the -y is a vowel, the -y remains unchanged.

- Examples:**
- happy + ness = happiness
 - portray + ed = portrayed

Some notable exceptions are the words daily, laid, paid, and said. Also, anytime -ing is added to a word ending in -y, the -y is not dropped.

- Examples:**
- copy + ing = copying
 - delay + ing = delaying

● **Choosing Between –s and –es**

If a word ends in a consonant, the suffix -s, rather than -es, is usually added. However, -es is used for words ending in -ch, -sh, -ss, -x, or -z.

- Examples:**
- relax + es = relaxes
 - crutch + es = crutches

For words where the final -y is changed to an -i (See “Words Ending in -y” on page 1), -es is used.

- Examples:**
- fry + es = fries
 - marry + es = marries

When a word ends in -o, -es is used rather than -s.

- Examples:**
- do + es = does
 - echo + es = echoes
 - tomato + es = tomatoes
 - Some exceptions to this rule are the words pianos, radios, sopranos, and solos.

● **Choosing Between –ie and –ei**

The letter -e precedes the letter -i when the two letters create an “ay” sound, as in neighbor and weigh. In other cases, however, -i is always placed before -e unless the letter -c precedes them both.

- Examples:**
- vein, niece
 - friend, receipt

Furthermore, even when the letter -c precedes the -i and -e, the word should be spelled with an -ie if the letters combine with the -c to create a “shen” sound.

- Examples:**
- ancient, conscience
 - efficient, sufficient

iii. How to Improve Spell Ability

- a. Use creative strategies to remember the correct spelling of words.

For example: Remember that the -a's in separate are separated by an -r, and dessert has two -s's because you want two desserts.

- b. Refer to a dictionary, and always check essays with the computer's spellchecker.
- c. Watch out for homonyms.
- These are often missed by the computer's spellchecker.
 - Some common homonyms are their/there/they're, it's/its, and hear/here.
- d. Keep a list of words you commonly misspell nearby when you write. Look over returned essays for misspelled words, and add them to your list.
- e. Test yourself on spelling using flashcards or other memorization techniques.
- f. Put the correctly spelled words that you have problems with somewhere you will see them every day: on a desk, on your mirror, in your car, etc....then you can remember the correct spelling instead of the incorrect tone.
- g. English learner should take care from the beginning how to write the spellings perfectly. Make it a habit.

4.3 TASKS (SSC CODES)

TASK (1-5): In the following questions, groups of four words are given. In each group, one word is correctly spelt. Find the correctly spelt word.

(SSC CGL 1st Sit. 2010)

1. (a) collaborate	(b) comemorate	(c) colate	(d) choclote
2. (a) circuiteous	(b) clairvoyant	(c) chivelery	(d) cavelcade
3. (a) severety	(b) sovereignty	(c) superiorty	(d) serenity
4. (a) cummulative	(b) comemmorative	(c) accummulative	(d) accommodative
5. (a) benidiction	(b) besmerch	(c) beneficent	(d) benevolence

TASK (6–10): In the following questions, groups of four words are given. In each group, one word is correctly spelt. Find the correctly spelt word.

(SSC CGL 2nd Sit. 2010)

6. (a) parapharnelia (b) parsimonious (c) peccadilo (d) peadiatrics
7. (a) measureable (b) manageable (c) marriagable (d) manoevrable
8. (a) tussel (b) tunnle (c) tumble (d) trable
9. (a) populus (b) pompuous (c) prelious (d) presumptuous
10. (a) impromptue (b) illustrious (c) illusery (d) impetous

TASK (11–15): In the following questions, groupsof four words are given. In each group, one word is correctly spelt. Find the correctly spelt word.

(SSC CGL 1st Sit. 2011)

11. (a) agnostik (b) accomplice (c) advercity (d) acrimonous
12. (a) dysentery (b) momentary (c) cemetary (d) comentary
13. (a) ebullient (b) jubilant (c) imminent (d) tolerant
14. (a) malaign (b) arraign (c) asigne (d) degine
15. (a) harrassment (b) embarrasment (c) fulfilment (d) denoument

TASK (16-20): In the following questions, groups of four words are given. In each group, one word is correctly spelt. Find the correctly spelt word and mark your answer in the Answer Sheet.

(SSC CGL 2nd Sit. 2011)

16. (a) qestalt (b) imbrolios (c) ampasse (d) recondite
17. (a) hindrance (b) corespondence (c) insurence (d) assurance
18. (a) adversery (b) adulatory (c) advisory (d) arbitrary
19. (a) rogeu (b) colleague (c) diluge (d) atege
20. (a) malignant (b) impertinant (c) independant (d) neglegent

TASK (21-25): In questions, there are four different words out of which one is correctly spelt. Find the correctly spelt word.

(SSC CGL 1st Sit. 2012)

21. (a) pleintive (b) sustein (c) villain (d) alleince
22. (a) comissioner (b) commissioner (c) commisioner (d) commissioner
23. (a) aprentice (b) advertise (c) treatice (d) sencitive
24. (a) suprintendent (b) supirentendent (c) superintendent (d) superentendent
25. (a) symetry (b) symmitry (c) symatry (d) symmetry

TASK (26-30): In the following questions, four words are given in each question, out of which only one word is correctly spelt. Find the correctly spelt word.

(SSC CGL 2nd Sit. 2012)

26. (a) digresion (b) digrestion (c) digression (d) degression
27. (a) presumpchous (b) presumtous (c) presumptuous (d) presomptous
28. (a) equalibirium (b) equilibrium (c) equilibriam (d) equilibirium
29. (a) vaterinerian (b) veterinarian (c) vetarinerian (d) veterinerian
30. (a) marrytime (b) marytime (c) maritime (d) meritime

TASK (31-35): In the following questions, four words are given in each question, out of which only one word is correctly spelt. Find the correctly spelt word.

(SSC CGL 1st Sit. 2012)

31. (a) abracadebra (b) abracadebri (c) abracadabra (d) abrakadabra
32. (a) apparrel (b) aparell (c) aparel (d) apparel
33. (a) refferee (b) referre (c) referre (d) referee
34. (a) commissioner (b) comissioner (c) commissionar (d) comissionor
35. (a) etiquette (b) etiquette (c) ettiquette (d) ettiquete

TASK (36-40): In the following questions four words are given in each question, out of which only one word is correctly spelt. Find the correctly spelt word.

(SSC CGL 2nd Sit. 2012)

36. (a) garulous (b) garrulous (c) garullous (d) garrullous
37. (a) marquee (b) markue (c) marquei (d) marquie
38. (a) puissant (b) puiscant (c) puiscent (d) puissant
39. (a) disconncerting (b) disconserting (c) discuncerting (d) disconcerting
40. (a) exilarate (b) exhilerate (c) exsilarate (d) exhilarate

TASK (41-45): There are four different words out of which one is correctly spelt. Find the correctly spelt word.

(SSC Sub. Ins. 2012)

41. (a) pursuasive (b) persuasive (c) persuesive (d) persuasieve
42. (a) assendency (b) ascendancy (c) ascendancy (d) ascendensy
43. (a) anathema (b) annathema (c) anathemaa (d) anathima

44. (a) quaint (b) qauint (c) quiant (d) quaaaint
 45. (a) effervesent (b) efervescent (c) effervescent (d) efferescent

TASK (46-47): There are four words out of which one is correctly spelt. Find the correctly spelt word. (SSC CHSL 2012)

46. (a) Manoeuvre (b) Manueover (c) Manuovere (d) Maneouvre
 47. (a) Venerable (b) Vanerable (c) Veneruble (d) Venarable

TASK (48-49): In the following questions, four words are given in each question, out of which only one word is correctly spelt. Find the correctly spelt word and mark your answer in the Answer Sheet. (SSC CGL 2nd Sit. 2013)

48. The laboratories are _____ with high tech electronic gadgets.
 (a) equipped (b) equiped (c) equiaped (d) equepped
 49. Software companies have ushered in _____ culture along with advanced technology.
 (a) foreing (b) foreegn (c) forigen (d) foreign

TASK (50-51): In these questions, four words are given in each question, out of which only one word is correctly spelt. Find the correctly spelt word. (SSC CGL 1st Sit. 2013)

50. (a) Busyness (b) Bussyness (c) Business (d) Bussiness
 51. (a) Questionnaire (b) Questionnair (c) Questionaire (d) Questionnare

TASK (52-53): In the following questions, four words are given in each question, out of which only one word is correctly spelt. (SSC CGL 1st Sit. 2013)

52. (a) milennium (b) millenium (c) milleneum (d) millennium
 53. (a) ocaasion (b) occassion (c) occasion (d) occation

TASK (54-55): Four words are given in each question, out of which only one word is correctly spelt. Find the correctly spelt word and mark your answer in the Answer Sheet. (SSC CGL 1st Sit. 2013)

54. (a) conivance (b) connivanse (c) connivance (d) conivence
 55. (a) maintennance (b) manteinance (c) maintenance (d) mentenance

TASK (56-60): In the following questions, four words are given. In each group, out of which only one word is correctly spelt. Find the correctly spelt word. (SSC Sub. Ins. 2013)

56. (a) rhythm (b) rhithim (c) rhythim (d) rhythm
 57. (a) indeganeous (b) indigenous (c) indegenous (d) indigeneous
 58. (a) saccarine (b) sacarine (c) sachharine (d) saccharine
 59. (a) revolutionize (b) revoulutionize (c) revvolutionize (d) revollutionize
 60. (a) disentry (b) dysentry (c) diesentry (d) dysentery

Answers

1. (a) Correct spellings of other words are : commemorate, collate and chocolate.
2. (b) Correct spellings of other words are : circuitous, chivalry and cavalcade.
3. (d) Correct spellings of other words are : severity, sovereignty and superiority.
4. (d) Correct spellings of other words are : cumulative, commemorative and accumulative.
5. (d) Correct spellings of other words are : benediction, besmirch and beneficent.
6. (b) Correct spellings of other words are : paraphernalia, peccadillo and paediatrics.
7. (b) Correct spellings of other words are : measurable : marriageable and manauverable.
8. (c) Correct spellings of other words are : tussle, tunnel and treble.
9. (d) Correct spellings of other words are : populous, pompous and perilous.
10. (b) Correct spellings of other words are : impromptu : illusory and impetus.
11. (b) accomplice (agnostic; adversity; acrimonious).
12. (a) dysentery (cemetary; momentary; commentary).
13. (b) jubilant (ebullient; imminent; tolerant).
14. (b) arraign (malign; assign; design).
15. (c) fulfilment (harassment; embarrassment; denouement).
16. (d) recondite (imbroglios, impasse, gestalt)
17. (a) hindrance (correspondence, insurance, assurance)
18. (c) advisory (adversary, adultery, arbitrary)
19. (b) colleague (rogue, dialogue, allege)
20. (a) malignant (impertinent: independent negligent).
21. (c) 22. (d) 23. (b) 24. (c) 25. (d) 26. (c) 27. (c) 28. (b) 29. (b) 30. (c) 31. (c) 32. (d) 33. (d)
34. (a) 35. (b) 36. (b) garrulous 37. (a) Marquee 38. (a) Puissant 39. (d) Disconcerting

40. (d) Exhilarate 41. (b) 42. (c) 43. (a) 44. (a) 45. (c) 46. (a) 47. (a) 48. (a) 49. (d) 50. (c)
51. (a) 52. (d) 53. (c) 54. (c) 55. (c)
56. (d) Rhythm = a strong regular repeated pattern of sounds or movements.
57. (b) Indigenous = native ; belonging to a particular place.
58. (d) Saccharine = sentimental
59. (a) Revolutionize = to completely change the way that something is done.
60. (d) Dysentery = an infection of the bowels that causes severe diarrhoea with loss of blood.

4.4 PUNCTUATION

Punctuation serves as a pause within a sentence, which is often necessary in order to emphasize certain phrases or words in order to help readers and listeners understand better what the writer or speaker is trying to convey. Thus, the basic function of punctuation is to place stress on certain sections of a sentence.

Punctuation marks are also used to divide text into words and phrases when necessary in order to better clarify the meaning of those words or phrases. On the contrary, using punctuation incorrectly can convey an entirely different meaning of a sentence from the one that was originally intended.

There are 14 punctuation marks that are commonly used in English grammar. They are the period, question mark, exclamation point, comma, semicolon, colon, dash, hyphen, parentheses, brackets, braces, apostrophe, quotation marks, and ellipsis. Following their correct usage will make your writing easier to read and more appealing.

1. Sentence Endings

Three of the fourteen punctuation marks are appropriate for use as sentence endings. They are the period, question mark, and exclamation point.

- i. The **period** (.) is placed at the end of declarative sentences, statements thought to be complete and after many abbreviations.
 - As a sentence ender: Jane and Jack went to the market.
 - After an abbreviation: Her son, John Jones Jr., was born on Dec. 6, 2008.
- ii. Use a **question mark** (?) to indicate a direct question when placed at the end of a sentence.
 - When did Jane leave for the market?

iii. The **exclamation point (!)** is used when a person wants to express a sudden outcry or add emphasis.

- Within dialogue: "Holy cow!" screamed Jane.
- To emphasize a point: My mother-in-law's rants make me furious!

2. Comma, Semicolon and Colon

The comma, semicolon and colon are often misused because they all can indicate a pause in a series.

i. The **comma** is used to show a separation of ideas or elements within the structure of a sentence. Additionally, it is used in numbers, dates and letter writing after the salutation and closing.

- **Direct address:** Thanks for all your help, John.
- **Separation of two complete sentences:** We went to the movies, and then we went out to lunch.
- **Separating lists or elements within sentences:** Suzi wanted the black, green, and blue dress.

Whether to add a final comma before the conjunction in a list is a matter of debate. This final comma, known as an Oxford or serial comma, is useful in a complex series of elements or phrases but is often considered unnecessary in a simple series such as in the example above. It usually comes down to a style choice by the writer.

ii. The **semicolon (;)** is used to connect independent clauses. It shows a closer relationship between the clauses than a period would show.

- John was hurt; he knew she only said it to upset him.

iii. A **colon (:)** has three main uses. The first is after a word introducing a quotation, an explanation, an example, or a series.

- He was planning to study four subjects: politics, philosophy, sociology and economics.

The second is between independent clauses, when the second explains the first, similar to a semicolon:

- I didn't have time to get changed: I was already late.

The third use of a colon is for emphasis:

- There was one thing she loved more than any other: her dog.

A colon also has non-grammatical uses in time, ratio, business correspondence and references.

3. Dash and the Hyphen

Two other common punctuation marks are the dash and hyphen. These marks are often confused with each other due to their appearance but they are very different.

- i. A **dash** is used to separate words into statements. There are two common types of dashes: en dash and em dash.
 - **En dash:** Slightly wider than a hyphen, the en dash is a symbol (-) that is used in writing or printing to indicate a range or connections and differentiations, such as 1880-1945 or Princeton-New York trains.
 - **Em dash:** Twice as long as the en dash, the em dash can be used in place of a comma, parenthesis, or colon to enhance readability or emphasize the conclusion of a sentence.

For example: She gave him her answer - No!

Whether you put spaces around the em dash or not is a style choice. Just be consistent.

- ii. A **hyphen** is used to join two or more words together into a compound term and is not separated by spaces. For example, part-time, back-to-back, well-known.

4. Brackets, Braces and Parentheses

Brackets, braces and parentheses are symbols used to contain words that are a further explanation or are considered a group.

- i. **Brackets** ([]) are the squared off notations used for technical explanations or to clarify meaning. If you remove the information in the brackets, the sentence will still make sense.
 - He [Mr. Jones] was the last person seen at the house.
- ii. **Braces** ({}) are used to contain two or more lines of text or listed items to show that they are considered as a unit. They are not commonplace in most writing, but can be seen in computer programming to show what should be contained within the same lines. They can also be used in mathematical expressions. For example, $2\{1+[23-3]\}=X$.
- iii. **Parentheses** () are curved notations used to contain further thoughts or qualifying remarks. However, parentheses can be replaced by commas without changing the meaning in most cases.
 - John and Jane (who were actually half brother and sister) both have red hair.

5. Apostrophe, Quotation Marks and Ellipsis

The final three punctuation forms in English grammar are the apostrophe, quotation marks and ellipsis. Unlike previously mentioned grammatical marks, they are not related to one another in any form.

i. An **apostrophe** (‘ ’) is used to indicate the omission of a letter or letters from a word, the possessive case, or the plurals of lowercase letters. Examples of the apostrophe in use include:

- **Omission of letters from a word:** I’ve seen that movie several times. She wasn’t the only one who knew the answer.
- **Possessive case:** Sara’s dog bit the neighbor.
- **Plural for lowercase letters:** Six people were told to mind their p’s and q’s.

It should be noted that, according to Purdue University, some teachers and editors enlarge the scope of the use of apostrophe, and prefer their use on symbols (&’s), numbers (7’s) and capitalized letters (Q&A’s), even though they are not necessary.

ii. **Quotations marks** (“ ”) are a pair of punctuation marks used primarily to mark the beginning and end of a passage attributed to another and repeated word for word. They are also used to indicate meanings and to indicate the unusual or dubious status of a word.

- “Don’t go outside,” she said.

Single quotation marks (‘ ’) are used most frequently for quotes within quotes.

- Marie told the teacher, “I saw Marc at the playground, and he said to me ‘Bill started the fight,’ and I believed him.”

iii. The **ellipsis** is most commonly represented by three periods (. . .) although it is occasionally demonstrated with three asterisks (***). The ellipsis is used in writing or printing to indicate an omission, especially of letters or words. Ellipses are frequently used within quotations to jump from one phrase to another, omitting unnecessary words that do not interfere with the meaning. Students writing research papers or newspapers quoting parts of speeches will often employ ellipsis to avoid copying lengthy text that is not needed.

- Omission of words: She began to count, “One, two, three, four...” until she got to 10, then went to find him.
- Within a quotation: When Newton stated, “An object at rest stays at rest and an object in motion stays in motion...” he developed the law of motion.

4.4.1 Task

TASK-61: Punctuate the following sentences by using, wherever necessary, capitals and all the punctuation marks you have learnt so far.

1. we had a great time in france
2. some people work best in the mornings
3. what are you doing next weekend
4. she has a heart problem
5. did you understand
7. we will arrive on monday morning
8. No he yelled.
9. He neither smiled spoke nor looked at me
10. Having lost all my money I went home

Answers

1. We had a great time in France.
2. Some people work best in the mornings.
3. What are you doing next weekend?
4. She has a heart problem.
5. Did you understand?
7. We will arrive on Monday morning.
8. No! he yelled.
9. He neither smiled, spoke, nor looked at me.
10. Having lost all my money, I went home.

TASK-62: Punctuate the following sentences by using, wherever necessary, capitals and all the punctuation marks you have learnt so far.

1. are they arriving tomorrow
2. do as i say
3. he asked me what time it was
4. wow what an absolutely fantastic idea

5. i recommend that you write a letter of complaint
6. you are much better now, aren't you
7. how extraordinary
8. what a hot day let's stay at home
9. who's there oh, it's you
10. 'how long will it take us to reach there' he asked

Answers

1. Are they arriving tomorrow?
2. Do as I say?
3. He asked me what time it was.
4. Wow what an absolutely fantastic idea!
5. I recommend that you write a letter of complaint.
6. You are much better now, aren't you?
7. How extraordinary!
8. What a hot day! Let's stay at home.
9. Who's there? Oh, it's you!
10. 'How long will it take us to reach there', he asked.

4.5 PARAGRAPH WRITING

Paragraph Structure: The paragraph is always the basic unit of an essay. It can perform the function of an introduction, an exposition, an explanation, a description, an analysis, a comparison, an argument, an illustration or a conclusion. It can be short or long according to the needs of an idea it takes up and the function it has to perform.

Definition: The paragraph is the unit of written composition next larger than sentence. This is a unit of composition in the sense that contains only one subject expressed in one more idea. Main idea is also known as the central idea. Single central idea around which a paragraph develops is supported by other subordinate ideas. A unity is a paragraph's essential features of a composition.

(or) It can be defined as unknown term by relating to a known term is called as the "paragraph". It can be uses the methods of comparison, contrast and synthesis, generally at the same time.

The paragraph can be classified into two types. These are

1. Topical paragraph and

2. Special paragraph

The topical paragraph develops a topic or an idea. Special paragraphs introduce, conclude or modulate the ideas developed in an easy.

“The paragraph is essentially a unit of thought, not of length. A succession of very short ones is as irritating as very long ones are wearisome”. - **H.W. Fowler**

4.5.1 Organising Principles of Paragraph Writing

Writing Paragraphs: Document means a piece of written, printed, or electronic matter that provides information or evidence or that serves as an official record. A document consists of a number of paragraphs to present the various aspects of intended information. A paragraph is a collection of related sentences dealing with a single topic. Learning to write good paragraphs will help you as a writer stay on track during your drafting and revision stages.

The Basic Rule: Keep one idea to one paragraph.

The basic rule of thumb with paragraphing is to keep one idea to one paragraph. If you begin to transition into a new idea, it belongs in a new paragraph.

It is essential to develop an ability to write effective paragraphs as all longer pieces of technical composition contain a series of related paragraphs. In long reports and proposals, paragraphs help to develop the core idea of a document. In fact, writing a technical message involves writing paragraphs. If the writing needs to be purposeful, precise and reader oriented, it is important to compose paragraphs that are clear, cohesive, concise and result oriented.

Elements of a Paragraph: Paragraph writing is a significant productive skill, integrating both composing and organising skills. In order to write an effective paragraph, a careful writing plan should be adopted to ensure proper length, unity, coherence, logical development, and organisation of ideas. Writing an effective paragraph can be involves adopting a careful writing plan that ensures the following:

1. Proper length

2. Unity

3. Coherence and

4. Logical development of ideas.

1. Proper Length: Effective paragraphs vary in length. Paragraph length should be adjusted according to the needs and requirements of a readers, subject matter, wring, style, variety, and emphasis. A paragraph is a part of composition in moderate length ranging from 2 to 10 lines.

If you want to achieve clarity and conciseness in your writing, you have to limit the length of a paragraph, which should be decided depending on the kind of the readers you have in mind.

2. **Unity:** A unity should be maintained within a paragraph. Only one idea should be developed and every sentence in the paragraph should be used to support and expand that idea. Deviations or useless digressions should be avoided. Unity means oneness of purpose.

When applied to paragraph structure. It can be implied that a paragraph develops around a single idea and every detail included in a paragraph should develop this idea. To maintain unity in a paragraph, one main thought should be expressed in a paragraph. An impressive paragraph should be well arranged, compact and organized in a proper way.

It should have a proper beginning, middle and end. First sentence should state the subject of the paragraph. The next group of sentences should Marshall the evidence in support of describing the subject. The final part of the paragraph provides a conclusion or summary of what has been said in the paragraph or it provides a transition to the next paragraph.

3. **Coherence:** Coherence means holding together to form a whole. In writing, it means that all the sentences in a paragraph should be interlinked. Coherence is the method that makes the paragraph easily understandable to readers. Unity and coherence are the passwords of good writing. Coherence and unity can be maintained by using pronouns, repetition of sonic keywords, using connectives and logical development of the idea.
- a. **Pronouns:** A pronoun is used as a substitute for a noun, and this always serves as a reminder of the noun in the earlier sentence. Thus, it maintains continuity of thought.
- b. **Repetition:** The repetition of some key words or phrases in the paragraph serves not only to make the paragraph coherent but also to emphasize the author's point of view. But repetition should be used with care, as too much of it can make the paragraph monotonous.
- c. **Connectives:** These are words or phrases which usually occur at the beginning of a sentence to show the relationship between the new sentence and the preceding sentence. Some of these connective are 'and', 'but', 'or', 'therefore', 'next', 'further', 'besides', 'similarly', 'on the other hand', 'secondly', etc.

Coherence is the trait that makes the paragraph easily understandable to a reader. You can help create coherence in your paragraphs by creating logical bridges and verbal bridges.

Logical Bridges

- The same idea of a topic is carried over from sentence to sentence.
- Successive sentences can be constructed in parallel form.

Verbal Bridges

- Key words can be repeated in several sentences.

- Synonymous words can be repeated in several sentences.
 - Pronouns can refer to nouns in previous sentences.
 - Transition words can be used to link ideas from different sentences.
4. **Topic Sentence (Logical Development of Ideas):** The topic sentence expresses the main idea of a paragraph and the remaining sentences support it. In other words, the topic sentence serves as a headline for the paragraph and other sentences supply the story.

A topic sentence is a sentence that indicates in a general way what idea or thesis the paragraph is going to deal with. Although not all paragraphs have clear-cut topic sentences, and despite the fact that topic sentences can occur anywhere in the paragraph (as the first sentence, the last sentence, or somewhere in the middle), an easy way to make sure your reader understands the topic of the paragraph is to put your topic sentence near the beginning of the paragraph. This is a good general rule for less experienced writers, although it is not the only way to do it. Regardless of whether you include an explicit topic sentence or not, you should be able to easily summarize what the paragraph is about.

Some methods to make sure your paragraph is well-developed

- Use examples and illustrations.
- Cite data (facts, statistics, evidence, details, and others).
- Examine testimony (what other people say such as quotes and paraphrases)
- Use an anecdote or story
- Define terms in the paragraph
- Compare and contrast
- Evaluate causes and reasons
- Examine effects and consequences
- Analyze the topic
- Describe the topic
- Offer a chronology of an event (time segments)

4.5.2 Paragraph Development Techniques and Methods

In order to build unity of a paragraph, the entire paragraph may be developed by using certain devices. Popular devices to bring unity in a paragraph are the:

1. Inductive method
2. Deductive method
3. Chronological method
4. Spatial method and
5. Linear method.

1. **Inductive Method:** To supporting facts or details are given one after another leading to the final sentence having the main idea. Here, the author arranges the matter logically, includes examples and specific details and gives a conclusion in the form of a topic sentence. A paragraph which is developed by inductive method contains the topic sentence at the end.

Example: The Indian farmer today is provided with seeds which are not only 'high yielding', but also, thanks to the work of scientists in our agricultural universities and research institutions, resistant to drought and disease.

He is encouraged to use fertilizers to ensure an adequate supply of nourishment to his crops. In areas where rains are scanty, irrigation canals are dug to bring water to the fields. Tractors, harvesters and other machines have taken the place of the primitive implements used by farmers since the dawn of civilization. In these, and many other ways, there has been an impressive progress in our agriculture, which is often referred to as the green revolution.

2. **Deductive Method:** This is reverse of the inductive method. In this method, the core idea, which is the topic sentence, is stated in the beginning and then explained or amplified or supported with examples or details in the sentences that follow. Here, the writer begins with the topic sentence and goes on to record the supporting facts.

Example: Old age has always been thought of as the worst age to be: but it is not necessary for the old to be unhappy. With old age should come wisdom and the ability to help others with advice wisely given, the old can have the joy of seeing their children making progress in life: they can watch their grandchildren growing up around them: and, perhaps best of all, they can, if their life has been a useful one, feel the happiness of having come through the battle of life safely and of having reached a time when they can lie back and rest, leaving others to continue the fight.

3. **Chronological Method:** In chronological order of facts, events or even ideas are discussed in the order in which they occurred or came to one's mind.

Development of the matter is made in terms of time, and importance is given to the date and time while organizing the sentences. This method can be used in explaining a process or in narrative writing.

Example: In the relatively short span of sixty years, there has been an incredible evolution in the size and capabilities of computer. Today, computer chips are smaller than the tip of your finger nail and have the same capabilities as the room-sized machines of years ago.

The first computer was developed around 1945. They were so large that they required special air-conditioned rooms. About twenty years later, in the 1960s, desk-sized computers were developed. This represented a gigantic advance. Before the end of that same decade, however, a

third generation of computer, which used simple integrated circuits and which were even smaller and faster, had appeared. In 1971, the first microprocessor, less than one square centimetre in size, was developed. Today modern microprocessors contain as many as 10 million microprocessors doubles every eighteen months.

4. **Spatial Method:** In the spatial method of paragraph development, items are arranged according to their physical position or relationship. This method refers to space or layout in which setting is described in some son of order based on location.

It helps the readers to visualize what they see and in better understanding the physical qualities of the subject matter. In spatial arrangement, the writer can arrange the matter from near to far, from far to near, from outside to inside, or from less prominent to the more prominent.

Example: She led me into a cold dark room, rough and very gloomy, although with two candles burning. I took little heed of the thing in it, though I marked that the window was open. That which I heeded was an old man, very stem and comely, with death upon his countenance: yet not lying in his bed, but set upright in a chair, with a loose red cloak thrown over him.

Upon this his white hair fell, and his pale fingers lay in a ghastly fashion, without a sign of life or movement, or of the power that kept him up: all rigid, calm, relentless. Only in his great black eyes, fixed upon me solemnly, all the power of his body dwell, all the life of his soul was burning.

4.5.3 Types of Paragraphs

1. **Descriptive:** A paragraph in which you describe a scene or a thing or a person. The aim should be to give a valid picture of the object so that the reader may be able to visualize it before his mind's eye. Only significant details should be given, otherwise the picture will be blurred and confused.
2. **Narrative:** In such a paragraph you narrate an incident or an anecdote, giving significant developments in the progress of the event in a coherent manner.
3. **A Paragraph of Definition:** In such paragraphs don't waste words and be objective, scientific and dispassionate in defining things.
4. **A Paragraph of Similarities:** When you compare two things, you have to bring out the similarities between them in a convincing manner.
5. **A Paragraph of Differences:** When you contrast two things, the differences have to be stated in an explicit manner. The coherence words, but whereas, on the other hand, on the contrary, etc; will be useful for this purpose.
6. **A Paragraph of Comparison and Contrast:** Sometimes in the same paragraph the similarities, as well as the differences between two persons or things may be brought out.

7. **A Paragraph of Reasoning:** On the basis of certain data or facts you try to arrive at a certain conclusion by the process of reasoning.
8. **Statement of Facts and Figures:** There are paragraphs which do not belong to any of the above categories and are mainly concerned with giving facts and figures in a clear and emphatic manner.

4.5.4 Tasks

TASK-63: A House on Fire

It was midnight. I was sleeping soundly in my room. All at once the cries of 'Fire! Fire!' awoke me. I sprang out of my scene of fire. A fire had broken out in a three-strayed building. I found the house was all ablaze. As a strong wind was blowing, the fire soon spread. Flames rose up to the sky.

The inmates of the house were crying. It was a terrible sight. We felt that we were undone. The air was thick with smoke. The atmosphere was suffocating. The sparks were flying all around. The heat was intense. The topmost storey was burnt to ashes before the arrival of the fire brigade.

TASK-64: The Scene at a Bus Stop

The scene at a Bus-Stop is interesting. There is great hustle and bustle before the arrival of a bus. The passengers belong to different sections of the society. Most of them can be seen chatting, and they are very conscious of their luggage. The vendors attract customers. There is a great rush at tea-stalls. Young boys and girls are busy with their cell phones. As soon as the bus comes, the passengers run into it to get a seat. At the departure of the bus, friends of the exchange farewells. Then the bus-station for few minutes seems deserted.

TASK-65: Beggar

Beggars are common sight these days. He leads a very hard life. Nowadays even small children are made beggars everywhere. Some of them are used to begging, it has become easy way of earning money. Those who are physically fit also are seen as beggars. Poverty and illiteracy are main reasons for the increase of beggars.

TASK-66: Students and Politics

Students are the backbone of a nation. They are the architects of modern India. Whether students should participate in politics or not is a highly controversial issue. Some say that students should take active part in politics. So, that they can occupy important positions in the Syndicates and Senates of the Universities. But others say, it hinders their progress in academic matters. So, much can be said on both sides.



Students must understand what is happening in the country politically, economically, socially and religiously. But they should not get involved in active political organizations. If they have political affiliations, they become more puppets in the hands of the elderly cunning and clever politicians. So, it is better for students to confine to their studies and strive for academic excellence and intellectual enlightenment.

TASK-67: Importance of English Language in Day to Day Life

Nowadays English language plays a vital role in our day to day life. After office automation and the introduction of computers, most of the people have to depend only on English. It is an international language through which we can see the world. For internet, computer utilization, fax machines, telecommunications, we need mostly English. It is a means of international communication at all levels.

Most of the standard books on computer knowledge, software, hardware, engineering, medicine, history, literature, geography, science, commerce and arts are only in English. Next to Chinese, English is spoken by the largest number of people in the world. It is the link language in the amity of the world nations. Journals and magazines of English show the popularity of English even in the Press of our country.

When the whole world has become a global village, the significance of English has increased considerably. All kinds of ideas, shades of meaning can be beautifully expressed in English. Any unpleasant idea can be conveyed in a pleasant and less offensive manner. English is continued in our schools, offices, colleges and universities because the employment potential is very high. It is a world language both by virtue of the number of words and power of expression. Thus, English is an important language in our day to day life as it is very useful not only for getting jobs but also for acquiring communication skills and information.

4.6 OUTCOMES

1. Produce coherent and unified paragraphs with adequate support and detail;
2. Produce appropriate vocabulary and correct word forms;
3. Use a variety of accurate sentence structures and use language as an effective tool of communication.
4. Write a paragraph with a topic sentence, support, and concluding sentence;

4.7 CHECK OUT

Assignment-1 : Use appropriate punctuation marks in the following sentences.

1. we had a great time in france the kids really enjoyed it
2. what are you doing next weekend
4. mother had to go into hospital she had heart problems
5. did you understand why i was upset
6. it is a fine idea let us hope that it is going to work
7. We will be arriving on monday morning at least I think so
8. a textbook can be a wall between teacher and class
9. the girls father sat in a corner
10. in the words of murphys Law anything that can go wrong will go wrong

Assignment-2: Punctuate the following sentences

1. he is not really nice looking and yet he has enormous charm
2. when i was a child i could watch tv whenever I wanted to
3. it is a fine idea let us hope that it is going to work
4. mrs madhav who was sitting behind the desk gave me a big smile
5. we were believe it or not inhuman towards animals
6. i don't like this one bit said jwala
7. have you met our handsome new financial director
8. if you ever come nizambad come and see me

9. anil the student in the first bench is proud of his wealth
10. looking straight at her he said I cant help you.

Assignment-3: Punctuate the following sentences.

1. reena said to the servant what have you been doing since morning the servant said madam i have been walking the dog said go at once to the kitchen what have to do there the servant asked.
2. alas said her mother you have eaten all that i had mother do not worry i can manage without food but what about you said shaurya you have not eaten too.
3. great god i would rather be a pagan than such a christian wrote wordsworth.
4. by god I have not done it.
5. good heavens I have lost my purse.
6. good morning suhani have you slept well said her mom you do not appear to have slept well asked suhani in turn you were awake when I got up to turn off the air conditioner.
7. i cannot go she said because rain has not stopped so far.
8. they are well now arnav said they can go but it is drizzling how can they go said my daughter pearl.
9. do not desire O my young friend to get what you cannot get said the fisherman.
10. the king said to the jester how dare you touch the magic thing meant for me be ready to face the consequences shedding tears the jester said I am sorry no use crying said the king I am crying for you my lord replied the jester why asked the king.
11. you expect every body the slave said to the master, to flatter you all the time why is it so.
12. the queen cried help help.
13. advise me deep said how can i solve this problem.
14. no said malini i have not heard this news.
15. young and old good and bad all must die.
16. the names of the students are rohit, meenakshi, rahul, sona and ankur.
17. oh dear i am tired today.
18. o yes i like singing you like dancing.
19. some are born great some achieve greatness.
20. you fools how dare you enter my room without permission.

21. she wouldnt go there my son.
22. for god's sake please help me.
23. ah i am undone my friends have ruined me.
24. alas what a fool i am he has after all cheated me.
25. the words the prohibited area were written on the wall.

Assignment-4: Write a paragraph on each of the following subjects

1. An accident. (Narrative)
2. A patriot.(Definition)
3. The growth of virtue and the growth of a plant. (Similarity)
4. Town life versus country life. (Contrast)
5. Why population should be controlled? (Reasoning)

Assignment-5: Write a short paragraph on each of the following topics:

1. A Rainy day	2. A leader
3. Your Parents	4. Your college
5. Your Ambition & Goal	6. Your favorite picnic spot
7. Present day politics	8. Use of English

Assignment-7: Describe the following in not less than 250 words of your own on the following topics.

1. Effects of Pollution
2. The Changes in the Ocean
3. The Civil Rights Movement and the Effects
4. Causes and Effects of the Popularity of Fast Food Restaurants
5. Internet Influence on kids
6. Popularity of Sports in US
7. Effects of professional sport on children
8. Alcohol and nervous system
9. Domestic violence
10. Growing up with a single parent

Assignment-8: Describe the following in not less than 300 words of your own on the following topics.

1. The influence of my favorite movie/book on me.
2. How war in Syria effects US.
3. What impact smoking has on a pregnant woman.
4. Telling lies. The cause and effect.
5. The causes of divorces.
6. What is the impact of genetically engineered food.
7. What causes a tsunami.
8. What causes racism.
9. How globalization affects economy.
10. What was your cause of choosing your major/your college.
11. The effects of credit culture.
12. What are causes and effects of terrorism.
13. What makes a person to be a good teacher/mother/doctor/artist.
14. What are the effects of home schooling.
15. What causes heart problems?

3. This is the (interesting) _____ book I have ever read.
4. Non-smokers usually live (long) _____ than smokers.
5. Which is the (dangerous) _____ animal in the world?
6. A holiday by the sea is (good) _____ than a holiday in the mountains.
7. It is strange but often a coke is (expensive) _____ than a beer.
8. Who is the (rich) _____ woman on earth?
9. The weather this summer is even (bad) _____ than last summer.
10. He was the (clever) _____ thief of all.

Answers

1. My house is bigger than yours.
2. This flower is more beautiful than that one.
3. This is the most interesting book I have ever read.
4. Non-smokers usually live longer than smokers.
5. Which is the most dangerous animal in the world?
6. A holiday by the sea is better than a holiday in the mountains.
7. It is strange but often a coke is more expensive than a beer.
8. Who is the richest woman on earth?
9. The weather this summer is even worse than last summer.
10. He was the cleverest thief of all.

3.11 OUTCOMES

1. Demonstrate an understanding of more complex grammatical structures in conversations and discussions. In addition, students will begin to initiate and sustain conversations and discussions.
2. Some linguists use the terms concord and agreement interchangeably, although traditionally, concord is used in reference to the proper relationship between adjectives.
3. They are used to indicate modality allow speakers to express certainty, possibility, willingness, obligation, necessity, ability.
4. Tense is the form taken by a verb to indicate time and continuance or completeness of action and the Active vs. passive; verbs and objects with the passive; reasons for using passive.

Unit-5**SOFT SKILLS****5.0 OBJECTIVES**

After completion of this module we should be able to understand

- Understand the SWOC analysis.
- To know the Attitude and Emotional Intelligence in Soft Skills.
- Discuss about Telephone Etiquette and Interpersonal Skills.

5.1 INTRODUCTION

Soft skills include any skill that can be classified as a personality trait or habit. Interpersonal skills and communication skills are more specific categories of soft skills that many employers look for in job candidates.

There are many soft skills that you could list on your resume or cover letter. Some of the most sought after soft skills include:

- Effective communication skills
- Teamwork
- Dependability
- Adaptability
- Conflict resolution
- Flexibility
- Leadership
- Problem-solving
- Research
- Creativity
- Work ethic
- Integrity

Broad types of soft skills, which you can read more about below, include:

- Communication
- Problem-solving
- Creativity
- Adaptability
- Work ethic

Soft skills relate to how you work. Soft skills include interpersonal (people) skills, communication skills, listening skills, time management, and empathy, among others. Hiring managers typically look for job candidates with soft skills because they make someone more successful in the workplace. Someone can be excellent with technical, job-specific skills, but if they can't manage their time or work within a team, they may not be successful in the workplace.

5.1.1 How it Works

Soft skills are also important to the success of most employers. After all, nearly every job requires employees to engage with others in some way.

Another reason hiring managers and employers look for applicants with soft skills is that soft skills are transferable skills that can be used regardless of the person's job. This makes job candidates with soft skills very adaptable employees.

Soft skills are particularly crucial in customer-based jobs. These employees are in direct contact with customers. It takes several soft skills to be able to listen to a customer and provide that customer with helpful and polite service.

5.1.2 Importance

Soft skills play an important role in resume writing, interviewing and finding success in communicating with people at work and in other areas of your life. For example, as you look for jobs, you may find that many employers list specific soft skills on their job posts in the 'required' or 'desired' sections. A job posting for a Human Resources associate may list 'attention to detail' as a desired trait, while a job for a Marketing Specialist could list 'leadership' and 'great communication skills'.

Soft skills are often transferable across careers and industries. As a result, you may find that you possess many of the required traits even if you don't match the exact profile in a job description. As you search for jobs, pay special attention to posts calling for candidates with soft skills or traits you possess. Even if the job title isn't a great fit, you may find that the description makes sense for you. As you progress through the job search process, keep your resume updated to reflect soft skills most relevant to the jobs you're applying for.

You may also find it helpful to consider how you might showcase your soft skills in an interview. While you can display some skills like good communication, you may consider weaving others into your answers to interview questions. For example, you might talk about your problem-solving skills when answering a question like, "Tell me about a time you overcame an obstacle."

If the employer prompts you to provide references, think of those that can speak to examples that verify your soft skills and other strengths.

5.1.3 Soft Skills List and Examples

Because soft skills are often innate personality traits, you already possess several marketable soft skills that will help you get and be successful in a job. Though many are formed with your personality, soft skills can also be learned and developed with practice and experience. Here are few examples of key soft skills and how those skills can enhance your performance during and after the job search process.

- 1 **Communication:** Effective communication skills will be helpful through the interview process and in your career. The ability to communicate involves knowing how you should speak to others in different situations or settings. For example, when working with a team on a project, you may need to communicate when you believe that an idea or process is ineffective. Finding a way to tactfully and skilfully disagree with others on the job without creating conflict is an important skill that employers value.

Related Communication Skills

- Active listening
 - Confidence
 - Conflict resolution
 - Organisation
2. **Problem-Solving:** Employers highly value people who can resolve issues quickly and effectively. That may involve calling on industry knowledge to fix an issue immediately, as it occurs, or taking time to research and consult with colleagues to find a scalable, long-term solution.

Related Problem-Solving Skills

- Creativity
 - Research
 - Risk management
 - Teamwork
3. **Creativity:** Creativity is a broad ability incorporating many different skill sets including other soft skills and technical skills. Employees with creativity can find new ways to perform tasks, improve processes or even develop new and exciting avenues for the business to explore. Creativity can be used in any role at any level.

Related Creativity Skills

- Curiosity
 - Learning from others
 - Open-mindedness
 - Taking calculated risks
4. **Adaptability:** How easily do you adapt to changes? If you're working in a technology-driven field or start-up, adaptability is especially important. Changes in processes, tools or clients you work with can happen quickly. Employees who are capable of adapting to new situations and ways of working are valuable in many jobs and industries.

Related Adaptability Skills

- Consistency
- Organisation
- Optimism
- Flexibility

5. **Work Ethic:** Work ethic is the ability to follow through on tasks and duties in a timely, quality manner. A strong work ethic will help ensure you develop a positive relationship with your employer and colleagues even when you are still developing technical skills in a new job. Many employers would rather work with someone who has a strong work ethic and is eager to learn than a skilled worker who seems unmotivated.

Related Work Ethic Skills

- Attention to detail
- Integrity
- Persistence
- Time management

5.1.4 Improvement of Soft Skills

Many employers value strong soft skills over technical skills because they are often personality traits developed over a lifetime and can be difficult to teach. That being said, anyone can improve their soft skills with experience and practice. For example, you may find that an employer is seeking someone skilled in conflict resolution. While you may be naturally skilled at effective communication, it may help to practice working through conflicts with others.

There are several ways you can help improve your soft skills.

1. **Pick a Soft Skill you Want to Improve and Practice it Consistently:** You can improve any soft skill if you make it a practice. Most soft skills are a matter of routine. For example, you can practice dependability, both on the job and at home, by improving punctuality (showing up to work or events on time or early) and starting on projects at work earlier so you can complete them ahead of schedule.
2. **Observe and Mimic the Positive Soft Skills you see in Others:** There are likely professionals you know or work with who have strengths in various soft skills. You may be able to develop integral soft skills by observing the practices of others and incorporating them into your own daily routine. You may find, for example, that effective communicators often write down notes when others are talking during meetings. This helps them organise their thoughts so they are prepared to ask and answer important questions. This is also an active listening practice that may be good to utilise as part of your own work.
3. **Set Milestone Goals to Improve Soft Skills:** Set specific, measurable goals by carefully reading your performance reviews at work or asking trusted friends and colleagues for

constructive criticism. This can help you to identify key areas of improvement for goal setting and areas of strength to highlight on your resume and in interviews. You can prioritise which soft skills to work on based on those that you need to get a certain job or move up in a career you already have.

4. **Find Resources to help you Learn:** You can find several resources to help you learn tactics for improving the soft skills you want to focus on like books, podcasts or online classes. While some require payment, many are free of cost and can be accessed at any time. You might try out few different types of resources to see which are best for your learning style.

5.1.5 Highlight your Soft Skills

Showcasing your soft skills can be useful when looking and applying for jobs, in an interview or in your daily work. If you are looking for work, you can highlight your soft skills on your resume and in your cover letter.

1. Soft Skills for Resumes

Your resume should include a section that lists your relevant hard and soft skills. When deciding which skills to put on a resume, consider what skills are called for in the job post and those you possess that can be verified by your references.

Here's an example of what your resume skills section could look like.

Technical Skills: Learning technology

- Mac OS
- Windows OS
- Blackboard

Additional Skills: Strong communication skills

- Empathic
- Passionate and motivated

2. Soft Skills for Cover Letters

Your cover letter should include at least one well-developed and relevant soft skill that provides context as to why you're a good fit for the job. You can do this by explaining how your soft skill aligns with the company's goals, values and/or mission.

Your use of a soft skill in your cover letter may look similar to the following example.

In my previous role, I displayed both passion and creativity that were highly regarded by my colleagues and managers. For example, I successfully proposed and put together a team to work on a marketing campaign targeting a younger demographic for our product. From start to finish, my team members and managers praised my ability to positively work with my team to help establish a new interest in our company.

While hard skills are important for completing technical tasks, strong soft skills will make you the kind of worker employers want to hire, retain and promote. It's important to highlight the soft skills you have at all stages of the job search process and continue developing those skills once you find the job you're looking for.

5.2 SWOC

SWOC analysis is used in business or firms whereas SWOT Analysis is done for an Individual.

SWOC analysis is a strategic planning method used to research external and internal factors which affect company success and growth. Firms use SWOC analysis to determine the strengths, weaknesses, opportunities, and challenges of their firm, products, and competition.

SWOC analysis is relevant to SWOT analysis. SWOT examines strengths, weaknesses, and opportunities. But it focuses on threats rather than challenges. The two are similar but they do have their differences, which is why firms may choose to use SWOC or SWOT.

How to use SWOC analysis

When beginning a SWOC analysis of a product or firm, you must go through each section individually. Starting with...

Strengths: Strengths are features which benefit the company, such as product sales. For example, sales of Product X is growing 3% each month. But Product Z is seeing a 3% monthly decline. In this case, Product X, which brings in more revenue, is where the firm should focus their efforts to continue profit growth.

Strengths can also be more abstract. If you've decided to build a product because you know you can offer it cheaper than your competitor, this is an overall strength of the company. Or if you have records of better customer service via positive reviews online, this is a strength you can use to your advantage. Strengths can be documented through statistics, customer service reviews, and surveys.

Weaknesses: The next step is noticing weaknesses. Weaknesses cause a company to struggle. For example, if you've decided to target a younger audience but your packaging is still dedicated to senior citizens, the new consumer base will struggle to connect to the product. This will show in reports, and cause an internal struggle within the company.

Weaknesses need to be documented and acknowledged to handle them promptly before it spreads and leads to overall destruction.

Opportunities: Opportunities are often external. They provide ways for firms to grow successfully. For example, a digital marketing agency helps a client develop an effective email marketing

strategy. The agency has been thinking of doing graphic design so they offer a reduced fee to re-do the existing client's logo. This is an opportunity for the agency to develop a new section of their business without having to devise a marketing plan because they can reach out to existing clients.

Being open to opportunities, knowing when to look for them, and how to act on them can boost a firm's success. Documenting past opportunities can help create a plan on how to capitalize future opportunities.

Challenges: The final step in SWOC analysis is acknowledging challenges. This is how SWOC and SWOT analysis differ because SWOT analysis focuses on threats. Challenges are similar to threats but have the chance of being overcome. Threats have the potential to damage a firm, but challenges often already exist and need to be handled appropriately.

This step is crucial. If you've already examined the strengths, weaknesses, and opportunities but skip assessing challenges, you may be on the path to failure. Challenges can greatly undermine any progress you've made, so by ignoring this step, you've opened yourself up to potential failure.

When to use SWOC analysis

Use SWOC analysis whenever you have a business idea. Whether it's starting a brand new business, a product, or a product upgrade. You can do SWOC analysis annually, quarterly, or monthly; it depends on what product or idea you're using SWOC analysis for.

But if you choose to do SWOC analysis, remember it's a great cost-effective way to reduce challenges and deter failure of a business venture or product.

5.2.1 Personal SWOT Analysis

A personal SWOT analysis can do the same for an individual in pursuit of their career goals. It provides insights based on your personality strengths and weaknesses, what challenges you see ahead of you, and what opportunities are present around you now and in the future.

The SWOT analysis was first devised as a business tool in the 1960s by business icons Edmund P. Learned, C. Roland Christensen, Kenneth Andrews and William D. Guth. In 1982, Heinz Weihrich took it one step further, constructing a 2 x 2 matrix to plot out the answers to the four key questions for easy comparison. Strengths and weaknesses were across the top, and opportunities and threats in the bottom row. This remains the most common and effective way to conduct the analysis.

While there are many formats for the SWOT analysis, in its simplest and truest form, the SWOT matrix is a four-quadrant table with a color-coded grid, looking something like this:

Strengths	Weakness
Opportunities	Threats

Strengths and opportunities are things you consider favorable and within your control, while weaknesses and threats are unfavorable and dictated by external forces. You can use this data to explore the correlation between your strengths and weaknesses, how to leverage your strengths to make the most of your opportunities, and how to improve weaknesses to mitigate threats.

Some believe that SWOT originated in the '50s and was developed by professors George Albert Smith Jr., C. Roland Christensen, and Kenneth Andrews at the Harvard Business School. Others acknowledge Albert S. Humphrey as the creator of SWOT analysis at Stanford Research Institute in the '60s, although Humphrey himself never took credit.

- Regardless of who deserves recognition for its creation, SWOT analysis is a very popular tool used to help businesses and individuals identify the following:
- Strengths: Characteristics that give you an advantage over others.
- Weaknesses: Characteristics that give you a disadvantage in relation to others.
- Opportunities: Trends or technologies that you can exploit to gain an advantage.
- Threats: Obstacles that impede your career growth.

In this article, we will explain how to do a SWOT analysis on yourself. We will also share some personal SWOT analysis examples to help you get started with your own self-reflection.

SWOT Analysis

	Helpful	Harmful
Internal	Strengths	Weaknesses
External	Opportunities	Threats

5.2.2 SWOT Questions to Ask Yourself

There are many SWOT analysis templates online. Find one that makes sense to you, and get ready to evaluate your internal strengths, acknowledge your weaknesses, and find what makes you excited about your work, job, or career as well as what keeps you awake at night.

To make a SWOT worth the effort, you need to set aside the time to really think about it, then sleep on it and revisit it. You won't think of everything in one sitting, and that question or answer that entered your brain overnight might be the most relevant and revealing insight in the exercise. Understand that you will need to come back to this a few times over a week or two to truly capture complete answers.

Begin by identifying your strengths. These are the traits or skills that set you apart from others. Ask yourself these questions:

- What are you good at naturally?
- What skills have you worked to develop?
- What are your talents, or natural-born gifts?

The next step is weaknesses. This part examines the areas in which you need to improve and the things that will set you back in your career. These are some questions to consider:

- What are your negative work habits and traits?
- Does any part of your education or training need improvement?
- What would other people see as your weaknesses?

For the opportunities section, look at the external factors you can take advantage of to pursue a promotion, find a new job or determine a career direction. These are some questions to ask yourself:

- What is the state of the economy?
- Is your industry growing?
- Is there new technology in your industry?

Finally, look at any threats to your career growth. This part accounts for the external factors that could hurt your chances to attain your goals. Consider these questions:

- Is your industry contracting or changing direction?
- Is there strong competition for the types of jobs for which you are best suited?
- What is the biggest external danger to your goals?

Remember to be objective, and consult others who know you if necessary. Moving outside your comfort zone will help you get the results you're looking for instead of reinforcing your own beliefs. The key to writing a good personal SWOT analysis is honesty. Be unflinching in revealing faults and weaknesses but also in celebrating your personal strengths and what makes you the best you.

5.2.3 Determining the Outcomes

You can evaluate your results using two popular methods. The first is matching. Matching means connecting two of the categories to determine a course of action. For example, matching strengths to opportunities shows you where to be aggressive and take action. On the other hand, matching weaknesses to threats exposes areas you should work on or situations to avoid, letting you know where to be more defensive of your position.

The second is to convert is to turn negatives into positives – in other words, converting your weaknesses into strengths, or threats into opportunities. This can mean growing a skill set through education or finding a creative way to feature a weakness as a strength. For instance, if you are very outgoing, an introspective and isolated work environment may not suit you very well. But if you can work toward a position, such as sales, in which you interact with many people, that weakness turns into a strength and could allow you to excel.

5.2.4 Taking Action

Once your personal SWOT analysis is complete, it is crucial to follow through on the insights you uncovered.

“SWOT analysis can fail to be effective if it is simply treated as a laundry list, without any tie-in to how the elements identified in the analysis can be put into play for the individual carrying out the assessment.” “For example, how can the identified strengths move the needle in the endeavor to achieve a key goal? Or how can one navigate a potential threat once it is identified ... to ensure no ground is lost?”

“The best outcome is to take action and succeed in the opportunities you have identified,” Smith said. “This can benefit you on a personal and professional level, and set you apart from your peers and colleagues.”

Once you start using your results, track your progress. Set up measurements and milestones, and keep working toward them. Step by step, little by little, you will get where you want to be, so get started now.

5.2.5 Why do A Personal SWOT Analysis?

First, let's discuss why you should perform a self SWOT analysis in the first place. You may have heard the often repeated aphorism, “Find a job you love, and you'll never work a day in your life.”

The adage is usually attributed to Confucius, even though nobody can find any evidence that he ever said it (and how many job opportunities could there have been in 500 B.C.?).

The point is that you should try to find a job that you really enjoy doing. But, how do you find a job that you love, that matches your skill set, and that pays well? An assessment of your strengths and weaknesses using a SWOT analysis is a good start to help you find a career that is a good fit for you and your employer.

How do you do an individual SWOT analysis?

Create your own SWOT matrix or use a premade personal SWOT analysis template from Lucid chart. To perform a personal SWOT analysis, complete the following four basic steps to fill in each quadrant of the template.

Step 1: Assess your strengths

It's okay to "toot your own horn" here as you write down what makes you stand out from your peers. Answer questions such as:

- What skills and certifications do you have that give you an advantage over others?
- Do you have any powerful industry contacts who could vouch for your skills and abilities?
- What would your boss or your co-workers say are your strengths?
- What can you do better than anybody else?
- Does your education and expertise fill a void that is lacking in your organization?
- What beneficial values do you have that you believe others fail to show?
- What are your most rewarding achievements?

As you answer these questions, don't worry about being modest. However, be as objective as you can-you don't want to be delusional about your abilities. Include some of your personal qualities because those can also be your strengths.

It is also important to understand that some of the things that you list as a strengths are not really strengths at all. For example, you may believe that you can "make it" in the music industry because you write songs. However, as it turns out, there are millions of people who can write songs. To find your true strength, you need to consider what makes your music stand out from the others.

Step 2: Assess your weaknesses

Like when you assessed your strengths, you don't want to hold back here. Be brutally honest with yourself to determine your weaknesses and answer questions such as:

- Are there tasks that you avoid or pass off to others because you don't feel confident enough to do them?
- What holes are there in your education or skills that are holding you back?
- What new technologies or practices have been introduced since you earned your degree?
- Do you have any bad habits like being late to work, not following prescribed processes, communicating poorly, or having the attitude that you are surrounded by idiots and you alone know all the answers?
- How well do you handle stress?
- Do you meet deadlines?
- What weaknesses might your co-workers and boss point out?

As you work through this process, remember that "I work too much" is not a valid weakness. It also is not the answer that the hiring manager wants to hear in an interview.

Listing your weaknesses should not feel like you are beating yourself up. Instead, this should be a positive exercise that identifies the areas that you can turn into strengths, so you can get a promotion or a better job to further your career.

Step 3: Identify opportunities

A quotation often attributed to Thomas Edison says, "We often miss opportunity because it's dressed in overalls and looks like work."

The point is, there are generally opportunities all around. Finding those opportunities depends on individual personality and desire. Positive people tend to see more opportunities than negative people. And people who are less ambitious may not recognize an opportunity unless it hits them over the head.

As you fill in this section of the SWOT template, look for opportunities such as:

- Is there a new technology that you can learn that will help you reach your goals?
- Can you find help from others on the Internet?
- Is there an open position within your company, or outside your company, that more closely matches your skills and strengths?
- In what ways is your industry growing, and what can you do to help it grow?
- Can you volunteer to take on a task or project that nobody else wants to do?
- Are there seminars or classes that you can attend to improve your skills?
- Is there a need that nobody else is filling?

As you work through this section, look at your weaknesses to see if there are any that can be turned into opportunities. For example, you may not think of yourself as a very good project lead, but how can you know if you don't jump at the chance to lead a project when it comes up?

Step 4: Be aware of threats

In this quadrant of the SWOT analysis template, take a look at possible stumbling blocks or situations that impede you from meeting your goals. Ask yourself:

- Who is your competition?
- Are you and other co-workers trying to get the same job or promotion?
- Is there new technology that your position requires? Can you get up to speed quickly, or will the time required to learn a new technology stop your progress?
- Are you seen as too old or out of touch with current trends?
- Are your skills obsolete?
- Are your personality traits holding you back?

Performing this self-SWOT analysis can help you put things into perspective and point out the most important things you can do to improve your chances to grow in a chosen job or career.

5.2.6 When should you perform a personal SWOT analysis

You can do a SWOT analysis whenever you want to. Are you thinking of changing careers? Do you want a different opportunity in your current organization? Getting ready for a job interview? A self-analysis of your strengths and weaknesses for any of these situations can be beneficial.

When you do the analysis, think of yourself as the product that needs to be sold.

For example, let's say that you struggle writing performance reviews because you don't think that anything you do is exceptional. You feel like you are just doing your job. Consider using a SWOT matrix to

- Identify your strengths that were beneficial to your team or organization. Did an innovation improve performance? Did you meet every deadline or complete tasks early?
- List the weaknesses you want to improve so you can be a better asset. Do you need to attend training to improve writing skills? Are you current on HTML5 programming skills?
- Write down the opportunities or goals you want to work on in the coming year to improve your position in the department or to move into a new role.
- Identify the threats that may be in your way as you work toward your goals. Present ideas and a plan to help you overcome these threats.

Performing a self-analysis in this way can help you get that raise or promotion that you deserve.

5.3 ATTITUDE

An attitude is a positive; negative or mixed evaluation of an object that is expressed at some level of intensity. It is an expression of a favorable or unfavorable evaluation of a person, place, thing or event. These are fundamental determinants of our perceptions of, and actions toward all aspects of our social environment. Attitudes involve a complex organization of evaluative beliefs, feelings, and tendencies toward certain actions.

How much we like or dislike something determines our behavior towards that thing.

We tend to approach, seek out or be associated with things we like; we avoid, shun or reject things we do not like.

Some examples of attitudes are- he has a positive attitude about the changes, she is friendly and has a good attitude, he was showing some attitude during practice today, so the coach benched him, I like my friends that means I am expressing my attitudes towards my friends, etc.

5.3.1 Definition of Attitude

Attitude is the manner, disposition, feeling and position with regard to a person or thing, tendency or orientation especially in the mind.

According to **Gordon Allport**, “An attitude is a mental and neural state of readiness, organized through experience, exerting a directive or dynamic influence upon the individual’s response to all objects and situations with which it is related.”

Frank Freeman said, “An attitude is a dispositional readiness to respond to certain institutions, persons or objects in a consistent manner which has been learned and has become one’s typical mode of response.”

Thurstone said, “An attitude denotes the sum total of man’s inclinations and feelings, prejudice or bias, preconceived notions, ideas, fears, threats, and other any specific topic.”

Anastasi defined attitude as, “A tendency to react favorably or unfavorably towards a designated class of stimuli, such as a national or racial group, a custom or an institution.”

According to **N.L. Munn**, “Attitudes are learned predispositions towards aspects of our environment. They may be positively or negatively directed towards certain people, service or institution.”

A predisposition or a tendency to respond positively or negatively towards a certain idea, object, person, or situation. Attitude influences an individual’s choice of action, and responses to challenges, incentives, and rewards (together called stimuli).

Four major components of attitude are (1) Affective: emotions or feelings. (2) Cognitive: belief or opinions held consciously. (3) Conative: inclination for action. (4) Evaluative: positive or negative response to stimuli.

Attitude can be described as a tendency to react positively or negatively to a person or circumstances.

Thus the two main elements of attitude are this tendency or predisposition and the direction of this predisposition.

It has been defined as a mental state of readiness; organize to through experience which exerts a directive or dynamic influence on the responses.

These can also be explicit and implicit.

Explicit attitudes are those that we are consciously aware of and that clearly influence our behaviors and beliefs. Implicit attitudes are unconscious, but still, have an effect on our beliefs and behaviors.

As said by psychologists Thomas which imposes limits as a level attitude trend is positive and negative, associated with the object of psychology.

Object psychology here include symbols, words, slogans, people, institutions, ideas and so on.

5.3.1.1 Characteristics of Attitude

1. Attitudes are the complex combination of things we tend to call personality, beliefs, values, behaviors, and motivations.
2. It can fall anywhere along a continuum from very favorable to very unfavorable.
3. All people, irrespective of their status or intelligence, hold attitudes.
4. An attitude exists in every person's mind. It helps to define our identity, guide our actions, and influence how we judge people.
5. Although the feeling and belief components of attitude are internal to a person, we can view a person's attitude from his or her resulting behavior.
6. Attitude helps us define how we see situations, as well as define how we behave toward the situation or object.
7. It provides us with internal cognitions or beliefs and thoughts about people and objects.
8. It can also be explicit and implicit. Explicit attitude is those that we are consciously aware of an implicit attitude is unconscious, but still, have an effect on our behaviors.
9. Attitudes cause us to behave in a particular way toward an object or person.

10. An attitude is a summary of a person's past experience; thus, an attitude is grounded in direct experience predicts future behavior more accurately.
11. It includes certain aspects of the personality as interests, appreciation and social conduct.
12. It indicates the sum total of a man's inclinations and feelings. An attitude is a point of view, substantiated or otherwise, true or false which one holds towards an idea, object or person. It has aspects such as direction, intensity, generality or specificity.
13. It refers to one's readiness for doing Work.
14. It may be positive or negative and may be affected by age, position, and education.
15. Attitude may be defined as a feeling or disposition to favor or to be against objects, persons, and situations.

It is a well-defined object of reference. It may be defined as 'an enduring predisposition or readiness to react or behave in a particular manner to a given object or situation, idea, material or person'.

It describes and evaluates the action with respect to an object or a situation, with each belief having a cognitive effect and behavioral components.

Each of these beliefs is a predisposition that results in some preferential response towards the object or the situation. Actually, it is frequently used in describing people and explaining their behavior.

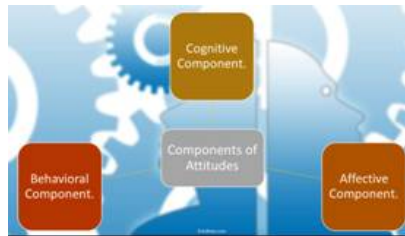
For example: "I like her attitude", "He has a good attitude" etc. Actually, it is characterized by the tendency to feel and behave in a particular way toward some object.

5.3.2 Components of Attitude

Attitudes represent our evaluations, preferences or rejections based on the information we receive. It is a generalized tendency to think or act in a certain way in respect of some object or situation, often accompanied by feelings. It is a learned predisposition to respond in a consistent manner with respect to a given object.

This can include evaluations of people, issues, objects, or events. Such evaluations are often positive or negative, but they can also be uncertain at times. These are the way of thinking, and they shape how we relate to the world both in work and Outside of work. Researchers also suggest that there are several different components that make up attitudes.

One can see this by looking at the three components of an attitude: cognition, affect and behavior.



3 components of attitude are;

- Cognitive Component.
- Affective Component.
- Behavioral Component.

1. Cognitive Component: The cognitive component of attitudes refers to the beliefs, thoughts, and attributes that we would associate with an object. It is the opinion or belief segment of an attitude. It refers to that part of attitude which is related in general knowledge of a person.

Typically these come to light in generalities or stereotypes, such as ‘all babies are cute’, ‘smoking is harmful to health’ etc.

2. Affective Component: Affective component is the emotional or feeling segment of an attitude.

It is related to the statement which affects another person. It deals with feelings or emotions that are brought to the surface about something, such as fear or hate. Using the above example, someone might have the attitude that they love all babies because they are cute or that they hate smoking because it is harmful to health.

3. Behavioral Component: Behavior component of an attitude consists of a person’s tendencies to behave’ in a particular way toward an object. It refers to that part of attitude which reflects the intention of a person in the short-run or long run.

Using the above example, the behavioral attitude maybe- ‘I cannot wait to kiss the baby’, or ‘we better keep those smokers out of the library, etc.

Attitude is composed of three components, which include a cognitive component, effective or emotional component, and a behavioral component. Basically, the cognitive component is based on the information or knowledge, whereas the affective component is based on the feelings.

The behavioral component reflects how attitude affects the way we act or behave. It is helpful in understanding their complexity and the potential relationship between attitudes and behavior.

But for clarity’s sake, keep in mind that the term attitude essentially refers to the affected part of the three components.

In an organization, attitudes are important for their goal or objective to succeed. Each one of these components is very different from the other, and they can build upon one another to form our attitudes and, therefore, affect how we relate to the world.

5.3.3 Factors Influencing Attitude

actors affecting the attitudes are:

(a) **Environment:** Environment comprises of the following:

- i. **Home:** The home environment into which you were born and where you grew up is influenced by your parents, siblings, relatives, neighbours and friends.
 - ii. **School:** At school you interact with teachers, school staff, seniors, peers and juniors. Each of them influences your opinion about the world, depending on your experiences with them.
 - iii. **Work Place:** At work you relate to experiences with your colleagues, superiors and subordinates. How they treat you or how you treat them will influence your attitude.
 - iv. **Media:** With the media intruding into the home in a big way, its influence on attitude formation is tremendous. It can be easily misused to change attitudes in any way.
 - v. **Cultural Background:** Your cultural background influences your attitude adoption because it is a powerful environmental component.
 - vi. **Religious Background:** The religion you were born into or adopt as a choice later, influences attitudes because of the indoctrination imposed on followers in most religions.
 - vii. **Traditions and Beliefs:** Some cultures and families require their members to adopt certain ways of thinking. This leads to the acceptance of traditional attitudes or beliefs.
 - viii. **Social Environment:** The social strata to which a person belongs influences people to adopt attitudes such as 'rich people are corrupt and crooked'.
 - ix. **Political Environment:** The political environment prevailing in the region where you live can influence attitude formation. Depending on how politicians behave, people can have positive or negative attitudes towards each other or the region itself.
- (b) **Experiences:** Based on our experiences in life, we adopt certain attitudes towards people. These experiences could be pleasant or distasteful. Pleasant experiences contribute to making a positive attitude whereas unpleasant experiences will be sought to be avoided and will, therefore, strengthen negative attitudes.
- (c) **Education:** The process of preparing oneself for the difficulties and challenges of life is education which could be formal or informal. Formal education is the one we receive in schools and colleges and informal education is what we learn from life or others around us.

The teacher or professor, thus, plays a vital role in attitude formation and should, therefore, be very careful how he or she conducts himself or herself.

Although the above mentioned three E's have a significant role to play in forming your attitude, the attitude you adopt is a choice made by you. You and you alone are responsible for your attitude. It is wrong to think that the environment and external factors decide your attitude. The fact is that the environment you experience is the result of your attitude.

5.3.4 Differences between Attitude and Behaviour

One of the widely accepted facts about human beings is, No two people are alike, whether in terms of physical appearance (i.e. body structure, height, weight, colour, etc) or abstract aspects (like intelligence, attitude, personality, behaviour and so on). Many people take a person's attitude as their behaviour. Although directly or indirectly they are interrelated, they are different in the sense that **attitude** represents how a person thinks or feels about someone or something.

Comparison Chart

BASIS FOR COMPARISON	ATTITUDE	BEHAVIOR
Meaning	Attitude refers to a person's mental view, regarding the way he/she thinks or feels about someone or something	Behavior implies the actions, moves, conduct or functions of an individual or group towards other persons.
Based on	Experience and observation	Situation
Trait	Human	Inborn
What is it?	A person's mindset.	Outward expression of attitude.
Reflects	What you think or feel?	What you do?
Defined by	Way we perceive things.	Social Norms

Definition of Behavior

The term 'behavior' can be described as the way of conducting oneself. It is the manner of acting or controlling oneself towards other people. It is the range of actions, responses, and mannerisms set by an individual, system or organization in association with themselves or their environment, in any circumstances.

In short, behavior is an individual or group reaction to inputs such as an action, environment or stimulus which can be internal or external, voluntary or involuntary, conscious or subconscious.

5.3.5 Differences between Attitude and Behavior

The difference between attitude and behavior can be drawn clearly on the following grounds:

1. Attitude is defined as a person's mental tendency, which is responsible for the way he thinks or feels for someone or something. Behavior implies the actions, moves, conduct or functions of an individual or group towards other persons.
2. A person's attitude is mainly based on the experiences gained by him during the course of his life and observations. On the other hand, the behavior of a person relies on the situation.
3. Attitude is a person's inner thoughts and feelings. As opposed to, behavior expresses a person's attitude.
4. The way of thinking or feeling is reflected by a person's attitude. On the contrary, a person's conduct is reflected by his behavior.
5. Attitude is defined by the way we perceive things whereas behavior is ruled by social norms.
6. Attitude is a human trait but behavior is an inborn attribute.

5.3.6 Attitude at Workplace

Our behavior at work often depends on how we feel about being there. Therefore, making sense of how people behave depends on understanding their work attitudes. An attitude refers to our opinions, beliefs, and feelings about aspects of our environment. We have attitudes toward the food we eat, people we interact with, courses we take, and various other things. At work, two particular job attitudes have the greatest potential to influence how we behave. These are job satisfaction and organizational commitment.

Five Attitudes That Are Important in Workplaces

It may seem as if skills and experience are the most important characteristics of an employee, but attitude plays just as big of a role. After all, what good are great professional skills without the attitude to see it all through? There are five key attitudes that small businesses should seek out in employees to ensure a harmonious professional environment and a productive staff.

1. **Respect for Others:** Respect in the workplace doesn't solely extend to the way employees interact with management. People who have self-respect don't do managers' bidding no matter what; they think for themselves and present alternative ideas at times, but respectfully. Employees should also have a respectful attitude when interacting with clients and customers as well as co-workers. Those with this type of attitude are willing to treat other people politely and professionally, even if they disagree with the other person's point of view.

2. **Infectious Enthusiasm About Life:** Someone who is enthusiastic about life in general radiates a positive energy that rubs off on everyone around her. She dives into every project with interest, eagerly learns new skills and ideas and quickly applies them to her work. Some people are born with positive energy, but it can also be developed. Teach your staff to approach every situation, positive or negative, as a challenge and an opportunity.

Adopt a “glass half full” attitude in the company and encourage employees to build on it. Soon they’ll extend an enthusiastic attitude toward co-workers, customers and everything they do.
3. **Commitment to the Job:** Small businesses need employees who are not only committed to the goals and initiatives that affect the bottom line, but who also are committed to their particular positions. Employees project a committed attitude by showing a willingness to do whatever it takes to fulfill the duties of their positions and via the development of new ideas to make the company even better. When committed individuals work together as a team towards company goals, everyone benefits.
4. **Innovative Ideas and Finding New Ways:** Employees with an innovative attitude don’t shy away from trying something new or finding a different way to do things. Small businesses need employees who can think outside of the box and innovate new ways to accomplish existing tasks and approach goals. Employees with this type of attitude know their ideas might not work out to be the best way to do something, but that the biggest failure is not at least giving new ideas a shot.
5. **Helpfulness with Others:** It is important to have a helpful attitude at work, whether that means assisting clients and customers with their needs or helping co-workers accomplish overall company goals. The more helpful an attitude employees have, the more people want to be around them at work and the more willing they are to partner with those employees on key projects and initiatives.

5.3.7 Effects of Positive Attitude

1. **Less Stressful Environment:** Positivity in a workplace helps to reduce stress and make it slightly bearable. It all comes down to what makes you happy and how you can take advantage of that to uplift your mood. It is easy to be dragged into a state of constant negativity and distress. The problem with negative people is that they drag everyone down with them. Sooner or later, people start to avoid them too. Positivity will help you see the silver lining and experience life in a less stressful and wholesome manner. Having a positive outlook, helps employees avoid nasty work politics as well. Work politics is known to affect the overall lives of employees.

2. **Gives Clarity to Employees:** A positive attitude helps to give clarity, no matter which aspect of your life is under consideration. The more clarity you have, you will be more confident in carrying out your daily tasks. Clarity can help improve the quality of your work and have a positive impact on your self-esteem. Employee health is a highly underrated factor that is not considered. It is merely discarded and not considered important. Whereas, it is one of the major factors that contributes to the success of an organization.
3. **Improves Leadership Abilities:** There is a strong link in between positivity and leadership. In fact, a leadership role is meant to be as positive as it can be. Nobody would want a leader to be projecting negativity in their direction. Moreover, a positive leader will manage to improve the productivity in the organization. He/she will be able to set realistic goals which can be accomplished by the employees in the said amount of time.
4. **Improves Interpersonal Relations:** Improving interpersonal relations at workplace is extremely important for the sake of cultivating strong interpersonal relationships. It is crucial for employees to get along with each other and maintain healthy communication. Having a positive attitude in the workplace helps improve interpersonal relations. Other than having strong communication, it is also important to give space to your fellow employees. Moreover, employees must leave their egos behind when dealing with work-related tensions. In order to foster good relations, the leader of the team must acknowledge the effort of team members.

5.3.8 Effects of Negative Attitude

1. **Unproductivity at Workplace:** The main aim of every business or company is to improve the productivity. It becomes impossible for a work environment to flourish with negative behavior of the employees. Moreover, having a negative outlook towards life can be injurious for the mental health of the employees. As team leader it would be have a negative impact on your employees.
2. **Create a Toxic Work Environment :** Just like in any situation with a group of people. Negative attitude at work place will lead to toxicity and affect productivity. Leaders tend to give the image that no matter how well their employees perform, the higher management is not happy. It is worth mentioning that, the negative attitude of the higher management only will not cause the company to suffer. It can be a person from any level of the management. Negativity projected from an individual can affect the entire office.
3. **Loss of Innovation and Creativity:** A workplace with only negative thoughts floating around has no room for creativity and innovation. It is a healthy activity for workers to have a brainstorming session and sit together to discuss ideas. However, these sessions can prove be quite stressful even if one person is projecting negativity. Stress can be a huge barrier for the generation of creative ideas. The most positive employees are bound to snap under stress and negative peers. Nobody likes to hear constant whining and criticism.

Creating a Positive Work Environment

Creating positivity in a work place requires both the effort of the higher management and the staff as well. It can only be through efforts of the entire team which will eventually create a positive environment at work.

1. **Clarity in Communication:** The first step towards eradicating negativity in a workplace is to build a strong communication channel. Having good communication channel is essential in fostering good work relationships. If there has been issue at work such as dirty carpets or upholstery, then it is best to address it as soon as possible. There is no point in beating around the bush and avoid an issue by simply hiring any cleaning services. Moreover, the higher management should be able to communicate to the staff about their expectations from them and what goals they need to achieve. Clarity at communication is essential at all levels.
2. **Pay Attention:** Most of the higher management makes the mistake of ignoring what their staff is saying. This leaves the employees feel that they are not being valued and what they say is worthless. There should be certain times of the day that should be reserved to listen to the employees and what hurdles they have been facing. This activity will help improve communication and make the employees feel that they are heard.
3. **Give Recognition where it is due:** One of the leading causes of depression at a workplace is not being recognized for your efforts. Employees who perform well must be rewarded in some way. Either they should be rewarded in monetary ways or through verbal appreciation. Moreover, there can be additional benefits such as letting employees work from home or letting them come to work late or leave early. Giving employees such incentives will inculcate positivity in the workplace and boost employee morale as well.

5.4 EMOTIONAL INTELLIGENCE

Although throughout the early history of intelligence research the focus was on the measurement of cognitive skills, this approach has also attracted some criticism.

Drawing from several different sources, a simple definition of emotional intelligence (also called the Emotional Quotient, or EQ) describes an ability to monitor your own emotions as well as the emotions of others, to distinguish between and label different emotions correctly, and to use emotional information to guide your thinking and behavior and influence that of others (Goleman, 1995; Mayer & Salovey, 1990).

Emotional intelligence is what we use when we empathize with our co-workers, have deep conversations about our relationships with significant others, and attempt to manage an unruly or distraught child. It allows us to connect with others, understand ourselves better, and live a more authentic, healthy, and happy life.

1. **EQ vs. IQ:** EQ is emotional intelligence, which, as stated above, is all about identifying emotions in ourselves and others, relating to others, and communicating about our feelings.

IQ, on the other hand, is cognitive intelligence. This is the intelligence that people are generally most familiar with, as it is the type that is most often referred to when the word “intelligence” is used. It is also the type that is most often measured through testing and estimated through things like grade-point average.

2. **Social Intelligence vs. Emotional Intelligence:** Social intelligence is more closely related to emotional intelligence than IQ is, as they both have to do with navigating social or emotional situations. However, these are two distinct types of intelligence even if they somewhat overlap.

Social intelligence uses some of the same skills and abilities but is often focused toward the future. It allows you to understand the feelings, personalities, and behaviors of yourself and others in order to seek positive outcomes.

3. **Emotional Intelligence in Psychology:** Emotional intelligence filled a gap in the mainstream understanding of intelligence, especially for psychologists. The field always seemed to have a general understanding that IQ wasn’t everything, but the theories on what, exactly, the other important components were varied greatly, and psychologists couldn’t agree on a single concept or idea.
4. **The Framework:** There are two numbers to remember to help you understand what emotional intelligence is all about: five and four. There are five components of the emotional intelligence model and four dimensions to EQ.
5. **Components/Elements/Domains of the EQ Model:** According to Daniel Goleman, there are five components or elements of emotional intelligence:

- Self-Awareness;
- Self-Regulation;
- Motivation;
- Empathy;
- Social Skills.

1. Self-awareness can be defined as “the ability to recognize and understand your own emotions”. It is the foundational building block of emotional intelligence, since regulating ourselves, having empathy for others, and so on all rely on identifying and understanding emotion in ourselves.
2. Self-regulation is one step further to have high EQ, we must not only be able to recognize our own emotions, but we must also be able to appropriately express, regulate, and manage them.

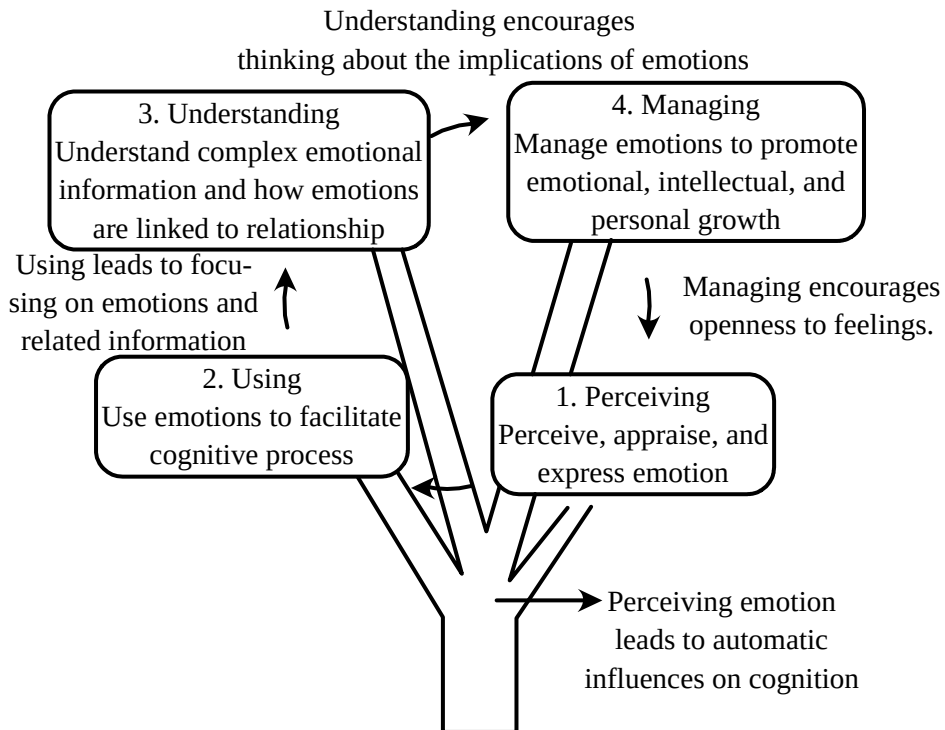
3. People who have high EQs also generally possess more intrinsic motivation. Those with high EQs are motivated for their own personal reasons and work toward their own goals.
4. Empathy can be defined as the ability to understand how other people are feeling and recognize, on an intimate level. It does not mean you sympathize with, validate, or accept their behavior, just that you can see things from their perspective and feel what they feel.
5. Finally, social skills are the last piece of the EQ puzzle; these skills are what allow people to interact socially with one another and to successfully navigate social situations. Those with high EQs generally have higher-than-average social skills and are able to effectively pursue their goals and get the outcomes they want when interacting with others.

5.4.1 The 4 Dimensions of Emotional Intelligence (and a Chart)

According to EQ “founding fathers” Salovey and Mayer, there are four distinct dimensions or branches of emotional intelligence that form a hierarchy of emotional skills and abilities:

1. Perceiving emotion;
 2. Using emotions to facilitate thought;
 3. Understanding emotions;
 4. Managing emotions.
1. The first dimension, perceiving emotion, relates to being aware of and recognizing other people’s states (both physical and psychological states, like being in physical pain or feeling frazzled), identifying emotions in other people, expressing one’s own emotions and needs accurately and appropriately, and distinguishing between accurate, honest feelings and inaccurate, dishonest feelings.
 2. Using emotions to facilitate thought involves redirecting and prioritizing your thinking based on the feelings associated with those thoughts, generating emotions that will facilitate better judgment and memory, capitalizing on mood changes so you can appreciate multiple points of view, and using emotional states to improve your problem-solving skills and creativity.
 3. The dimension of understanding emotions includes understanding the relationships between various emotions, perceiving the causes and consequences of emotions, understanding complex feelings and contradictory states, and understanding the transitions among emotions.
 4. The final dimension, managing emotions, refers to being open to both pleasant and unpleasant feelings; monitoring and reflecting on your emotions; engaging, prolonging, or detaching from an emotional state; and managing the emotions both within yourself and in others.

See the chart below to get a better idea of this hierarchy.



5.4.2 Key Skills in the Emotional Intelligence Framework

This emotional intelligence framework has been adapted to fit business and organizational contexts. In this organizational context, there are a few sub-skills and abilities under each component that contribute to higher emotional intelligence and greater success as an employee, group member, and organization member:

1. Self-Awareness

- **Emotional awareness:** recognizing one's emotions and their effects;
- **Accurate self-assessment:** knowing one's strengths and limits;
- **Self-confidence:** sureness about one's self-worth and capabilities.

2. Self-Regulation

- **Self-control:** managing disruptive emotions and impulses;
- **Trustworthiness:** maintaining standards of honesty and integrity;
- **Conscientiousness:** taking responsibility for personal performance;
- **Adaptability:** flexibility in handling change;
- **Innovativeness:** being comfortable with and open to novel ideas and new information.

3. Self-Motivation

- **Achievement drive:** striving to improve or meet a standard of excellence;
- **Commitment:** aligning with the goals of the group or organization;
- **Initiative:** readiness to act on opportunities;
- **Optimism:** persistence in pursuing goals despite obstacles and setbacks.

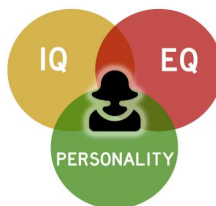
4. Empathy/Social Awareness

- **Empathy:** sensing others' feelings and perspective, and taking an active interest in their concerns;
- **Service orientation:** anticipating, recognizing, and meeting customers' needs;
- **Developing others:** sensing what others need in order to develop, and bolstering their abilities;
- **Leveraging diversity:** cultivating opportunities through diverse people;
- **Political awareness:** reading a group's emotional currents and power relationships.

5. Social Skills

- **Influence:** wielding effective tactics for persuasion.
- **Communication:** sending clear and convincing messages.
- **Leadership:** inspiring and guiding groups and people.
- **Change catalyst:** initiating or managing change.
- **Conflict management:** negotiating and resolving disagreements.
- **Building bonds:** nurturing instrumental relationships.
- **Collaboration and cooperation:** working with others toward shared goals (see emotional intelligence in the workplace).
- **Team capabilities:** creating group synergy in pursuing collective goals (Goleman, 1998).

5.4.3 Emotional Intelligence, IQ, and Personality Are Different



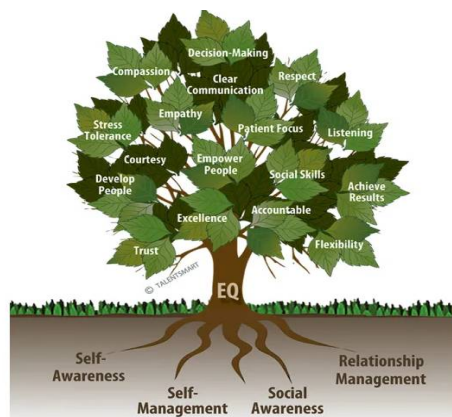
Emotional intelligence is an essential part of the whole person

Emotional intelligence taps into a fundamental element of human behavior that is distinct from your intellect. There is no known connection between IQ and emotional intelligence; you

simply can't predict emotional intelligence based on how smart someone is. Intelligence is your ability to learn, and it's the same at age 15 as it is at age 50. On the other hand, is a flexible set of skills that can be acquired and improved with practice. Although some people are naturally more emotionally intelligent than others, you can develop high emotional intelligence even if you aren't born with it.

Personality is the final piece of the puzzle. It's the stable "style" that defines each of us. Personality is the result of hard-wired preferences, such as the inclination toward introversion or extroversion. Also like IQ, personality is stable over a lifetime and doesn't change. IQ, emotional intelligence, and personality each cover unique ground and help to explain what makes a person tick.

5.4.4 Emotional Intelligence Is Linked to Performance



Emotional intelligence is the foundation for critical skills

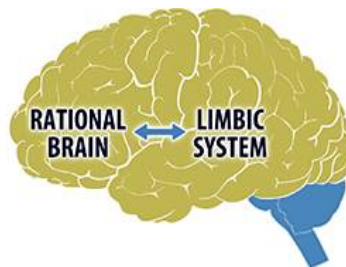
How much of an impact does emotional intelligence have on your professional success? The short answer is a lot! It's a powerful way to focus your energy in one direction with a tremendous result. Talent Smart tested emotional intelligence along side 33 other important workplace skills, and found that emotional intelligence is the strongest predictor of performance, explaining a full 58% of success in all types of jobs.

Of all the people we've studied at work, we've found that 90% of top performers are also high in emotional intelligence. On the flip side, just 20% of bottom performers are high in emotional intelligence. You can be a top performer without emotional intelligence, but the chances are slim.

Naturally, people with a high degree of emotional intelligence make more money an average of \$29,000 more per year than people with a low degree of emotional intelligence. The link between emotional intelligence and earnings is so direct that every point increase in emotional intelligence adds \$1,300 to an annual salary. These findings hold true for people in all industries, at all levels, in every region of the world. We haven't yet been able to find a job in which performance and pay aren't tied closely to emotional intelligence.

5.4.5 Emotional Intelligence Can Be Developed

The communication between your emotional and rational “brains” is the physical source of emotional intelligence. The pathway for emotional intelligence starts in the brain, at the spinal cord. Your primary senses enter here and must travel to the front of your brain before you can think rationally about your experience. However, first they travel through the limbic system, the place where emotions are generated. So, we have an emotional reaction to events before our rational mind is able to engage. Emotional intelligence requires effective communication between the rational and emotional centers of the brain.



Emotional intelligence is a balance between the rational and emotional brain

“Plasticity” is the term neurologists use to describe the brain’s ability to change. Your brain grows new connections as you learn new skills. The change is gradual, as your brain cells develop new connections to speed the efficiency of new skills acquired.

Using strategies to increase your emotional intelligence allows the billions of microscopic neurons lining the road between the rational and emotional centres of your brain to branch off small “arms” (much like a tree) to reach out to the other cells. A single cell can grow 15,000 connections with its neighbors. This chain reaction of growth ensures it’s easier to kick this new behavior into action in the future. Once you train your brain by repeatedly using new emotional intelligence strategies, emotionally intelligent behaviors become habits.

Exercise

1. How would you describe yourself?
2. **I understand the reasons for my feelings.**
AlwaysMost of the timeFrequentlySometimesRarelyNever
3. **I understand how other people’s experiences affect their feelings, thoughts, and behavior.**
AlwaysMost of the timeFrequentlySometimesRarelyNever
4. **I understand my leadership strengths and weaknesses.**
AlwaysMost of the timeFrequentlySometimesRarelyNever

5. I see people as good and well-intentioned.

Always Most of the time Frequently Sometimes Rarely Never

6. I look forward to the future.

Always Most of the time Frequently Sometimes Rarely Never

7. I can describe my feelings in detail, beyond just “happy,” “sad,” “angry,” and so on.

Always Most of the time Frequently Sometimes Rarely Never

8. I manage stress well.

Always Most of the time Frequently Sometimes Rarely Never

9. I focus on opportunities rather than obstacles.

Always Most of the time Frequently Sometimes Rarely Never

10. I’m calm in the face of pressure or emotional turmoil.

Always Most of the time Frequently Sometimes Rarely Never

11. I feel hopeful.

Always Most of the time Frequently Sometimes Rarely Never

12. I control my impulses.

Always Most of the time Frequently Sometimes Rarely Never

13. I’m optimistic in the face of challenging circumstances.

Always Most of the time Frequently Sometimes Rarely Never

14. I use strong emotions, such as anger, fear, and joy, appropriately and for the good of others.

Always Most of the time Frequently Sometimes Rarely Never

15. I’m patient.

Always Most of the time Frequently Sometimes Rarely Never

16. I try to understand why people behave the way they do.

Always Most of the time Frequently Sometimes Rarely Never

17. I’m adept at managing multiple, conflicting demands.

Always Most of the time Frequently Sometimes Rarely Never

18. I readily understand others’ viewpoints, even when they are different from my own.

Always Most of the time Frequently Sometimes Rarely Never

19. I'm flexible when situations change unexpectedly.

Always Most of the time Frequently Sometimes Rarely Never

20. I understand how stress affects my mood and behavior.

Always Most of the time Frequently Sometimes Rarely Never

21. I can easily adjust goals when circumstances change.

Always Most of the time Frequently Sometimes Rarely Never

22. I can describe my emotions in the moment I experience them.

Always Most of the time Frequently Sometimes Rarely Never

23. I can shift my priorities quickly.

Always Most of the time Frequently Sometimes Rarely Never

24. My curiosity about others drives me to listen attentively to them.

Always Most of the time Frequently Sometimes Rarely Never

25. I strive to understand people's underlying feelings.

Always Most of the time Frequently Sometimes Rarely Never

26. I adapt easily when a situation is uncertain or ever-changing.

Always Most of the time Frequently Sometimes Rarely Never

5.5 TELEPHONE ETIQUETTE

These are some basic manners that everyone in Business should follow because what you say represents you, your organization and your ideas. All of these deserve to be portrayed in the best possible manner. There are certain thumb rules that we go by in Business.

Telephone is an important device with the help of which people separated by distance can easily interact and exchange their ideas. Got a brilliant idea and want to convey information to your friend staying out of the country, use the telephone. Telephone is one of the easiest and cheapest modes of communication.

Telephone etiquettes - An individual needs to follow a set of rules and regulations while interacting with the other person over the phone. These are often called as telephone etiquettes. It is important to follow the basic telephone etiquettes as our voice plays a very important role in creating an impression of our personality, education, family background as well as the nature of job we are engaged in. The person giving the information is called the sender and the second party is the recipient.

Let us now study the various telephone etiquettes. Please find below the various telephone etiquettes.

- Always remember your **voice has to be very pleasant** while interacting with the other person over the phone. Don't just start speaking, before starting the conversation use warm greetings like "good morning", "good evening" or "good noon" depending on the time.
- **Never call any person at odd hours** like early morning or late nights as the person will definitely be sleeping and will not be interested in talking to you.
- **In any official call, don't use words like "Any guess who I am?"** as the person on the other side might be occupied with something and can get disturbed. Always say "Is it Ted?", and do ask him, "Is it the good time to talk to you?" and then start communicating.
- **Make sure your content is crisp and relevant.** Don't play with words, come to the point directly and convey the information in a convincing manner. First prepare your content thoroughly and then only pick up the receiver to start interacting.
- After dialling, always reconfirm whether the person on the other side is the desired person whom you want to interact with. Always ask "Am I speaking to Mike?" or "Is this Jenny?" before starting the conversation.
- Always carefully dial the numbers, never be in a rush or dial the numbers in dark as it would lead to a wrong call. If by mistake you have dialled a wrong number, don't just hang up, do say sorry and then keep the phone courteously.
- **Never put the second party on a very long holds.** Always keep the information handy and don't run for things in between any call as the listener is bound to get irritated.
- While interacting over the phone, don't chew anything or eat your food. First finish your food and then only dial the number. If you are reading, please leave the book aside, first concentrate what the other person wishes to convey and then continue with the book.
- After completing the conversation, don't just hang up. Reconfirm with the receiver whether he has downloaded the correct information or not and do end your conversation with pleasant words like "Take care", "nice speaking with you" and a warm bye but never say Goodbye.
- Always speak each and every word clearly. The person on the other hand can't see your expressions so remember your tone should be apt to express your feelings in the correct form.
- **Don't take too long to pick up any call.** If you miss the call, make sure you give a call back as the other person might have an important message to convey. Avoid giving missed calls at work places as it irritates the other person.
- In professional talks, never keep the conversation too long as the other person might be busy.

- If you are not the correct person and the speaker needs to speak to your fellow worker always say “one moment please- I will call him in a minute”. If the colleague is not in the office premises, always take a message on his behalf and don’t forget to convey him when he is back.
- Decrease the volume of the television or turn off the speakers while speaking over the phone as noise acts as a hindrance to effective communication
- If there is any disturbance in the network, don’t just keep speaking for the sake of it; try to call after sometime with a better line.

5.5.1 Essential Rules of Phone Etiquette

1. **Answer a call within three rings:** If your position entails always being available to callers, you should actually be available. That means staying focused and answering calls immediately. The last thing you want to do is keep a customer waiting after a string of endless ringing or send them to voicemail when you should’ve been able and ready to reply.

As long as you’re alert and at your phone at all times excluding breaks this rule should be fairly simple to follow. However, we recommend responding within three rings in order give yourself enough time to get in the zone and prepare for the call. Picking up the phone right away might leave you flustered.

2. **Immediately Introduce Yourself:** Upon picking up the phone, you should confirm with the person whom they have called. In personal calls, it’s sufficient to begin with a “Hello?” and let the caller introduce themselves first. However, you want to allow the caller to know if they’ve hit a wrong number, as well as whom they are speaking with.

Practice answer the phone with, “Hi, this is K. Teja Kumar(Your first name) from XY company (Company name). How can I help you?” Your customer will be met with warmth, which will encourage a positive start to your call. And, if it ends up being an exasperated college student trying to order pizza, they’ll at least appreciate your friendliness.

3. **Speak Clearly:** Phone calls, while a great option for those who detest in-person interaction, do require very strong communication skills. For one, the person on the other end of the line can only judge you based on your voice, since they don’t get to identify your body language and hopefully kind smile.

You always want to speak as clearly as possible. Project your voice without shouting. You want to be heard and avoid having to repeat yourself. A strong, confident voice can make a customer trust you and your support more. In case of bad cell service or any inability to hear or be heard, immediately ask to hang up and call back.

4. **Only use speakerphone when necessary:** We all know the trials of speakerphone. It's easier for you because you can use your hands to multitask. However, for the other caller, it's like trying to hear one voice through a honking crowd of taxis in Manhattan impossible and frustrating.
5. **Actively listen, and take notes:** Speaking of paying attention to your customers, it's essential that you're actively listening to them throughout the conversation. Actively listening means hearing everything they have to say and basing your response off of their comments, rather than using a prescribed script. This proves to your customers that you're present and are empathetic to their inconveniences.

6. **Use Proper Language:** A key difference between professional and personal phone calls is obvious the language. It might be acceptable to use slang and swears when talking on the phone with your friends, but this kind of language can cause you to lose a customer for life.

Always be mindful and respectful when on the phone. You never know what customers might be offended by something you say, so it's best to use formal language. It's okay to throw in humor if appropriate, but never crack a joke that could upset a customer.

7. **Remain Cheerful:** You never know when a customer is having a bad day. When someone is rude to you on the phone, your immediate reaction may be to put them in your place. First, though, take a moment to step into their shoes and recognize why they're so upset.

The point is to always remain positive and friendly, especially in the face of negativity. Your optimistic outlook may be enough to turn a failing phone call right around. Remind yourself that the last thing your customer probably wanted was to spend their afternoon on the phone with customer support. So, make that call the best it can be, and it may create a loyal, lifetime customer.

8. **Ask before putting someone on hold or transferring A Call:** There's often nothing more infuriating than being put on hold. After waiting on hold for ten or fifteen minutes to speak with a real-life human being, you finally get to explain your problem. Then, you're immediately put back on hold and then transferred to someone else to whom you must re-explain the whole problem. Talk about exhausting.

However, if you must put a customer on hold or transfer their call, always ask for their permission first. Explain why it's necessary to do so, and reassure them that you or another employee are going to get their problem solved swiftly. By keeping your customer in the loop, they'll be less inclined to complain about a long wait time.

9. **Be honest if you don't know the answer:** You might need to put a customer on hold or transfer their call if the dreaded occurs you don't know the solution. Perhaps you've tried everything you can or simply have no idea what they're talking about. Don't panic; customer support representatives are humans, too, and it's okay not to be the knowing everything voice of reason.

10. **Be mindful of your volume:** You may be so focused on your phone call with a customer that you're barely paying attention to your present setting. When working in a call center, things can get pretty loud. You always want to be mindful of your volume and ensure that you're not disrupting the ability of your co-workers to speak to customers and get their work done.
11. **Check for and respond to voicemails:** It's quite possible that a customer might reach out to you when you're on a break or after you've left work for the day. If it's possible for you to receive voicemails, make sure you're always checking for them. It's easy for a voicemail to slip under the radar, but the customer won't easily forget.

Start and end each day by checking your voicemail. It takes just a few minutes and can avoid a lost customer support request. Your customers will appreciate your prompt response, and you can get on to doing what you do best providing knowledgeable and friendly support.

However, there will be some interactions where these actions may not be enough to defuse the situation. Some customer interactions will require your team to take special measures to ensure you're meeting the customer's immediate and long-term needs. In the next section, we'll break down a few of these scenarios and what you can do to resolve them.

5.5.2 Customer Service Phone Etiquette

Sometimes you may pick up the phone and immediately have to rebuild a relationship with a customer. These cases should be scarce, but they will happen to even the best customer service teams. It's important to use the correct phone etiquette in these types of cases to produce the most effective outcome for both the customer and the company. To help you prepare, below are a few common challenges that most customer service reps will face when working on the phone.

1. **The customer is asking you to do something that you can't:** The only "downside" to providing great customer service is that sometimes your customers expect too much from you. When you're constantly fulfilling their needs they may ask you to do something that you simply don't have the power to do, or is against your company's policy. Often times they're not making a malicious request, but rather the customer thinks your team is so effective it can provide an advanced service.
2. **The customer insists on staying on the phone until their problem is resolved:** Customers are dedicated to reaching their goals and some will do nearly anything to achieve success, even if that means staying on the phone until they get their way. This motivation can sometimes lead to stressful situations where customers become agitated because a rep can't perform a specific action. These cases are rare but they will happen, especially if your product is imperative for customer success.

The best measure to take in these cases is to provide proactive customer service. Pay attention to cues in the customer's tone and vocabulary that would indicate frustration or stress. Then prevent escalation by acknowledging the roadblock as well as how the problem impacts the customer's workflow. This demonstrates to the customer that you have been actively listening to their request and are aligned with their goals.

If you can't defuse the situation, the next best step is to initiate a follow up plan. Let the customer know that you would like to look into the issue further and would like to follow up via their preferred contact method. If the customer is resistant to getting off the phone, explain how you need to get in touch with internal references who can assist you with the issue. Make it clear that it's in the customer's best interest to hang up the phone and follow up at a later time. If that's not possible, contact your manager immediately to intervene with the situation.

3. **The Customer is Demanding to Speak with A Manager:** Many customers think that demanding to speak with management will help resolve their case faster. In actuality, customer service managers dictate the company's stance on customer service issues and will echo the rep's initial response if it's in accordance with their policy. This can lead to poor customer experiences as customers will feel like the company has failed to meet their individual needs.

Sometimes customers will demand outright to speak with your manager. For these cases we recommend implementing a one strike rule, meaning if a customer asks to speak with your manager then you have one chance to prevent the escalation.

4. **The Customer doesn't Understand your Explanation:** Phones are great for providing immediate support for simple and easy-to-fix issues but they can be tricky to work on when cases become more complex. Both you and the customer have to keep track of important case details to ensure you're on the same page throughout the troubleshooting process. In these cases, it's easy for customers to misinterpret information and become confused about the steps you're recommending. Even if you're providing detailed troubleshooting steps, your in-depth explanation may be too advanced for the customer's level of product knowledge.

For these scenarios, leverage customer service tools that can help clarify your explanation. Tools like screen shares and virtual assistants provide hands-on support and guide customers through each step of the troubleshooting process. They're following by your recommendations properly and answer any questions that have at that moment.

5. **The Customer is keeping you on the Phone for too Long:** Customers value their time, but so do customer service reps. Most reps have a case quota that they need to reach every day and will fall short if they get stuck on a lengthy call. When you're dealing with 30+ calls each day, you can't afford to be bogged down by an hour-long call. This presents you with a tricky challenge of meeting customer needs as well as your own career goals.

While you should give each customer your utmost attention and dedication to their problem, be mindful of how long you're on the phone with a customer. When you're no longer making any significant progress on the case, ask to follow up with them. Explain why you need to follow up and how this will lead to a faster resolution. This measure not only helps you reach your daily goals but will proactively demonstrate that you're being mindful of the customer's time.

5.5.3 Ways to Improve Your Telephone Etiquette

For working as a corporate employee for the last several years, the following telephone etiquette may expertise for the benefit of others. Regardless of your position, answering the phone is a part of everyone's daily repertoire at work. So, it makes sense to be the best you can be when taking a call. Below are some tips that will up your game.

1. **Greet everyone with a calm tone**, no matter how busy you may be at that moment. Likewise, notice their tone and the speed in which they are speaking. This will alert you to how urgent the call is.
2. **Be positive and upbeat**, so the caller knows you're happy to hear from them. That goes along with smiling, even though they can't see you they will pick up on it at the other end of the line.
3. **Take the time to say "Good morning" or "Good afternoon."** With caller ID, it can be easy to also use the person's name.
 - If you are unfamiliar with the name given by caller ID or the caller's voice, however, it's preferable to ask, "Who's calling, please?" or wait until they introduce themselves, rather than making assumptions.
 - If you do know them well, you may want to take a moment for personal chit-chat, like "How is your day going?" But, then quickly get down to business.
4. **Be efficient.** Realize other people are as busy as you are, so keep business calls brief and remain sensitive to their schedule. If a phone meeting is supposed to last one hour, stay within that time constraint. End the call on time or sooner.
5. **Always be respectful**, as you may not realize to whom you're speaking. If it is a prospective client or new hire, a phone call may very well be the "first and lasting" impression they form of the company. A simple phone conversation can make them feel welcome (or not).
6. **Express your willingness to help** or assist in any way, providing the needed information or referring the caller to someone else who knows the answer to their questions.
7. **Be a good listener!** That means practicing "active" listening (what some call "world-class" listening), without interrupting and focusing on the caller's need.

8. **Let them know you liked talking to them.** Saying something as simple as, “It was a pleasure talking to you today,” can go a long way. Even the trite, “Have a nice day,” still works as a polite, thoughtful closure to a call.
9. **Get to know your frequent callers.** Remembering their names and what they might be calling about is flattering and communicates that you value their business.

Finally, on business calls, it’s important to **always have a professional demeanor** and speak in more formal language. Slang or casual verbiage has no place in work-related communications. There’s a fine line between being *friendly* and treating someone like a *friend*.

Although most of these tips are geared towards external callers, some of the same principles can also be applied to intra-company phone calls. It may be harder to keep that professional edge going when talking to colleagues with whom you work closely and have developed friendships.

However, my advice is to sound professional on all phone calls during work hours, staying in business mode. The place to be more casual is at offsite working lunches and happy hour events.

5.6 INTERPERSONAL SKILLS

Interpersonal skills involve the ability to communicate and build relationships with others. Often called ‘people skills’, they tend to incorporate both your innate personality traits and how you’ve learned to handle certain social situations. Effective interpersonal skills can help you during the job interview process and can have a positive impact on your career advancement.

Interpersonal skills are the behaviors and tactics a person uses to interact with others effectively. In the business world, the term refers to an employee’s ability to work well with others. Interpersonal skills range from communication and listening to attitude and deportment.

Interpersonal skills are often referred to as social intelligence. They depend on reading the signals others send and interpreting them accurately in order to form a response.

Everyone has a personal style and an interpersonal style, but some are more successful than others. While interpersonal skills may be based in part on personality and instinct, they also can be developed.

5.6.1 Understanding Interpersonal Skills

Interpersonal skills can be developed but they cannot be learned solely from a textbook. They come naturally to some people, while others have to work at cultivating them. In many organizations, employees with strong interpersonal skills are valued for their pleasant demeanor and positive, solution-oriented attitude. These employees are seen as team players, who work well with others to achieve a goal. In more human terms, everyone likes being around them, and that never hurts.

Interpersonal skills are strongly linked to a knowledge of social expectations and customs, whether learned or acquired. People with the strongest interpersonal skills adjust their tactics and communications on the fly depending on the reactions of others.

5.6.2 Importance of Interpersonal Skills

Strong interpersonal skills can help you during the job interview process as interviewers look for applicants who can work well with others. They will also help you succeed in almost any job by helping you understand other people and adjusting your approach to work together effectively. For example, while a software engineer may spend the majority of her time working on code independently, she may need to collaborate with other programmers to effectively bring a product to market.

This is especially true as more companies implement collaborative agile frameworks to get work done. Employers will be looking for workers who can both perform technical tasks with excellence and communicate well with colleagues.

Employers value interpersonal skills because they contribute to positive work environments and help maintain an efficient workflow. Here is a list of interpersonal skills for you to identify the ones you may possess that are valuable to employers.

1. **Active listening:** Active listening means listening to others with the purpose of gathering information and engaging with the speaker. Active listeners avoid distracting behaviours while in conversation with others. This can mean putting away or closing laptops or mobile devices while listening and asking and answering questions when prompted.
2. **Dependability:** Dependable people can be relied on in any given situation. This can include anything from being punctual to keeping promises. Employers highly value dependable workers and trust them with important tasks and duties.
3. **Empathy:** A worker's 'emotional intelligence' is how well they understand the needs and feelings of others. Employers may hire empathetic or compassionate employees to create a positive, high-functioning workplace.
4. **Leadership:** Leadership is an important interpersonal skill that involves effective decision making. Effective leaders incorporate many other interpersonal skills like empathy and patience to make decisions. Leadership skills can be used by both managers and individual contributors. In any role, employers value people who take ownership to reach common goals.
5. **Teamwork:** The ability to work together as a team is extremely valuable in every workplace. Teamwork involves many other interpersonal skills like communication, active listening, flexibility and responsibility. Those who are good 'team players' are often given important tasks in the workplace and may be seen as good candidates for promotions.

5.6.3 How to Improve Interpersonal Skills

While interpersonal skills can seem easy to practice as you interact with others on a daily basis, making a deliberate plan can help you quickly improve. Consider the following ways to improve your interpersonal skills.

1. **Attend workshops or online classes:** There are several workshops, online classes and videos on ways you can practice building interpersonal skills. While many are free, some are available at a cost.
2. **Seek opportunities to build relationships:** If you work from home or do not otherwise have many opportunities to build interpersonal skills, you might consider joining a group. This could be related to your work networking or industry-specific groups or simply a group that shares a similar interest or hobby.
3. **Be thoughtful about ways your interactions could improve.** Take time to review the interactions you have had and consider ways you could have interacted more effectively. This might be certain words you said, ways you reacted or body language you used.
4. **Ask trusted friends or colleagues for constructive criticism.** It is helpful to get a third-party perspective about your skill level and specific ways you can improve. Ask friends or trusted colleagues to provide constructive criticism regarding your interpersonal skills.
5. **Observe other positive interpersonal interactions.** It can also be helpful to learn by observing others use their interpersonal skills. Observe positive interactions of those around you and apply the qualities you admire to your own relationships.
6. **Seek mentorship.** Asking someone you trust, admire and respect to counsel you on improving interpersonal skills and advancing in your career can be an extremely effective way to learn.

5.6.4 Highlight Interpersonal Skills when Applying for Jobs

During the job application and interview phase, you can highlight your interpersonal skills on your resume and your cover letter. After you are hired, you should continue to maintain your skills and develop new ones.

1. **Including Interpersonal skills on a resume:** On your resume, include a few key interpersonal skills under the 'skills' section. Generally, the best skills to put on a resume are those that you are confident will be verified by any of the references you list on your job application. Review the job posting to understand which of your skills are most relevant to the job you're applying for and which you should prioritise on your resume.

Your resume skills section may look like this.

Technical skills: POS Systems, Excel, HTML, Digital Phone Systems

Additional skills: *Effective Team Player, Highly Communicative and Cooperative, Active Listener, Innovative Researcher*

You can also provide examples of your interpersonal skills in the ‘experience’ section of your resume. Do this by including concrete examples of how you worked with others and the results you achieved. For example, collaborated with designers, copywriters and strategists on a rebranding initiative that resulted in a 30 percent increase in website visits.

- 2. Including interpersonal skills on a cover letter:** For your cover letter, you may want to focus on one strong, relevant interpersonal skill. This can help the employer get a good idea about an area you see as one of your strengths. You may also want to briefly explain how that skill can benefit the employer and create a good work relationship.

An example section highlighting your skills in a cover letter could look like the following.

With my previous employer, I was often called upon to help form collaborative teams. My managers pointed to my ability to listen and understand my colleagues’ strengths to best determine how to assign effective roles.

- 3. Interpersonal skills in a job interview and on the job:** During your job interview, the hiring manager may be looking to see how actively you listen, whether you maintain eye contact and if you are courteous and respectful. The job interview is also a good opportunity to show dependability. Arriving early for your interview, for example, shows you are serious about the interview and respect the interviewer’s time.

Once you successfully get a job, you will continue to rely on interpersonal skills. By demonstrating that you are dependable, taking the initiative to lead and having a positive impact on your colleagues, you can develop a strong reputation as a collaborative teammate.

Interpersonal communication skills are increasingly valued by employers in every industry. Regardless of what type of career you are looking to enter, your ability to work well with your colleagues and employer may make a good impression and result in positive career growth.

5.7 OUTCOMES

1. Effectively communicate through verbal/oral communication and improve the listening skills
2. Become more effective individual through goal/target setting, self motivation and practicing creative thinking.
3. Self-Awareness, Personal Development, and Life Skills and students will develop and exhibit and accurate sense of self.

5.8 INTERVIEW QUESTIONS

The Phone Interview

Due to a company's geographic location, travel costs, and divergent schedules, a phone interview may often be your initial contact with a prospective employer. Therefore, we're offering some phone interview tips.

Objective: The idea behind a phone interview is to gain an invitation for a personal interview, and to gather more information for future steps in the process.

Preparation: Have a pad, pen, and a copy of your resume near the phone. Use a phone in a quiet area. Avoid any background noise. Also avoid using a cordless phone, because they tend to transmit poorly.

Speaking

- a. Smile and be enthusiastic. Your enthusiasm will carry through to the interviewer.
- b. Speak in a conversational manner, and be sure to speak loudly enough to be heard. Speak with some inflection and tone.
- c. Let the interviewer do most of the talking. When s/he asks you a question, expound upon the answer. Use the opportunity to sell your skills and experience.
- d. When the interview is over, let her/him know that you are very interested in scheduling a personal interview at her/his place of business.

Placement Questions

Here some of the HR Interview Questions asked for Freshers Candidates. (Capgemini)

- Tell me about yourself
- What will be the first you will do if you will see someone getting fired?
- How you will feel if you get rejected from here?
- What is the first thing you will do after going out?
- How many stairs you climbed while coming for this interview?
- Why you haven't chosen any other project as a final year project?
- Have you copied the project or did it on your own?
- Why should we hire you on Capgemini?
- Why do you want to work with Capgemini?

HR Interview Questions asked for Freshers/Experience Candidates. (Cognizant)

- Tell me about a situation where you had to quickly adjust to a change in your department or team priorities. How did this change affect you?

- Describe a time you had to meet a scheduled deadline while your work was being interrupted continuously. What was most difficult about this and how did you handle it?
- Give me an example of a time when you had to balance multiple responsibilities at once. What did you do to keep organized? How did you prioritize your tasks?
- Tell me about a challenging time you faced with a person from a different background or culture.
- Interacting with co-workers or customers from different backgrounds or cultures can be challenging at times. Tell me about a challenging time you faced with a person from a different background or culture.
- What skill do you feel you need to develop the most? Why?
- Describe some specific tasks or conditions you found frustrating. How did you handle them?
- Describe the style of management under which you work most effectively. Why do you prefer this style?
- Tell me about a time you received constructive criticism. What was it? How did it make you feel when you received it? What did you do to improve?
- Tell me about a time when you were asked to change your schedule unexpectedly. How did you feel about it? How did you handle it?
- What types of responsibilities do you like most?
- What types of responsibilities do you like least?
- What makes one location of work more desirable to you than another?
- Are you willing to relocate or travel?
- Tell me about a time when it was necessary to admit to others that you had made a mistake. How did you handle that?
- How would you describe the perfect work environment for you?
- How do you react when asked to do something beyond your capabilities?
- Describe your ideal company, location and job
- How do you feel about working nights and weekends?
- What motivates you to do good job?
- What makes you angry?
- Where do you see yourself five years from now?
- What is more important to you: money offered, or the type of job?
- Do you enjoy working independently?

- In what kind of a work environment are you most comfortable?
- Do you prefer working with others or all by yourself?

Interview Questions

[IBM]

- Where is your resume? Sir invigilator stapled it with my answer sheet.
- Introduce yourself.
- Why do you want to switch to S/W industry? More opportunities.
- Write a program in C to sort a list of numbers in descending order.
- What is static & dynamic logic?
- Differentiate between analog & digital communication.
- What's BI-CMOS?
- Why do you think we should recruit you?
- Which is the last book that you have read?
- Tell me something about the book?
- Which is your preferred location?
- Are you ready to relocate?
- Do you have any questions for us?
- Tell about yourself which is not mentioned in your resume.
- Why IBM?
- Sell yourself, Why should we recruit you when so many candidates are there.
- Why do you want to leave your previous company?
- Don't mention any negative comments about your previous company.
- What do you expect from IBM?
- List all 48 subjects throughout your Engineering?
- Tell any three good things about your college.
- They will ask you about relocation Initially say anywhere throughout the globe and you can speak your preference once you smell the victory.

Life Skill Course
Human Values and Professional Ethics
As per Choice Based Credit System (CBCS)
Common to all Branches



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Human Values and Professional Ethics

Learning Outcome

On completion of this course, the UG students will be able to:

- Understand the significance of value inputs in a classroom and start applying them in their life and profession
- Distinguish between values and skills, happiness and accumulation of physical facilities, the Self and the Body, Intention and Competence of an individual, etc.
- Understand the value of harmonious relationship based on trust and respect in their life and profession
- Understand the role of a human being in ensuring harmony in society and nature.
- Distinguish between ethical and unethical practices, and start working out the strategy to actualize a harmonious environment wherever they work.

Unit-1: Introduction - Definition, Importance, Process & Classifications of Value Education

- Understanding the need, basic guidelines, content and process for Value Education
- Understanding the thought provoking issues; need for Values in our daily life
- Choices making - Choosing, Cherishing & Acting
- Classification of Value Education: understanding Personal Values, Social Values, Moral Values & Spiritual Values.

Unit-2: Harmony in the Family - Understanding Values in Human Relationships

- Understanding harmony in the Family- the basic unit of human interaction
- Understanding the set of proposals to verify the Harmony in the Family;

- Trust (*Vishwas*) and Respect (*Samman*) as the foundational values of relationship
- Present Scenario: Differentiation (Disrespect) in relationships on the basis of body, physical facilities, or beliefs.
- Understanding the Problems faced due to differentiation in Relationships
- Understanding the harmony in the society (society being an extension of family): *Samadhan, Samridhi, Abhay, Sah-astitva* as comprehensive Human Goals
- Visualizing a universal harmonious order in society- Undivided Society (*Akhand Samaj*), Universal Order (*Sarvabhaum Vyawastha*)- from family to world family.

Unit-3: Professional Ethics in Education

- Understanding about Professional Integrity, Respect & Equality, Privacy, Building Trusting Relationships.
- Understanding the concepts; Positive cooperation, Respecting the competence of other professions.
- Understanding about Taking initiative and Promoting the culture of openness.
- Depicting Loyalty towards Goals and objectives.

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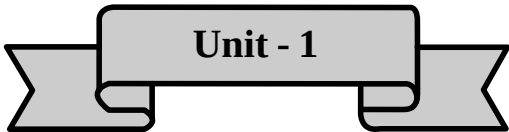
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Unit - 1

INTRODUCTION

1.0 OBJECTIVES

After completion of this unit we should be able to understand :

- Basic concepts of human values, Value Education.
- Importance of human values and their classification.
- Guidelines for value education.
- Discuss Process of Value Education.

1.1 INTRODUCTION

The word “Value” stands for ideas, beliefs or concepts of a person or the group of persons who treat them as very much essential to their life. It is a concept with some an emotional connotation. The value education is always essential to shape one’s life and to give one an opportunity of performing on global stage. An values form basis for all our thoughts, behaviors and actions. Once we know what is valuable to us, these values becomes the basis and anchor for our actions.

Concepts of various disciplines concern out head but values stir our hearts. Thus, the values of an individual, group or a society includes all important religious beliefs, moral attitudes and philosophy of life, political ideologies and social structure etc., which are of great importance for sustaining society and its culture.

The value means importance and education means knowledge, therefore value education means knowledge of importance. Other words when we get knowledge of importance of anything, importance of human being, importance of us as human being, then we have value education.

We need to understand universality of various human values, because only then we can have a definite and common program for value education. Only we can be assured of a happy and harmonious human society.

Character oriented education that instills basic values and the ethnic values in one's psyche is called as 'value based education'. One definition refers to it as process that gives young people an initiation into values, giving knowledge of rules needed to function in this mode of relating to other people, and to seek development in the student a grasp of certain underlying principles, together with an ability to apply these rules intelligently, and to have settled disposition to do so. Values form the basis for all our thoughts, behaviors and the actions.

Values refers to a person's principles or standards of behavior; one's judgment of what is important in life. Ethics is a set of rules, almost similar to values but tends to be codified into recognized system or set of rules which are clearly adopted by a group of people.

1.2 VALUE EDUCATION

The value of education can be defined as fundamentals of comfort and materialistic happiness that enables human beings to live in harmony. It is valuable universally. Value education is defined as process in which people gives value to an other peoples.

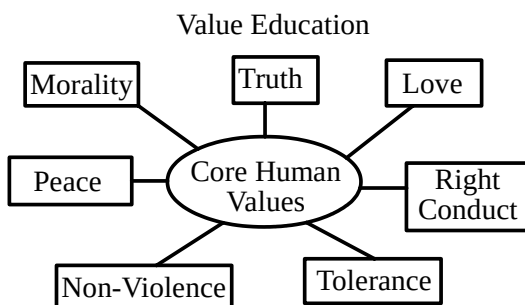


Figure-1.1: Value Education

“Excess of knowledge and power, without Values, make human beings devils”
- **Swami Vivekananda**

“Value-education is an aggregate of all the process by means of which a person develops abilities, attitudes and other forms of behaviour of positive values in the society in which he lives”.

- **C. V. Good**

Value Education is important to help everyone in improving value system that he/she holds and put them to use. Once, everyone has understood their values in a life they can examine and the control different choices they make in their life. The value education is always essential to shape one's life and to give him an opportunity of performing himself on the global stage. Value education is an combination of two words value and the education. The term can be looked at from two points of view.

1. Is Education of any value or worth? and
2. How can we add the value to education.

Value education is deals with what is universally valuable to us, what is conductive to our individual and collective happiness and prosperity in a sustainable way. It can be refers to it as process that gives young people an initiation into values, giving knowledge of rules needed to function in this mode of relating to an other people, and to seek an development in a student a grasp of certain underlying principles, together with an ability to apply these rules intelligently and to have settled disposition to do so. The character oriented education that instils basic values and ethnic values in one's psyche is called as 'Value Based Education'. Subject that enables us to understand 'what is valuable' for human happiness is called as value education.

1. Value education is important to help everyone in improving value system that he/she holds and puts it to use.
2. An value education means inculcating in a children a sense of humanism, the deep concern for the well-being of others and nation.

It can be accomplished only when we instill in a children a deep feeling of commitment to values that would build this country and bring back to people pride in a work that brings order, security and assured

progress. The value education we like to develop the social, moral, aesthetic and the spiritual sides of person which are often undetermined in a formal education. Value education teaches us to preserve whatever is good and worthwhile in what we have inherited from our culture. It can help us to accept respect attitude and the behaviour of those who differ from us. The value education does not mean value imposition or indoctrination.

Value education has capacity to transform the diseased mind into a very young, fresh, innocent, healthy natural and attentive mind.

Transformed mind can be capable of higher sensitivity and heightened level of a perception. It leads to fulfillment of evolutionary role in man and in a life.

The value of education should include:

- (i) All dimensions thought, behavior, work and realization.
- (ii) All levels of human living – individual, family, society and nature

Very purpose and the main function of education is development of an all round and well-balanced personality of a student, and also to develop all dimensions of human intellect so that our children can help make our nation more democratic, cohesive, socially responsible, culturally rich and the intellectually competitive nation.

The value-education is a many sided endeavour and in an activity during which young people are assisted by adults or older people in schools, family homes, clubs and religious and other organisations, to make explicit those underlying their own attitudes, to assess an effectiveness of these values for their own and others long term well-being and to reflect on and acquire other values which are more effective for the long term well-being.

1.2.1 Effective Management of Value Education

Following are activities for effective management of value education;

1. Paripath is the regular activity of school, D.Ed. College, in B.Ed. College and Junior and Senior Colleges it should be the regular activity.

2. Follow up activities should be conducted of the paripath, some activities based on a paripath should be organised.
3. Renowned persons, ideal teacher's the contribution may be taken.
4. Media should disseminate non-formal education interestingly, literature, serials, movies should not encourage false belief, sex and the violence.
5. Through textbooks, especially of first languages, teaching should be done, keeping in view, what values will be inculcated through the each lesson

For an effective management of value education we suggest following recommendations:

1. A value education should be imparted compulsorily up to high school level. Evaluation of value education should be routine one. It should be based on daily observation of student by teachers and peers.
2. Student should be rewarded for good habits and good deeds in assembly which will inspire other student.
3. Non-formal programmes such as educational visits, exchange of resource material, mobile exhibitions, regional seminars, visits to cultural and the national monuments and museums needs to be emphasised.
4. All teachers in the school should be regarded at teachers of value education and all subjects including physical education can be used for the inculcation of right values.
5. There should be formation of courses both at secondary level and at university level aiming at giving the children basic knowledge about media, its people and the cultural tradition.
6. Co-curricular activities have physical, ethical, aesthetic, recreational, psychological, academic, social, cultural, disciplinary values for that proper selection of the activities is an important part of organisation.
7. An exchange of programmes amongst various states, countries, studying each other's cultures and the literacy works should be taken up to develop the spirit of kind-ship and common value system.

8. Co-curricular activities which are necessary for inculcation of values should be arranged rigorously.
9. For all round development of students provision of special teachers for subjects such as physical education, vocation, music and dance is to be made.
10. Fine arts, music, creative writing, puppetry and theatre are to be given due place in curriculum right from school to university level.
11. Fairly long period of social service should be introduced by all schools and the universities.
12. Student should maintain a diary of daily activity and teacher should check it.

1.2.2 Objectives of Value-Education

An objectives of value-education were based on the religion and philosophy. There was no secular value-education; but in today's modern world, it has been taken as very much essential.

1. To improve the integral growth of human value.
2. To create and develop awareness about the values and their significance and their role.
3. Inculcation of good manners and of the responsible and cooperative citizenship.
4. An inculcation of the spirit of patriotism and the national integration.
5. Developing tolerance towards and understanding of different religious faiths.
6. Enabling pupils to make decisions on the basis of sound moral principles.
7. Developing the democratic way of thinking and living.
8. Developing sense of brotherhood at social, national and the international levels.
9. Helping pupils to have faith in themselves and in some supernatural power i.e., supposed to control this universe and human life.

10. Evolving the evaluation criteria on the value-education.
11. Clarifying the meaning and the concept of value-education.
12. Suggesting measures for an better utilisation of value-education.
13. Finding out interests of pupils in relation to different aspects and the activities of an value-education.
14. To increase awareness about our national history, our culture, heritage, constitutional rights, national integration, community development and the environment.

1.2.3 Significance of Value Education

1. If once, we have understood his/her values in life he/she can examine and the control different choices he/she makes in his/ her life.
2. The value education is an important to help everyone in improves the value system that he/she holds and puts it to use.
3. One has to frequently uphold different types of values in his/ her life like cultural values, universal values, personal values and the social values.
4. Value education is always essential to shape one's life and to give one an opportunity of performing on the global stage.

Need for an value education among parents, children, teachers etc, is constantly increasing as we continue to witness increasing violent activities, behavioral disorders and the lack of unity in a society etc.

An value education can be enables us to understand our needs and visualize our goals correctly and also indicates the direction for their fulfillment. It can also be helps remove our confusions and the contradictions and enables us to rightly utilize the technological innovations.

1.2.4 Guidelines for Value Education

An education is for a holistic life and not for a mere living. The 'Education' needs to be enriched with values and it is not mere stuffing of facts. To qualify for any course on the value education following guidelines for the content of the course are important.

1. Universal
 2. Rational and secular
 3. Natural and verifiable
 4. Encompassing and
 5. Leading to harmony
1. **Universal:** Value education is universal which implies that it is applicable to every human beings irrespective of of cast, creed, nationalities, religions etc., for all times and space.
 2. **Rational:** Value education should be in accordance with human reasoning.
 3. **Secular:** It is not dependent on any cast, creed or religion or sect.
 4. **Natural:** It has to be 'naturally acceptable' to the human being who goes through the course and there needs to be every provision in nature for its fulfillment.
 5. **Verifiable:** It needs to be experientially verifiable, and not based on dogmas. It should not be a mere theory based on assumptions.
 6. **All encompassing:** It needs to cover all features like one's thoughts, behaviour, experience, realization and work. It should also include all the levels of human existence like individual, family, society and nature.
 7. **Leading to Harmony:** The Value Education ultimately is targeted to promote harmony within the individual, among human beings and with nature. The aim is to promote harmony at all levels.
 - i) Individual
 - ii) Family
 - iii) Society
 - iv) Nature

1.2.5 Importance of Value Education

1. Value Education helps us to build up strong relationships.
2. Value Education helps us to explore our inner happiness.
3. Value Education helps us to actualize the potential which already exists within us.

4. Value Education reduces the feeling of jealousy and promotes brotherhood.
5. Value Education widens our perception towards analyzing things.
6. Value education teaches one to be in harmony with self, people around us and an entire world.
7. Value Education helps us to visualize our goals clearly.
8. Value Education helps us to remove the ignorance which covers our inner knowledge.

1.3 INTRODUCTION TO VALUES

Values refer to a person's principles or standards of behavior; one's judgment of what is important in life. Ethics is a set of rules, almost similar to values but tends to be codified into recognized system or the set of rules which are clearly adopted by group of people. To behave ethically is to behave in a manner, acceptable to society.

An value denotes the importance of determining what action or ideal is best to do or live, Value may be described as treating the actions themselves by putting value to them. The value deals with the right conduct and the good life, in the sense that the highly valuable action can be regarded as ethically "good" and the action of low value may be regarded as "bad".

An ethical value denotes the importance of a thing, with the aim of determining what action or life is best to do, or at least attempt to describe an value of different actions. It can be described as treating actions themselves as abstract objects, putting value to them. It can be deals with right conduct and the good life. In the sense that a highly, or at least relatively highly, valuable action or may be regarded as the good, and an action of low, or at least relatively low, value can regarded as bad.

Personal and cultural values are relative in sense that they can be differ between people, and on a larger scale, between people of various cultures. On other hand, there are theories of existence of absolute values, which can also be termed as noumenal values. The absolute value is independent of individual and the cultural views and also independent of whether it is known or not.

An relative value can be regarded as an ‘experience’ by subjects of absolute value. Relative value thus varies with an individual and the cultural interpretation, while absolute value remains constant, regardless of individual or collective ‘experience’ of it.

An intensity or duration of an object decreases its total value and vice versa when decrease in the whole value. Total value can be regarded as being the sum of total intrinsic value and total instrumental value. It can be either relative or absolute, or both. Ethics and values are important virtues since they can be develop to be roots of traditions of various people around a world.

Other words values are those aspects of personality that are important to someone while ethics is a system of moral values that governs the behavior of a person in a society. Good examples of ethical values are integrity, honesty and responsibility. Leaders recognize the importance of ethical behavior. Best leaders exhibit both their values and their ethics in their leadership style and the actions.

1.4 DEFINITION OF VALUES

Values decide the standard of behavior. Some universally accepted values are freedom justice and equality. Other principles of values are love, care, honesty, integrity, self respect. Values reflect one’s personal attitudes and the judgments, decisions and choices, behaviour and relationships, dreams and vision. They influence our thoughts, feelings and actions. They guide us to do the right things. An values are regarded desirable, important and held in high esteem by a particular society in which a person lives. Thus, the values give meaning and strength to the person’s character by occupying the central place in his life.

“The value is defined as a principle that promotes well-being or prevents harm. Values are our guidelines for our success-our paradigm about what is acceptable”.

Human as a whole defines ones individual personality which is the human nature. There are multiplicities of Definitions on Values.

1. "A thing has or is a value if and when people behave toward it so as to retain or increase their possession of it."
- **George Lundberg.**
2. "Values are obverse of motives...the object, quality, or condition that satisfies the motivation."
- **Richard.T.Lapiere**
3. "By a social value we understood any datum having an empirical content accessible to the members of some social group and the meaning with an regard to which it is or may be an object of activity."
- **Znaniecki**
4. "A value is a conception, explicit or implicit distinctive of an individual or characteristic of a group of desirable which influences the selection from available means and ends of the action".
- **Clyde Kluckhohn**
5. "Values are desirable end states which acts as a guide to human endeavor or most general statements of legitimate ends which guide social action".
- **Neil.J.Smelser**
6. "Values are normative standards by which human beings are influenced in their choice among alternative courses of action which they perceive".
- **Philip.E.Jacob & James. J.Flink**
7. "What we properly call a value in life is an organic mixture of need, interest, feeling, purpose and goal, the production and conservation of values is one of the main concerns of human existence."
- **Lewis Mumford**
8. "A value is a brief upon which a man acts by preference".
- **Gordon .W. Allport**
9. "The value means primarily to prize, to esteem, to appraise and to estimate. It means the act of achieving something, holding it and also the act of passing judgement upon the nature and amounts of values as compared with something else".
- **John Dewe**

An values are the guiding principles of life which are conducive to all round development. They give direction and firmness to life and bring

joy, satisfaction and peace to life. Values are such as the rails that keep a train on a track and help it move smoothly, quickly and with direction. They bring quality to life.

1.5 CLASSIFICATION OF VALUE EDUCATION

Values are a set of principles or standards of behaviour. In words of John Dewey, “the value means primarily to prize, to esteem, to appraise and to estimate. It means the act of achieving something, holding it and also the act of passing judgement upon nature and amounts of values as compared with something else”.

The values are regarded as desirable, important and held in high esteem by the particular society in which a person lives. Thus, the values give meaning and strength to a person’s character by occupying a central place in his life. The values reflect one’s personal attitudes and judgments, decisions and choices, behaviour and the relationships, dreams and vision. They can influence our thoughts, feelings and the actions. They guide us to do right things.

The values are guiding principles of life which are conducive to all round development. They give direction and firmness to lift and bring joy, satisfaction and peace to life. Values are like the rails that keep a train on the track and help it move smoothly, quickly and with direction. They bring quality to life.

The values are classified broadly into five types. They are,

1. Personal
2. Social
3. Moral
4. Spiritual and
5. Behavioural

1. **Personal Values:** Personal values refer to those values which are desired and cherished by individual irrespective of his or her social relationship. Individual determines his own standards of achievement and attains these targets without an explicit interaction with any other person.

Examples: Ambition, cleanliness, contentment, courage, creativity, determination, dignity of labour, diligence, excellence, honesty, hope, maturity, regularity, punctuality, self-confidence, self-motivation and the simplicity etc.

2. **Social Values:** Social values refers to those values which are other oriented. These are concerning to society. These values are cherished and practised because of our association with others. Unlike personal values, the practice of social values necessitates the interaction of two or more persons. Social values are always practised in relation to our neighbors, community, society, nation and world. These are local, parochial and temporary in application.

Examples: Accountability, brotherhood, concern for environment, courtesy, dialogue, dutifulness, forgiveness, freedom, friendship, gratitude, hospitality, Justice, love, magnanimity, patience, repentance, responsibility, service, sharing, sports-manship, sympathy, team spirit and tolerance etc.

3. **Moral Values:** These values refers to those values which are related to an individual's character and the personality conforming to what is right and virtuous. They can be reveal a person's self-control. Realm of moral values is rather a debatable one. According to the sage Yagnavalkya, as a moral Value 'dharma' signifies cultivation of virtues of non-injury, sincerity, honesty, cleanliness, control of senses, charity, self-restraint, love and forbearance.

Examples: Honesty, integrity, sense of responsibility and compassion etc.

4. **Spiritual Values:** Ethical value as perception of the 'within' in man, it arises from inner depth dimension of man; it bestows the capacity to see the false as false and the true as the true. This is the key to the integration of man. Ultimate ethical value is called as spiritual value. Spiritual value is awareness itself. An virtues that can be associated with an spiritual values are purity, contentment, austerity, the scriptural study, devotion to God, spiritual wisdom, dispassion, self-discipline, control of senses, endurance, piety, sublimity, japa, meditation and the tranquility etc.

5. **Behavioural Values:** Behavioural values refers to all good manners that can be needed to make our life successful and joyous. These are those values which we exhibit by our conduct and the behaviour in our daily life. An behavioural values will adorn our life and the spread cordiality, friendliness and love all around.

The nature of professional requirement values can be classified into various categories like,

a. Economic	b. Social
c. Political	d. Spiritual
e. Modern	f. Aesthetic
g. Religious	h. Material
i. Academic	j. Socio-political
k. Global	l. Environmental
m. Cultural	n. Moral professional values etc.

1.5.1 Characteristics of Values

1. Values are represent an individual's highest priorities and deeply held driving forces.
2. Values are the hub of personality and is powerful force affecting behaviour.
3. Many values are relatively constant and durable.
4. Its contains a judgment element.
5. Values are generally, tinged with moral flavour and they contain a judgmental element, involving an individual's idea as to what is right, good, desirable.
6. In the value system, all of us have a hierarchy of values; which is identified by the relative importance we assign to different values such as freedom, self respect, honesty, self respect, and so on.
7. When we rank an individual's values in terms of their intensity. We obtain the value system of that person.
8. Values are fewer in number than attitudes.
9. Values transcend specific objects, situations or persons.

1.5.2 Types of Values

Values can be classified into two broad categories.

1. **Individual values:** These are the values which are related with the development of human personality or individual norms of recognition and protection of the human personality such as honesty, loyalty, veracity and honour.
2. **Collective values:** These values are connected with the solidarity of the community or collective norms of equality, justice, solidarity and sociableness are known as collective values.
3. **Terminal Values:** A terminal value is an ultimate goal in a desired status or outcome. These lead to the ends to be achieved.
4. **Instrumental values:** The combination of terminal and instrumental values an individual has, create an enduring cluster of values which is his value system. Thus, according to this survey, our values and value system are primarily the determinants of who and what we are as individuals.
5. **Intrinsic values:** These are the values which are related with goals of life. They are sometimes known as ultimate and transcendent values. They determine the schemata of human rights and duties and of human virtues. In the hierarchy of values, they occupy the highest place and superior to all other values of life.

1.6 HUMAN VALUES

Value of any unit in this existence is its participation in larger order of which it is a part, e.g. value of a pen is that it can write. Here writing is participation of the pen in the bigger order in which pen, paper, human being all are present.

An value of an eye is that it can be used for seeing. Value of a spinach plant is that it gives nutrition to animals and humans.

Moral + Values + Ethics = Human Values

- a. **Ethics:** Ethics is the study of characteristics of morals. It can be defined as the discipline dealing with what is good and bad with moral duty and obligation. Personal ethics is deals with how we treat others in our day to day life. It deals with moral choices that are made by each person in his or her relationship with other persons.

- b. **Values:** Values decide the standard of behavior. Some universally accepted values are freedom justice and equality. Other principles of values are love, care, honesty, integrity and self respect. Values are classified as three types. They are,
- Moral
 - Pragmatic and
 - Aesthetic
 - **Moral:** In moral-fairness, truth, love, happiness, justice can appear.
 - **Pragmatic:** In pragmatic-efficiency, health, thrift, patience can appear.
 - **Aesthetic:** In aesthetic-attractive, cold, soft can appear.
- c. **Morals:** Morals are more like principles, based on teachings and often guided by the societal and religious standards. Morals refer to the way in which people behave in relationships and in wider society.

Human values are the set of emotional rules; people follows to make the right decisions in life. When values are used in the professional setting, these are called as ethics. Values are used in every day decision making at work and at home. Good values instill the sense of integrity, honesty and the diligence in people. Without good values, people would become corrupt, dishonest and the undependable as people and the employees.

1.6.1 Evolution of Human Values

The human values evolve because of following factors:

1. An impact of norms of society on fulfillment of the individual's needs or desires.
2. Developed or modified by one's own awareness, choice, and judgment in fulfilling a needs.
3. By the teachings and practice of Preceptors (Gurus) or Saviors or the religious leaders.
4. Fostered or the modified by social leaders, rulers of kingdom and by law (government).

1.6.2 Important Human Values

Human values can be refer to principles, standards or quality considered worthwhile or desirable, which a person can be expected to demonstrate while dealing with an others. Following are some important human values;

1. Obeying the law.
2. Reflecting and the responsibility expected of all professionals.
3. Demonstrating the strong and consistent commitment to an ethical values.
4. Protecting life and the safeguarding people.
5. Commitment to community well being.
6. Care for an environment.

1.6.3 Types of Human Values

Human values can be classified as follows;

1. **Positive Values:** Truth, love, peace, creative, etc.
2. **Negative Values:** Impatience, greed, blind faith, arrogance, etc.

Human values can be classified as follows;

1. Values relating to an individual (good or bad) i.e., related to the person.
2. Values where there is normally an element of consensus implied as interms like fair, decent and tolerant.
3. Values relating to things in a sense of 'fitting' such as good pen or the good computer etc.

With reference to above values, there are two separate and important aspects:

1. How does each culture establish its current, commonly accepted values?
2. How does each person acquire an values that are unique for him or her? Given that all individual items must inevitably be strongly coloured and the broadly determined by culture in which he or she was born and bred?

An management by values highlights the concepts of 'self' in man. An ethical quantity of managerial decision making can be improved through a full understanding and internalization of doctrine of karma. All decisions can be depends critically on a purity of mind of decision, maker. Virtues held in high esteem are simlicity, scrifice, renunciation and compassion.

1.6.4 Universal Values

There are five systems of universal values that makes a human being noble, caring and kind.

1. **Peace:** When the will power is strong to discern the differences between real needs and unnecessary desires, we cease to be driven by urge to own more and more things. The state of Inner nervous stops and the remain peaceful.
2. **Right Conduct:** Right conduct is concerned with maintenance of body to serve us in performing the tasks of life.
3. **Love:** Love is a sudden reaction of the heart. It is the power of love which causes one person to wish happiness for another and take pleasure in his or well- being. Love is unconditional, positive and regard for the good of another. This is the unseen undercurrent binding all the four values.
4. **Non- violence:** Non-violence can be described as a universal love. This creates harmony with the environment. That is living in a way that causes as little harm as possible to one-self, other people, animals, plants is a sign of a well-balanced personality.
5. **Truth:** Truth is a first and vital step in the formation of a strong character. Voicing untruth is an anti-social act and causes confusion in the minds of both the speaker and listener. Telling lies hurts ourselves and others in a subtle but a real way.

1.6.5 Cultural Values

1. The groups, societies and cultures have values that are largely shared by their members.

2. Values identify those objects, conditions or characteristics that members of society consider important i.e., valuable.
3. In the western world, for example, values might includes material comfort, wealth, competition, individualism or religiosity.
4. Values of a society can be often identified by noting which people receives the honour or respect.
5. In the US, for example, the professional athletes at top levels in some sports are honored in the form of monetary payment morethan college professors.
6. Values are related to norms of a culture, but they are more general and the abstract than norms. Norms are rules for a behavior in the specific situations, while values identify what should be judged as good or evil.

Example: Flying national flag on 15th August in India is a norm, but it reflects an value of patriotism.

7. Wearing dark clothing and the appearing solemn are normative behaviors at funeral. They can be reflect the values of respect and support of friends and the family.
8. Various cultures reflect an different values. “Over last three decades, traditional-age college students have shown an increased interest in personal well-being and the decreased interest in welfare of others”. An values seem to have changed and affecting the beliefs and attitudes of the college students.

1.6.6 Humanbeing in Bigger Order

Bigger order includes the human beings, plants, air, water, soil, animals and birds etc. Value of human being is participation of human being to ensure continuity of harmony in that order. In order to understand human values, we need to study human being along with all that is there in a existence, and role of human being in relationship with each unit in a existence.

1.6.7 Fundamental Values

Four fundamental values developed by Indians about human life are,

1. Presence of divine motherhood in all women.
2. An essential divinity inherent in all life.
3. Civilization is manifestation of divinity in a man. Society is most developed where highest truths becomes the practical. An end of all work is to being out divine in ourselves by serving divine in others.
4. Religion is the manifestation of divinity already in a man. Pluraliity of religion is only on a surface. At spiritual core there is an essential unity of all of them.

1.7 CONTENT OF VALUE EDUCATION

Value education is the ladder which leads us to harmony. The contents of value education helps to understand myself and answer the questions like - Who am I? From where have I come? It also helps us to understand the difference between ambitions and aspirations.

It can be helps to discover the path to real happiness and content-
edness. It can be leads one to real laughter and the encourages positive
thinking. It can be describes the interrelationships at all levels namely,
individual, family, society, nature and the existence. Everything has its
own importance in nature and this study helps us to identity this fact
through our thoughts. We learn to live in harmony within ourselves, others
in a society and rest of nature.

- To understand myself, my aspirations, my happiness.
- To understand the goal of human life.
- To understand the other entities in nature, their inter-connectedness and co-existence and role of human being in nature.
- To understand the harmony at four levels of human living

The value education must be include as,

- i. All dimensions thought, behaviour, work and the realization.
- ii. All levels individual, family, society, nature and the existence.

1.8 ROLE OF VALUE EDUCATION

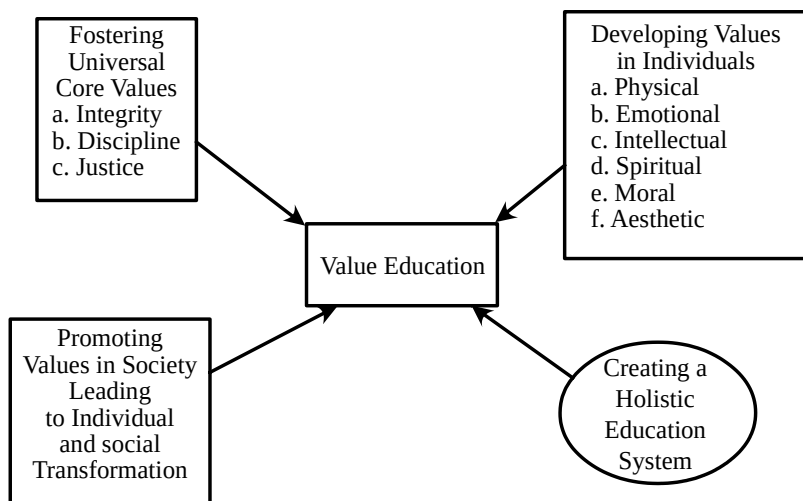


Figure-1.2

An value education plays the very important role in creating the better society, more ethical organizations and groups and better human beings.

1. Value education can be helps to build human beings who possess strength, integrity and fortitude.
2. Value education builds an values of cooperation and peace as well as the tolerance.
3. An efficiency can be step up when the person possesses the right values. It can be include punctuality, keeping one's word, professionalism, lack of bias or prejudice etc.
4. Promoting an personality development and the social cohesion.
5. Creating the cordial relationships between people by encouraging an values of respect, love and the affection.
6. Building character in the young people who will lead the country in the future.
7. Regeneration values of the national pride and the integration towards nation- building.
8. Promoting harmony between nations and creating a peaceful world order.

9. Identifying an core universal values of:
 - a. Truth (Satya)
 - b. Righteous Conduct (Dharma)
 - c. Peace (Shanti)
 - d. Love (Prema) and
 - e. Non-Violence (Ahimsa)
10. To help create a foundation of quality of life and the strike a balance between external and an internal values. Hence, the value of education can be plays the significant role in a betterment of individuals, groups and society at large.

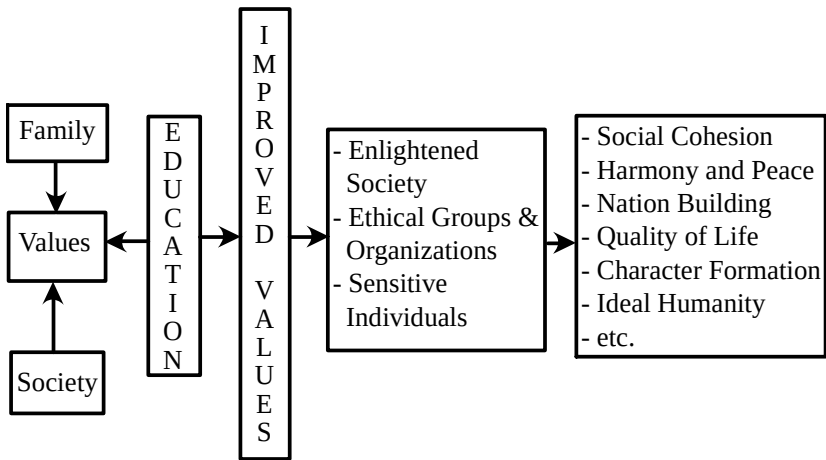


Figure-1.3

1.9 NEED FOR VALUE EDUCATION

The value education is necessary to:

1. Identity the our aspirations correctly.
2. Understand the universal human values for continuous prosperity.
3. To value complements with an skills
4. To evaluate our beliefs
5. Use technology to evaluate human values for human welfare

Value education is an crucial missing link in the present education system. It deals with fundamentals of human values that aim at fulfilling the needs of humans and society. It can be helps to understand and visualize a desirable content for the human happiness.

It can be liberates the human misery and sufferings by establishing character of the technology for human welfare. It can be helps impart right knowledge or insight to identify an important virtues of life. It can be helps confront serious maladies and become aware of dangers and the initiate alternative solutions. An subject that can be enables us to understand 'what is valuable' for human happiness is called as value education. Need for value education is,

1. **Correct Identification of our Aspirations:** Subject which can be enables us to understand 'what is valuable' for human happiness is called as 'value education' (VE). It can be enables us to understand our needs and the visualize our goals correctly and also indicates the direction for their fulfilment. It can also be helps to remove our confusions and contra-dictions and bring harmony at all levels.
2. **Understanding Universal Human Values to Fulfil our Aspirations in Continuity:** Values form the basis for all our thoughts, behaviours and the actions. Once we know what is valuable to us, these values becomes the basis and the anchor for our actions.

We also need to understand a universality of different human values, because only then we can have the definite and common program for the value education. Then only we can be assured of a happy and the harmonious human society.

3. **Complimentarity of Values and Skills:** To fulfil our aspirations both values and the skills are necessary. If we identify and set the right goals and produced in a right direction. It is known as value domain, the domain of wisdom, and when we learn and practices to actualize this goal to develop techniques to snake this happen in a real life in different dimensions of human endeavour (struggle). It is known as domain of skills.

Thus, there is an essential complementarity between values and the skills for an success of any human endeavour. For example, I want to lead a healthy life. Only wishing for the good health will not help me keep my body fit and healthy and without having understood the meaning of health, I will not be able to choose things correctly to keep my body fit and the healthy.

4. **Evaluation of Our Beliefs:** Each one of us believes in a certain things and we base our values on these beliefs, be they false or true which may or may not be true in reality. These believes come to us from what we read, see, hear, what our parents tells us our friends talk about, what the magazines talk of, what we see from TV etc. The value Education helps as to evaluate our beliefs and can be assumed the values.
5. **Technology and Human Values:** Present education system has become largely skill-based. Prime emphasis is on science and the technology. Science and technology can only helps to provide the means to achieve what is considered as valuable.

It is not within a scope of the science and technology to provide a competence of deciding what really is valuable. An value Education is a crucial missing link in a present education system. Became of this deficiency, most of our efforts can be prove to be counter productive and the serious crises at the individual, societal and an environmental level are manifesting.

6. **Technical and Other Professional Institutions:** The subject that enables us to understand 'what is valuable' for human happiness is called as value education. Present education system has become largely skill-based. Prime emphasis is on science and the technology.
 - a. Science and technology can only help us to provide the means to achieve what is considered valuable.
 - b. It is not within a scope of science and technology to provides the competence of deciding what really is valuable.
 - c. The value Education is a crucial missing link in a present education system. Because of this deficiency, most of our efforts may prove to be counter productive and the serious crises at individual, societal and the environmental level are manifesting.

7. **Students and Teachers:** Teachers pass values to students both consciously and unconsciously through their conduct in and out of class rooms. Thus, the need for a consciously planned value education program is obvious to establish the formal learning.

Students might face more complicated decision making situations about issues involving values. They should be helped in developing the ability to make proper choices in such situations through value education.

1.9.1 Basic Guidelines for Value Education

Definition: Value Education is “the education that addresses questions like - How to live lifewell? How to find happiness? How to make others happy? How to manage all kinds of peopleand happenings? How to grow and succeed in the right manner?” The Basic Guidelines for value-education are:

- (a) Universal Outlook
 - (b) Rationalism.
 - (c) Natural and verifiable
 - (d) All Encompassing
 - (e) Harmony.
 - (f) Sustainability
 - (g) Sensitivity to other human begins
- (a) **Universal:** It needs to be applicable to all the human beings irrespective of cast, creed, nationalities, religion, etc., for all times and regions.
- (b) **Rational:** It has to appeal to human reasoning. It has to be amenable to reasoning and not based on dogmas or blind beliefs.
- (c) **Natural and Verifiable:** It has to be naturally acceptable to the human being who goes through the course and when we live on the basis of such values it leads to our happiness. It needs to be experientially verifiable, and not based on dogmas, beliefs or assumptions.
- (d) **All Encompassing:** Value education is aimed at transforming our consciousness and living. Hence, it needs to cover all the dimensions (thought, behaviour, work and realization) and levels (individual, family, society, nature and existence) of human life and profession.

- (d) **Leading to Harmony:** The value education ultimately is targeted to promote harmony within the individual, among human beings and with nature.
- (e) **Sustainability:** Value education should inculcate the concept of sustainability among the various individuals. Sustainability aims at use of material resources without causing harm or depletion or denying them for the future generation.
- (f) **Sensitivity to other human beings and creatures:** Value education should develop sensitivity among individuals for other human beings and creatures. It should lead one to realize and understand that the other persons belonging to different caste, community, creed or country are the same at the level of consciousness. Each one of us has unique existence and essence. With this understanding, one is likely to become harmless being and will not inflict harm among other persons and creatures.

1.10 CONTENT AND PROCESS OF VALUE EDUCATION

Process of Value Education: The process of value education is that of self-exploration which means the self-investigation or self-attentiveness. This is a process of discovering your inner-self, being in harmony with an oneself and living in harmony with an others.

The process for Value Education has to be that of a Self-exploration, and not of giving sermons or telling dos & don'ts. Whatever is found as truth or reality may be stated as proposal and every student is to be encouraged to verify it on his/her own right. This process of Self-exploration has to be in the form of a dialogue. The dialogue between the teacher and students to begin with and within the student finally.

1.10.1 Preconditioning

The Preconditioning is assumptions on certain things that have been accumulated as desires without an pre-evaluation. Preconditioning arise due to non-evaluation of belief's and the assumptions that are kept as secretes. One does not bother to evaluate them as the conflict arises. It can be leads to non- fulfillment of relationships with an surroundings.

Sources of preconditioning are,

1. Scriptures
2. Other's experimental assumptions and
3. Statement from unreliable sources.

It can be resolved by:

1. Verifying one's assumptions based on the natural acceptance and the validation.
2. Testing for assurance, satisfaction and the universality.
3. Knowledge remains intact and is not distributed by the external circumstances.
4. Naturally acceptable by the self expression.

1.10.2 Ways to Apply our Personal Core values in Daily Life

The way to daily application of our core values is to establish behaviour that keeps us front of mind. We want to find the opportunities that will lead to our success and prevent decisions that will get us into trouble. So, here are the methods that we use to make sure that our values take root and precedent.

1. **Put them where you can see them:** Our core values are all a single word so they are easy to apply in multiple places. But they are four to seven word phrases we can still put them on post it notes, our screen saver, home screen, and anywhere else i.e., in our line of sight.
2. **Discuss them with class family and friends:** Our core values take on life when you have deep discussions about them. Share them with our significant other and our best friend. Get in the habit of using them to describe our thoughts, feelings and behaviours. Our core value of truth is an important topic when dealing with the critical people in our life. The more intimate the discussion, the more the values will comfortably settle into our soul.
3. **Put the Right people in our life:** The most impactful way to use core values is to manage the company. Other people don't have to share our core values, but they do need to fit them. The most important core value is creativity. We don't require all people in our

life to be creative, but we do require them to be supportive of a creative approach. Otherwise, we know we will have useless conflict. Time is a limited commodity that other people consume. Use our valuable core values to make sure our time is being spent with people worthy of our values.

4. **Assess our daily tasks each morning:** Core values are great filters that help we make good decisions. When we list out our daily activities, we use our values to evaluate whether or not they are the right things for us to be doing. Make sure every thing we do is consistent with whom we are and we will find our day running and effectively.
5. **Integrate them into our regular conversations:** Core values take on a whole new life when they become an integrated part of our dialogue. Even casual conversation spurs opportunity to express ourself through value speak. Since consistency is one of our values, we often use that word to explain why we must stay true to our own writings even when it feels unnatural.
6. **Apply them an key motivators:** Our personal core values are the basis for determining our preferred future. Every opportunity and goal should be looked at through the lens of our core values we will create unnecessary self-conflict and struggle on our life journey. Take a day or two each quarter to do strategic planning and really think about how our life objectives and core values fit together. As long as they are in sync, our mind and soul can work together to accomplish great things.
7. **Evaluate our day at bed time:** The only way lo truly improve is to see where we have strayed from the perfect path. Every day we take time to often prayer and determine it our behaviour was consistent with our core values. Here we apply and core values of Diligence and thoroughly examine our day to transgression. Because we are humans, there is always some thing we could have done better, so we consider the better alternative and took improve tomarrow. No need to beat ourselves up.

1.10.3 Ways to Select Choice Making

The important thing to remember is that we are a product of the choices we make. Each decision helps to define who we are and how we were different from one another. Making good choices begins with taking charge of the decision-making process.

The followings are the ways to make good choice.

1. **Manage the big stuff:** It is very easy to get sidetracked by insignificant issues in life. If you spend a lot of time on trivial stuff; we won't have time to contemplate things that matter.
2. **Values matter:** Make decisions that are consistent with our core beliefs and values. The alternative invariably leads to regret.
3. **Learn from the past:** Learn from our experiences and the experiences of others. Identify situations, where you have had a similar choice in the past. How can you apply those lessons learned to the existing situation.
4. **Know what we know and what we do not know:** Don't try to be an expert in everything. Seek input and advice when variables lie outside our comfort zone.
5. **Keep the right perspective:** View an issue from every angle. What do the facts say? What is our intuition telling us? Is our conscience trying to tell us something listen up?
6. **Don't procrastinate:** We will rarely have all the information that we need to make a 'perfect' decision. So we do not demand perfection. The philosopher Voltaire warned against letting the perfect be the enemy of the good. That advice still holds true today.
7. **Once you make a decision, don't look back, make it work:** Don't second-guess ourselves. We can't relive the past, It is a waste of valuable time and energy.

1.11 PROSPERITY AS PARTS OF VALUE EDUCATION

Prosperity: This is the state of flourishing, thriving, success or good fortune. A prosperity often encompasses not only wealth to varying degrees like happiness and health.

Prosperity is related with material things/physical facilities that are having, when we are able to serve to needs of a body adequately, we feel prosperous. This prosperity is an feeling of adequacy or abidance of physical facilities. The word means the sum of three aspects health, wealth and wisdom, Prosperity is the state of enlightenment towards better life and towards happy society.

Wealth: Wealth is a physical thing. It means having money, or having a lot of physical facilities, or having both.

Prosperity Vs Wealth: Wealth means possessing more number of physical things while Prosperity is a feeling of possessing more than required physical facilities.

Possibilities

- A person may not possess required physical facilities, so he may not feel the prosperous.
- A person may accumulate more and more wealth but still he can be deprived of feeling of prosperity.
- A person may have required wealth and the feel prosperous.

This is the feeling of having more physical facilities than required. An prosperity creates the desire to share what one posseses. Thus, the need for physical facilities is limitless, the feeling of prosperity cannot be assured.

An prosperity is a feeling of happiness availed through the physical facilities that are limited and can be evaluated quantitatively. Wealth is an physical thing which could be money or any other physical things. It can be determines the desires of a human being as physical thing. An accumulating wealth may not leads to happiness as it makes one feel deprived even when sufficient quantity can be available.

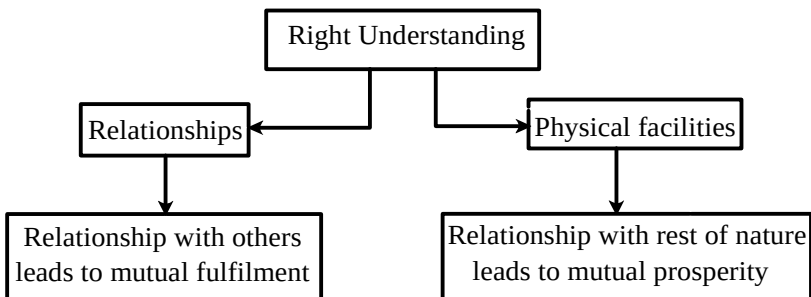


Figure-1.4

Prosperity is to feel happy after the certain desired wealth can be earned and there is no greed to acquire more wealth. It is a feeling of having more than required that gives satisfaction from available physical things. Three basic requirements to ensure happiness and prosperity for human beings are,

1. Right understanding
2. Relationship and
3. Physical facilities

Our basic aspirations are happiness (mutual fulfilment) and prosperity (mutual prosperity). Happiness is ensured by the relationships with other human beings and prosperity is ensured by working on physical facilities.

1. **Right Understanding:** This refers to higher order human skills, the need to learn and utilize our intelligence most effectively. The 'right understanding' will be enable us to work out our requirements for physical facilities and hence correctly distinguish the difference between wealth and the prosperity. Right understanding means understanding the harmony at all. These are four levels of our living.
 - a. Myself
 - b. Family
 - c. Society
 - d. Nature/Existence
2. **Good Relationships:** It refers to the interpersonal relationships that a person builds in his or her life at home, at workplace and in society. Right understanding helps him to develop healthy relations and also to know an expectations involved in relationship.
3. **Physical Facilities:** It includes the physiological needs of individuals and indicates the necessities as well as comforts of life. It means the feeling of having or being able to have more physical facilities than is needed.

Examples: Good clothes, shelter and protection etc.

Thus we can say that when we use right understanding with relationships it gives us mutual fulfillment because if we have right understanding, then we can be happy in ourselves and work to have fulfilling relationships with humans and mutual prosperity with nature. If we do not have the right understanding, then we have problems. Thus, our happiness depends on a fulfillment of these three basic requirements.

- Right understanding + Relationship = Mutual fulfillment or happiness.
- Right understanding + Physical facilities = Mutual prosperity.

This order will ensure mutual fulfillment with an human beings and mutual prosperity with an rest of a nature.

- Mutual fulfillment = Right understanding + Relationship
- Mutual prosperity = Right understanding + physical facilities.

Physical facilities are necessary and complete for animals, while they are necessary but not complete for humans. It is easy to verify.

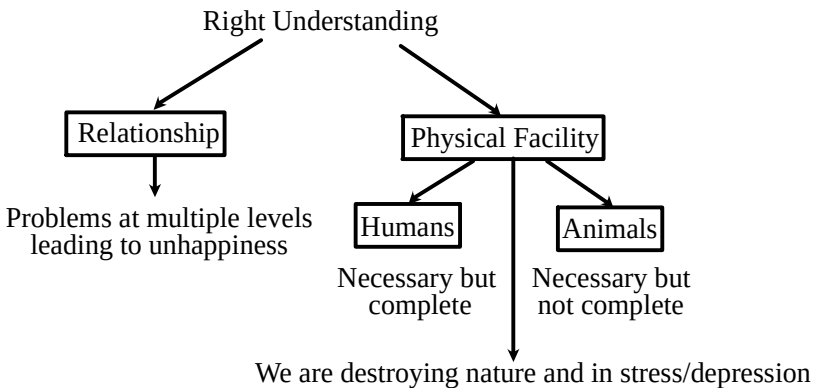


Figure-1.5

1.11.1 Physical Facilities for Animals and Humans

Animals need physical things to survive, mainly to take care of their body. For example, cow will look for food when it is hungry. Once it gets the grass or fodder. It eats it, sits around to chew at leisure. Hence, we can say that as long as animals have physical things, these are largely fine. They don't desire other things like knowledge or a peaceful animal society or getting a good MBA.

While physical facilities are necessary for human beings, these are not complete by themselves to fulfill our needs. Our needs are more than just physical facilities. We all have other needs, other plans, perhaps we think of going to a movie or reading a book, or go to college, or watch some TV, or spend time with family and friends this list is endless. Thus it is easy to see that while physical facilities are necessary for us human beings, they are not complete by themselves to fulfill all our needs.

Giving all priorities to physical facilities only can be termed as 'Animal consciousness'

1. For animal, physical facility is necessary as well as complete whereas for human beings it is necessary but not complete.
2. Working only for physical facilities is living with an Animal Consciousness.

Hence we can say that for animals – "Physical facilities are necessary and complete."

For humans "Physical facilities are necessary but not complete."

Giving all priorities to physical facilities only, or to live solely on a basis of physical facilities, may be termed as 'Animal Consciousness'. Living with all three; Right understanding, Relationship and Physical facilities is called as 'Human Consciousness'.

3. Working for right understanding as first priority followed by relationship and the physical facilities implies living with an Human Consciousness.
4. There is a need for transformation from Animal Consciousness to Human Consciousness. It can be accomplished only by working for right understanding as the first priority.
5. This transformation from Animal conscious to human consciousness forms the basis for human values based living

Requirement	Animal	Human being
Necessary	Yes	Yes
Complete	Yes	No

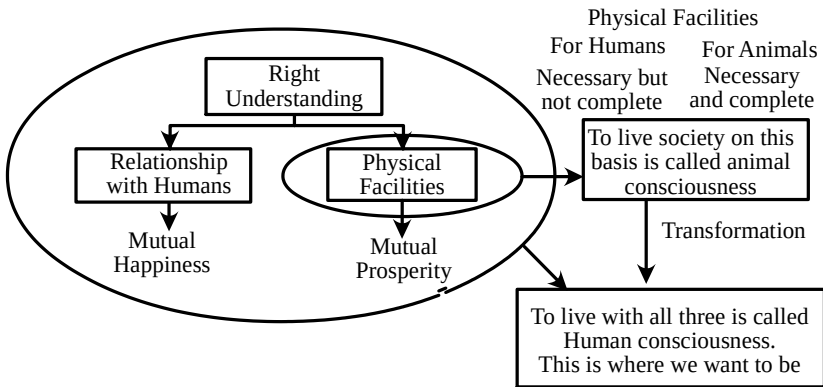


Figure-1.6

- **Relationship:** The relationship we have with other people, or human beings like Mother, brother and sisters, our friends our teachers we desire good relationships with all of them,
- **Mutual Fulfillment:** If there is a problem in relationship, we feel uneasy, it bothers us. Even when we are interacting with someone, and something we said or did offends them, it makes us uneasy i.e., we want mutual fulfillment in relationship.
- **Prosperity in us, Enrichment in Nature:** Prosperity means the feeling of having or being able to have more physical facilities than is needed. When we don't have the feeling of prosperity we will exploit others. Similarly as we interact with nature for our various physical needs either exploit nature or enrich it. Our natural acceptance is that we want to live in harmony with nature.

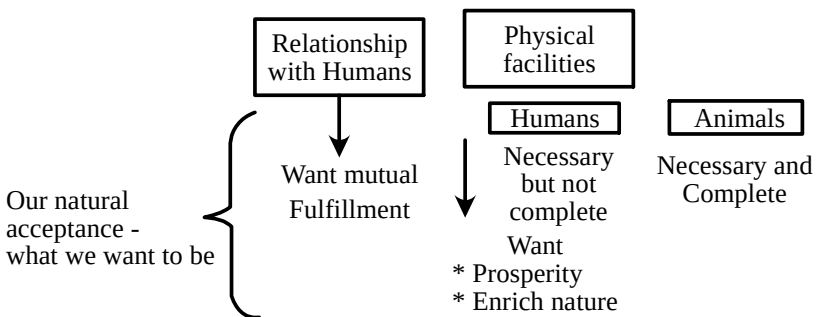


Figure-1.7

1.11.2 Basic Human Aspirations

We desire for many things in this world, say materialistic needs, respect, recognition, love and trust etc., but in the form of all these we aspire for true and continuous happiness and the prosperity.

Happiness: “To be in a state of liking is happiness”. To be in a state of harmony is happiness.

Prosperity: Feeling of having more than required physical facility.

For prosperity two things are required. These are,

1. Identification of quantity required for physical needs
2. Ensuring availability/production

Happiness can be described as consisting of positive emotions and positive activities. There may be three kinds of happiness:

- a. Plenum
- b. Engagement, and
- c. Meaning

In other words, freedom from want and distress, consciousness of the good order of things, assurance of one’s place in a universe or society, inner peace and so forth. The happiness is the state of mind, where we feel good in most of walk of life.

Happiness is a very desirable state. Happiness is contagious i.e., when you are happy then only you can spread happiness. In order to attain happiness we must prioritize happiness. There are two paths which leads one to happiness.

- i) **Preya:** What is pleasant? It gives instant happiness. For example, eating good food in a restaurant, wearing nice clothes etc. Happiness thus can be attained is short lived and does not last for long.
- ii) **Shreya:** What is beneficial? Though this path does not give instant happiness but it can be leads one to path of enduring happiness. It can be provides happiness in a long run. For example, working hard for your exams and getting the good result, adjustment in a family which leads to the stronger relationships. True happiness is always leads to peace of a mind.

1.11.3 Our State Today in Human Aspiration

In relationship with humans, there are unfulfilling relationships with family, society and the world at large. Most of them end up working only for accumulation of wealth and exploiting and destroying nature through one wants to feel prosperous and enrich nature relationship.

Prevailing Notions of Happiness and Prosperity

In a modern world, the desire for physical facilities has become unlimited. Physical facilities are no longer seen as objects fulfilling bodily needs but as a means of maximizing happiness. It can be unlimited desire for physical facilities has become anti-ecological and anti-people endangering human survival itself. False notions of happiness and Prosperity can be affected human living at all four levels:

1. **At the Level of Individual:** Problems of depression, psychological disorders, suicides, stress, insecurity, psycho-somatic diseases and loneliness etc.
2. **At the Level of Family:** Breaking of Joint families, mistrust, conflict between older and younger generations, insecurity in relationships, divorce, dowry tortures, family feuds, wasteful expenditures in family functions etc.
3. **At the Level of Society:** Terrorism, naxalism, communism, casteism, racial, ethnic struggles, wars between nations, genocide, nuclear genetic warfare.
4. **At the Level of Nature:** Global Warming, pollution, depletion of mineral resources, deforestation, loss of soil fertility.

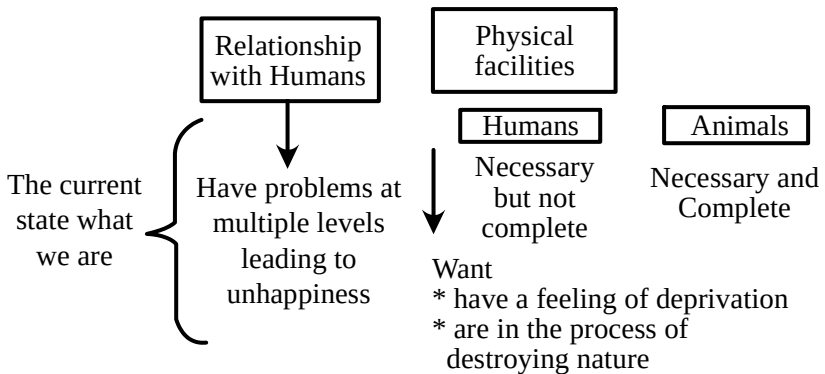


Figure-1.8

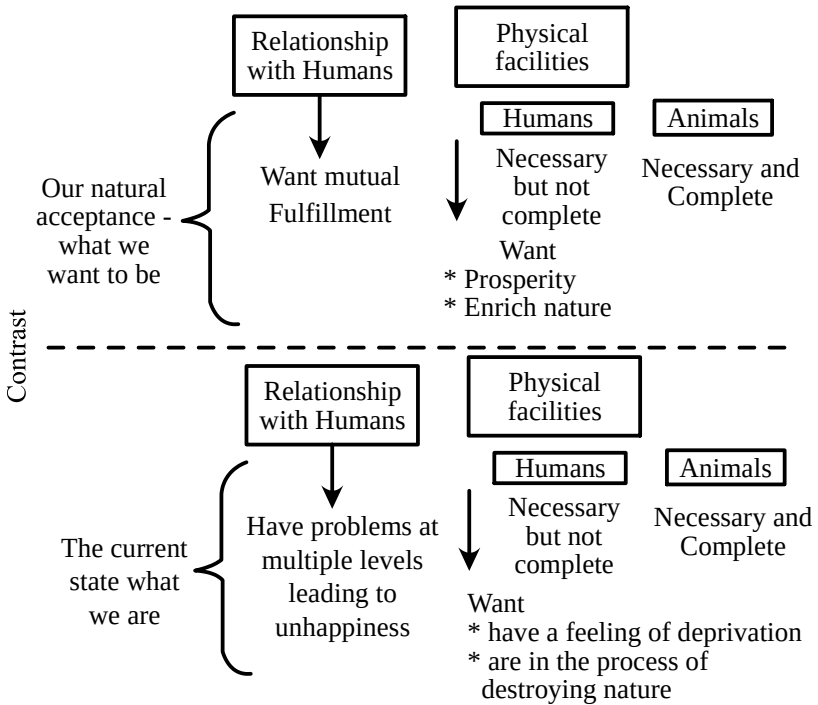


Figure-1.9

1.11.4 Need for Right Understanding

In order to resolve the issues in human relationships, we need to understand them first and this would come from an 'right understanding of relationship'. Similarly in order to be prosperous and to enrich nature, we need to have 'right understanding'.

'Right understanding' will be enable us to work out our requirements for physical facilities and hence correctly distinguish the difference between wealth and prosperity. With nature as well, we need to understand the harmony in nature, and how we can complement this harmony.

Example-7: "Physical facilities are necessary and complete for animals, while they are necessary but not complete for humans". Comment.

Ans.

Animals need physical thing to survive and only to take care of their body. As long as physical things like food are available, they are fine. They do not have any other desire live know-ledge, wealth, power etc.

In case of humans, even if physical things like food is available, they desire for other physical things such as book to read, movie to watch, vehicle to travel, time with family and friends etc. the needs of fulfill the desire goes on until they find happiness. They seen relationship for mutual fulfill-ment of their aspirations.

1.11.5 Why is Happiness so Important to All of Us?

1. As we become happier, we become better people.
2. We are able to enhance our creativity.
3. As we become happier, we become more compassionate.
4. We feel more energetic and perform our task an efficiently.
5. We develop an healthy mind and develop right understanding.
6. We can work towards the creating a 'better' world.

1.11.6 Differences between Prosperity and Wealth

Prosperity is a feeling of having more than required physical facilities; it is not just physical facilities. Almost all of us feel that wealth alone means prosperity and try to explain this phenomenon on this nonexistent or half fact.

Wealth is a physical thing. It means having money, or having a lot of physical facilities or both. This is a very important distinction. We mostly fail to make this distinction today. We keep working for wealth, without realizing that the basic desire is for the feeling of prosperity to have a feeling of having enough. All our physical facilities are directly or indirectly depends on a nature. Continuity of our prosperity can be ensured only if our production systems are in a harmony with a nature. It means by using natural resources in a renewable manner and utilizes appropriate technologies so that human needs are satisfied and nature is also enriched.

Prosperity is more acceptable to us because wealth is just a part of prosperity. We are trying to achieve happiness and prosperity by maximizing accumulation and consumption of physical facilities. It is becoming anti-ecological and anti-people, and threatening the human survival itself. A person has lot of money, but does not want to share even a bit of it. The person 'has wealth' but feels 'deprived'. If one felt prosperous he/she would have shared what one has, since there is lot more than enough wealth anyway.

We are trying to achieve happiness and prosperity by maximizing accumulation and consumption of physical facilities. It is becoming anti-ecological and anti-people, and threatening the human survival itself. For prosperity, two things are required. Those are,

1. Identification of required quantity of physical facilities, and
2. Ensuring availability/production of morethan required physical facilities.

Prosperity is state of enlightenment towards better life and towards the happy society.

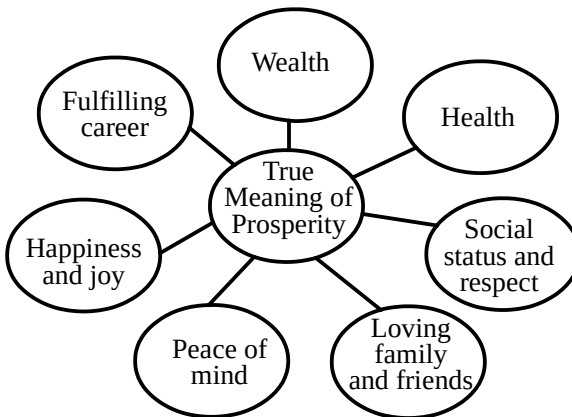


Figure-1.10

To achieve our basic aspiration we need to work for right understanding as base to which we can work for relationship and then physical facilities. Today we are not working accordingly to this that why we can see that there are two kinds of people in a world.

1. Those that do not have physical facilities/wealth and feel unhappy and deprived i.e., SVDD Sadhan Viheen Dukhi Daridra- Materially deficient, unhappy and deprived.

2. Those that have physical facilities /wealth and feel unhappy and deprived i.e., SSDD.

1.11.7 SVDD, SSDD, SSSS

Abbreviations stands for:

- SVDD = Sadhan Viheen Dukhi Daridra
- SSDD = Sadhan Sampann Dukhi Daridra
- SSSS = Sadhan Sampann Sukhi Samridh
- SVDD belongs to category of people lacking physical facilities and are unhappy.
- SSDD belongs to category of people having physical facilities but are unhappy.
- SSSS belongs to category of people having both physical facilities and are feeling happy and prosperous.

The reason for people being in the state of SSDD is that they have accumulated enough wealth but lack right understanding to have relationship with other humans.

To achieve our basic aspirations we need to work for right understanding as base on which we can work for relationship and then physical facilities. Today we are not working according to this that why we can see that there are two kind of people in the world.

- a. Those that do not have physical facilities/wealth and feel unhappy and deprived i.e., SVDD: Sadhan Viheen Dukhi Daridra – Materially Deficient, Unhappy and Deprived.
- b. Those that have physical facilities/wealth and feel unhappy and deprived i.e., SSDD: Sadhan Sampann Dukhi Daridra – Materially Affluent, Unhappy and Deprived. But these are states we don't want to be in. We want to move from this to third category.
- c. Having physical facilities and feeling happy and prosperous i.e., SSSS: Sadhan Sampann Sukhi Samriddha – Materially Adequate, Happy and Prosperous.

Presently, as we look around, we find most of the people in the above two categories called SVDD and SSDD, while the natural acceptance of all human beings is to be in the category of SSSS.

1. SVDD: Sadhan Viheen Dukhi Daridra

These words in their usual meanings stands for

Sadhan	- Means to acquire
Viheen	- Lack of, deprived of
Dukhi	- Sadness
Daridra	- Poverty

Before we come to the explanation of this topic we should have a clear understanding of “desires. Desires are of two kinds. They are,

- a. Materialistic
 - b. Non-materialistic.
- a. **Materialistic Desires:** It comprises of food, shelter, clothes and physical facilities which are quantifiable. We do not desire them constantly but need an interval before we need them again.
- b. **Non-materialistic Desires:** It is qualitative in nature such as respect, trust, happiness, recognition and peace etc. We desire them endlessly and limitlessly.

Sadhan Viheen Dukhi Daridra is simply refers to a condition of a person who does not have the means to fulfill even his materialistic desires. The lack of means is the cause of unhappiness. If these desires are not met, then it becomes difficult for an individual to survive in this materialistic world. For example, if a person is not able to get food, his hunger will not allow him to live happily.

2. SSDD (Sadhan Sampann Dukhi Daridra)

It is well said that money is not all that matters. There are different other parameters on which the happiness of a person depends. Sadhan Sampann Dukhi Daridra signifies a state of person in which he has all means to acquire materialistic requirements of life, but still he is not happy. He still feels that something is lacking in his life.

For example, the rich man with all luxuries of a world living alone feels unhappy. This is because he has no one with whom he can share his feelings of joy and sorrow. In his pursuit towards success he has left all his relations behind him, working constantly to acquire the physical facilities. Achievement is what he got, but not alone, it was accompanied by sour relations and isolation.

Today, we are conditioned to think that being prosperous is having loads of money. Money is a very small part of our needs which suffices only to enhance our physical capabilities. An individual needs trust, respect, affection, care, guidance, reverence, glory, gratitude and love. Money can only provide care. As it is well said,

Money can buy a bed, but not sleep.

Money can buy good food, but not appetite.

Money can buy things, but not character and happiness.

.....

3. SSSS (Sadhan Sampann Sukhi Samridhha)

Sadhan Sampann signifies an availability of physical facilities. Sukhi Samridhha signifies continuous happiness and prosperity. It is the goal of every human being. Every individual aspires to be in this state of continuous happiness and prosperity.

To achieve this state what we require right understands. Right understanding is necessary so as to verify that all our ideas are naturally acceptable to us and they lead to mutual happiness when dealing with other human beings and mutual prosperity when dealing with the rest of nature.

When there is mutual happiness, there will be no case where a human being will want to hurt another human being and so happiness will prevail all around. If we have right understanding and prosperity in family, there is nothing to be afraid of in the society.

1.12 OUTCOMES

- Understand the value of education and basic guidelines of value education.
- Analyse the way of provoking issues and need for values in daily life.
- Understand the prosperity creates the desire to share what one possesses.
- Understand the classification of value education like Personal, Social, Moral, Spiritual and Behavioural Values.

1.13 REVIEW QUESTIONS

I. Long Answer Questions

1. What are the basic requirements to fulfill human aspirations? Indicate their correct priority.

2. Write a short notes on process of value education.
3. List the characteristics of natural acceptance.
4. What is the difference between prosperity and wealth?
5. There are many problems manifest today at the level of individual, family, society and the nature. Identify some of these problems humans suffer from.

II. Short Answer Questions

1. Define the values.
2. Write the important human values.
3. What are different types of human values?
4. What is the value education?
5. How the values are classified?
6. Explain the need for value education.
7. What are the guidelines for the value education?
8. What are Human Values?
9. Explain the content of value education.
10. What do you understand by prosperity? How are they related? What is the difference prosperity and wealth?

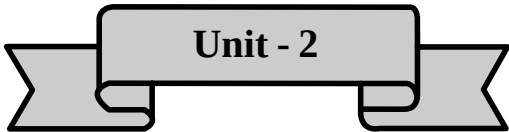
1.14 MULTIPLE CHOICE QUESTIONS

1. ____are a set of principles or standards of behavior. ()
(a) Values (b) moral (c) Ethic (d) none
2. The subject that enables us to understand 'what is valuable' for human happiness is called ____education. ()
(a) moral (b) Values (c) Ethic (d) none
3. ____values are local, parochial and temporary in application. ()
(a) Personal (b) Moral (c) Social (d) Spiritual
4. ____values refer to all good manners that are needed to make our life successful and joyous. ()
(a) Behavioural (b) Personal and Social
(c) Moral (d) Spiritual

5. The value of _____ is the participation of human being to ensure the continuity of harmony in that order. ()
(a) Animals (b) human being
(c) Universal (d) none
6. _____ of value education is that of self-exploration which means self-investigation or self-attentiveness. ()
(a) Process (b) content
(c) Measures (d) understanding
7. Education today is only concerned to earn ()
(a) Salvation (b) Good Character
(c) Sound relations (d) Bread and butter
8. Value education should be universal . It implies that ()
(a) It is applicable to all people only
(b) It is applicable at all places only
(c) It is applicable at all times only
(d) It is applicable to every individual for all time and space
9. The value education must be include as ()
(a) All dimensions thought, behaviour, work & realization and
(b) All levels individual, family, society, nature & existence.
(c) a and b
(d) All levels individual, family and society only
10. Value education leads a human being to _____ ()
(a) Body (b) Psyche
(c) Health (d) Harmony

Answers

1. (a)	2. (b)	3. (c)	4. (a)
5. (b)	6. (a)	7. (d)	8. (d)
9. (c)	10. (d)		

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Unit - 2

HARMONY IN THE FAMILY

2.0 OBJECTIVES

After completion of this unit we should be able to understand :

- Human - Human relationship and importance of family.
- How can competition can leads to harmony?
- Basics for respect and today's Crisis like Affection, Care, Guidance, Reverence, Glory, Gratitude and Love.
- Five dimensions of Human Endeavour.

2.1 INTRODUCTION

We live in a family. In family we have relationships where we interact with an other human beings. Family is the foundation of society and provides the basis of continuity of human tradition on a earth. Everyone is born and lives in such relationships. This is an indivisible part of living. Human is co-existence of self and the body. It is a self that understands and has feelings.

Self recognizes the relationship. Hence, the relationship exists between self and the other self. Relation to the body is through self. Feelings in relationship is a natural. These are neither created nor removed. These feelings are basis of relationship and can be recognizes. Feelings in relationships are actually definite and not vague.

These relationships have values like trust, respect, affection etc. Understanding that relationship which exists between self and the other's self, people know that the relationships are not limited in the family but extended to include all the human beings. The basic human aspiration of every human being is continuous happiness and prosperity. The happiness lies in understanding and living in harmony at levels of society.

2.2 HARMONY

Harmony in the family is the building block for harmony in the society. Harmony in the society can be leads to an undivided society when we feel related with an each other. Harmony in the family can be maintained if each and every member of the family feels that he/she is needed and their individual goals and aspirations get the space to flourish and prosper. We can achieve harmony in relationships by the acknowledgement of other person as an individual. We must not use our relationships to fulfill our expectations.

"Grow and let grow"

It should be the golden rule of a successful rapport.

The harmony brings within us a sense of belonging which cannot be recreated by something else.

"You cannot make a plant grow in soil unsuited to it".

It can be clearly indicates that to be in a state of innate happiness and prosperity one should live in the harmony.

Living a life that counts can be determined by,

1. Relationships that 'I' form.
2. The decisions that 'I' make.
3. The experiences that 'I' encounter.

When you are not doing something with your life, then it doesn't matter how long you live. When you're not doing something with your life, then it doesn't matter how short your life can be. The life is not measured by years lived but by its usefulness.

When you are giving, living, serving helping, encouraging and adding value to an others, then you are living the life, that counts. The relationships

with people around us are perhaps a most precious and cherished things that bring meaning to the life.

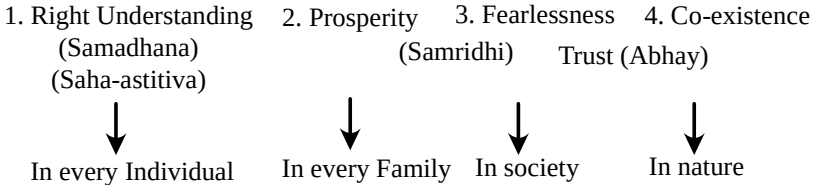


Figure-2.1

Harmony in a society can be promoted by ensuring justice among the relationships. It leads to trust and courage for a dual in a society to live in a harmony with an others.

Preservation of a nature by enriching protection and right utilization leads coexistence in nature. Moving or production is carried out in harmony with nature thus leading to harmony in coexistence with nature.

2.2.1 Harmony in Society

Society or human society is the set of relations among people, including their social status and the roles. By extension, society can be denotes the people of a region or country. Sometime even the world, taken as the whole. Used in a sense of an association, the society is a body of individuals outlined by an bounds of functional interdependence possibly comprising characteristics like national or cultural identity, social solidarity, language or hierarchical organization.

An human societies are characterized by patterns of relationships between individuals sharing a distinctive culture and the institutions. Like other communities or the groups, the society can be allows its members to achieve needs or wishes they could not fulfill alone.

World society can also be refer to an organized voluntary association of people for religious benevolent, cultural, scientific, political, patriotic or other purpose. Today the term society is currently used to cover both the number of political and the scientific connotations as well as variety of association.

2.2.2 Extended Relationship from Family to Society

To understand our relationship in a family and live harmoniously in these relationships, we become aware of our relatedness to all the human

beings. Family is a first place to understand our relationships, recognizing the feeling in an these relationship live according to these feelings and attains the mutual happiness. Our natural acceptance is to feel and it can be related to everyone. We can be easily explore this within ourselves.

Our competence might be limited at the moment and we might feel we are unable to do so but we spontaneously accept that we wish for their we wish for their happiness as well, along with an ours; this is our intention. We expect same from an other. We feel related when we are with people who feel related to us and we enjoy the feeling of assurance and in this social web. An harmony in a family is the family building for harmony in the society.

The harmony in society can be leads to an undivided society with each and every human being. Our natural acceptance is for relatedness with all and we can very naturally expend into a world family. It is the basis of an undivided society (akhanad sarnaja), the feeling of relatedness with all. If we begin to understand and become aware of a harmony at this level in our living, we begin to see our responsibility and the participation.

2.2.3 Harmony from Family to World Family

Justice (recognition of feelings in a relationship, its fulfillment, evaluation happiness) starts from family and slowly expands to a world family. In family, we learn relationship, the definite feelings or values and learn how to fulfill them.

If we do not understand values in relationship, we are governed by our petty prejudices and conditionings. This leads fragmented society while our natural acceptance is for an undivided society

2.3 HARMONY IN NATURE

An aggregate of all mutually interacting units big or small, sentient or insentient together can be called as the nature. These units are infinite in a number and we could easily observe that there exists the dynamic balance, self regulation among all these units. This self regulation is a harmony or the balance in a nature.

Law of nature has a unique cause and the effect system which must be understood in order to be in harmony with natural law of things. Natural harmony is necessary for the following reasons:

1. Natural harmony is necessary to solve a problem of global warming and the depletion of non-renewable natural resource can be avoided.
2. Natural harmony with trees cure all problems such as reduction of wind velocity, energy savings, doing companion planting, development of an eco-subsystem in terms of establishing the forest garden, reduction of a building heat.
3. This is possible to achieve natural harmony in a establishment, maintenance and the management of an educational institution such as schools, colleges and the universities.
4. One can understand the depths of a harmony and alignment in a natural by contemplating and the reflecting upon a natural order. This is possible to unravel the mystery of a natural synthesis in a midst of ongoing chaos at the material plane.

2.4 HARMONY IN THE FAMILY

Family is the fundamental unit in a entire social structure. Family is the group where individuals share space within an atmosphere of mutual empathy and the love.

An importance of family lies in a fact that families can provide comfort, emotional support, nurturing and warmth of a love and tenderness. The reciprocal relationship can be exists between various members of the family.

Children receive guidance from a family as to what they should do or what they should not do. The family can be determines to a large extent the social roles that children will be perform. One of the life's greatest achievements is to grow and let your seeds grow. Nothing in life is more fulfilling than watching your children blossom.

The family helps us to inculcate values such as honesty, integrity, patience and self control gradually and steadily to our children. Thus, the basic structure of social support to any member of a particular society is formed by the family.

2.4.1 Family is Basic Unit of Human Interaction

The family is the natural laboratory and learning ground,

1. To understand a harmony in a relationship with human beings.
2. To practice it in terms of its fulfillment, evaluation and ensuring mutual happiness before we extend this to every unit in a Society and then to Nature.
 - (i) We naturally live in a family. In family, we have relationships where we interact with an other human beings.
 - (ii) Child starts interacting with a mother, father and other members in a family, and starts understanding relationship.
 - (iii) Family is a foundation of society, and provides a basis of continuity of human tradition on a earth.
 - (iv) Human beings get an opportunity to interact, understand, fulfill, share and work in the mutual relationships living in the family.

2.4.2 Family is a Natural Laboratory

To make a family bond, humans form a normal relationships. Relationships are veracity of a life between family members. An improved to interact with one another, share mutual interest's tastes and the recognize affinity.

Relationships in a family help us to understand their connection with an other individuals such as friends. Thus, it helps us to create the social order in a society.

2.5 FAMILY IS BASIC UNIT OF ALL INTERACTION

Each of us is born into the family which can be includes the number of relationships. These relationships are reality of our life. We recognize and identify these individuals. We share our feelings, tastes, interests and understanding with these people and have an affinity for them.

Beginning with our family as the basic unit of interaction, we extend our interactions to immediate neighborhood like shopkeepers, servants, classmates, teachers and colleagues etc. Hence, we extend our interactions from beginning from our family to bigger social order and then move further to a still bigger web of a interdependency.

2.5.1 Set of Proposals to Verify Harmony in Family

1. **Relationship is and it exists between Self ('I') and other Self ('I'):** In a family, we do not create the relationships. Instead we are embedded into the relationships that are already there and all that we need to do is to recognize them and understand them.
2. **Self ('I') has Feelings in a Relationship:** These feelings are between ('I') and ('I'). In any relationship, it is the person's Self (I) i.e., related to other person's Self (I). An body is only a means to express our relationship.

Example: In a mother and a child, it is the Self of a mother and Self of the child who feel connected. Their bodies are incapable of understanding or having feelings.

3. **Feelings in ('I') are Definite i.e., they can be Identified with Definiteness:** The feelings in a relationship between "I" and "I" such as Trust, Respect and Affection etc., can be identified with clarity. These feelings are values which characterize any relationship.
4. **Recognizing and Fulfilling these Feelings Lead to Mutual Happiness in a Relationship:** Once we recognize the values essential for any relationship, we start working and behaving according to these feelings. We begin evaluating ours' and an others' feelings in a relationship. Hence, living with these values leads to mutual fulfillment and happiness in all our relationships.

2.5.2 Justice (Nyaya)

Justice is recognition of values (the definite feelings) in a relationship, their fulfilment, the right evaluation of fulfilment resulting in mutual happiness. Justice concerns itself with an proper ordering of things and people within the society. There are four elements:

1. Recognition of values.
2. Fulfilment.
3. Evaluation and
4. Mutual happiness ensured.

If all the four are ensured, justice can be ensured. The mutual fulfilment is hallmark of justice. Justice is the essential in all relationships. Justice starts from the family and slowly expands to world family.

Child gets the understanding of a justice in family. With this understanding, he goes out in a society and interacts with an people.

When the understanding of justice can be ensured in a family, there will be justice in all interactions we have in a world at large. When we do not understand an values in a relationships, we are governed by our petty prejudices and conditionings. We may treat people as high or low based on their body (particular caste, or sex or race or tribe), on a basis of wealth one possesses or belief systems that one follows. It is a source of injustice and leads to fragmented society while our natural acceptance is for an undivided society and the universal human order. Having explored a harmony in human beings, we are able to explore the harmony in a family. It can be enables us to understand harmony at the level of society and the nature/existence. This is the way, the harmony in our living grows. We slowly get a competence to live in a harmony with all human beings.

2.5.3 Differentiation (Disrespect) in Relationships

The respect means accepting individuality and doing the right evaluation (to be evaluated as I am). Nowadays, our basis for respect is largely quite contrary. Instead of respect being the basis of similarity or one of right evaluation, we have made it into something on a basis of which we differentiate i.e., by respecting you mean you are doing something special, because you are special or have something special or are in some special position. Hence all of us are running around seeking respect from one another by trying to the become something special. We are differentiating in the name of respect. Either differentiate people as follows;

1. On a basis of their body.
2. On the basis of their wealth and,
3. Possessions or on the basis of their beliefs.

There is no notion of respect in terms of the right evaluation. Hence, there is no real feeling of a relationship, only one of differentiation.

1. On the Basis of Body

- **Sex/gender:** We ignore the fact that being male or female is an attribute of a body, and not an attribute at level of 'I'. Differentiate in giving respect on a basis of gender is called male and females. In many countries, people even prefer the male child to a female child, and in some other societies and the other way round.
- **Race:** When the person is of same race as oneself, then we treat them differently. For example, we differentiate on a basis of skin colour, white, brown, black etc., or on basis of whether the person is of Aryan race, Mongolian race etc. On the basis of caste. Again here, we don't do the evaluation on a basis of 'I', but on a basis of the body
- **Age:** We have notions like 'one must respect elders'. There is no such notion as respect youngsters. We see that we are again evaluating at level of a body. An age is related to body, and not to 'I'.
- **Physical Strength:** When someone is stronger, we again treat him/her differently. This is again at level of a body. We think that we are respecting an other while it is fear; the fear that if we do not treat them like this, we will be harmed.

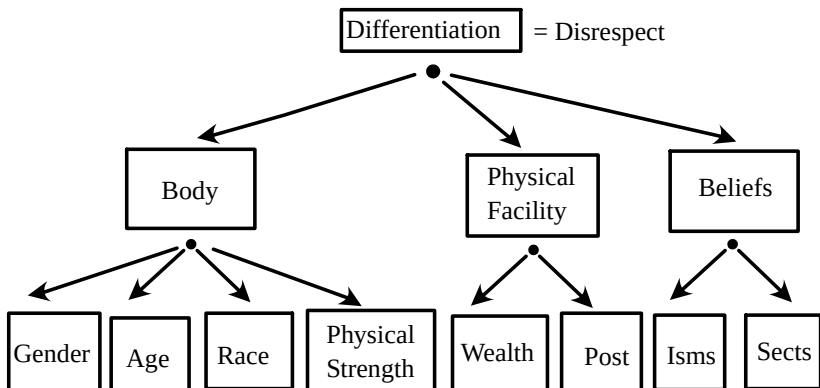


Figure-2.2

2. On the Basis of Physical Facilities

- **Wealth:** When we differentiate people because some have wealth than others. What we term as the "rich person" gets idolized. We

don't even bother to find out whether such people are feeling prosperous, or when they just have wealth. We are over-evaluating physical facilities first, which are just meant to fulfil a needs of a body, and then on a basis, we are wrongly identifying our relationship.

- **Post:** If we try to respect on a basis of a person's position. It is wrongly evaluated as mark of a person's excellence and differentiation sets in. An post is considered important either on a basis that it gives more physical facilities or on a basis that certain positions are assumed to be important. In our education, we are trained directly or indirectly to earn posts for us to fetch respect.

3. On the Basis of Beliefs

- **'Isms':** 'Ism' means any belief in terms of the 'thought-system' that we have, or that we have adopted. There are also many modern 'isms' like capitalism, socialism and communism, etc. An people following these sets of the beliefs are called as capitalists, socialists, communists, and so on. People that have adopted them or are following them have been exposed to them since childhood. Believing theirs to be right belief. Thus, all beliefs, as we have seen are at level of desires, thoughts and expectations (selections) in 'I'. There is no definiteness at this level, and hence, this becomes a cause for differentiation.
- **Sects:** People of one sect only consider those with an similar belief system to be their 'own' and worthy of the respect. Following is the particular tradition, or what we call as religion, becomes a basis of respect and the disrespect in a relationship.

2.5.4 Problems Faced Due to Differentiation in Relationships

1. **Differentiation based on Sex/Gender:** Issue of women's rights, and women protesting and demanding for equality in a education, in jobs and in peoples' representation. People are insecure and afraid of one another based on their gender.
2. **Differentiation based on Tace:** There are many movements and protect against racial discrimination and the demands for equality,

racial attacks, movements against cast discrimination has people living in fear of such racism, racist attacks, casticism and discrimination.

3. **Differentiation based on Age:** Protests and movements demanding for an equal rights for children on one hand and for rights for elderly people on other generation gap.
4. **Differentiation based on Wealth:** Class struggle and movements to do away with an class-differentiation. Many people suffering from the lack of self-esteem and some even committing suicide,
5. **Differentiation based on Post:** Protests against high handed government officials. At an level of individual, leads to depression, etc.
6. **Differentiation based on 'isms':** Fights, turmoil, terrorism and war, people converting from one Ism to another in order to be able to get more respect.
7. **Differentiation based on Sects:** Countless religions and the sects and each sect has its own movement to ensure that there is no discrimination against people of their belief and the demands for special provisions in a jobs and in education.

2.6 VALUES IN RELATIONSHIPS

Relationships: Relationships can shape our character, values and the interest. Relationships can be help us to define what we are and what we can become. Following things are essential in any relationships;

1. Right perception
2. Right observation and
3. Right expression.

Man is the relationship is right perception, right observation and the right expression. Man is a knot into which relationships are tied. We are highly mistaken in a case of body and the self considering them as one, the same is in a case of relationships.

By relationships, we do not mean a relationships between body and body but the relationship between 'I' and T. We must not just see someone's outer self. The relationship is a reality and not an assumption. It is very rightly said.

"Assumptions are termites of relationships"- Henry Winkler

There are feelings can be associated in a relationship of one 'I' with an other. These feelings are natural and have to be understood. Our greatest joy and our greatest pain come in our relationships with an others. Good relationship is not one that just lasts but one that can be co-exists with the self-respect, individuality and need to grow.

In a relationships we exchange energy, emotions, ideas and the values. When the feelings in a relationship are recognized, rightly evaluated and fulfilled it can be leads to harmonious relationships.

Common misunderstanding in a relationships is that physical facilities routinely fulfill the needs of the relationship. It can be due to the rating a relationships in terms of the physical needs and the comforts.

Example: Old parents are often left out in a old-age homes I comforts by their children ignoring a feelings of T.

When relationship is based on physical facilities, the purpose of relationship is reduced to material needs. Right understanding and the feelings in relationships are also lost and not recognized self (I).

2.6.1 Values in Human Relationships

Feelings of a self (I) require values to be in the relationship with an other (T). Salient values include individuals' beliefs regarding important goals and processes that people & agencies should follows in specific situations;

1. Trust or Viswasa.
2. Respect or Samman.
3. Affection or Sneha.
4. Care or mamat.
5. Guidance or Kusalya.
6. Reverence or shraddha.

7. Glory or Guarava.
8. Gratitude or Kritagyata.
9. Love or Prema.

Feelings in relationship are values in relationship. All feelings are already within you. All the feelings are already within you-understanding only makes you aware and once you are aware of it there is continuity of these feelings and you are able to fulfill them. Trust is a foundational value of the relationship, i.e., relationship starts only when we have trust and love is a complete value.

2.7 BASICS FOR RESPECT AND TODAY'S CRISIS

There are certain basic and important values in maintaining the relationship. These values, we all know, are backbone of health and the happy family relations. Feelings, emotions, sentiments and respect all are of the real importance. These values lead to elimination of a friction and establishment of the total harmony in a relationship on a long term basis.

2.7.1 Trust (Vishwas)

Trust is absolutely important. Trust or vishwas is the foundational value in relationship. Trust is created by our own behavior, our own value systems and our own responses.

“To be assured that each human being inherently wants oneself and the other to be happy and prosperous”. If we have trust in the other, we are able to see an other as a relative and not as an adversary.

1. Trust in a relationship is clarity/understanding/assurance that the other wants and works for my happiness and prosperity.
2. Trust is one of those things that are much easier to maintain than it is to repair. Trust is everything and we should try to nurture it.
3. Relations are building on person to person basis, their perception about each other and the trust created in a process of action and the reaction.

Aspects in Trust: There are two aspects in a trust:

- a. Intention (wanting to-our natural acceptance).
- b. Competence (being able to do).

Both intention and the competence are aspects of a trust. Intention is what one aspires for (our natural acceptance) and the competence is an ability to fulfil the aspiration.

In intention every human being wants to do what is right, only the competence may be lacking which needs to be developed through the proper understanding and practice. What we are doing today is that when we are judging ourself we are judging on a basis of our intention. When we are judging an other we are judging him on a basis of his competence.

2.7.1.1 Difference between Intention and Competence

Intention (Natural Acceptance)	Competence (Ability to Fulfill)
I want to be happy.	I am always happy.
I want to make the other happy.	I make the other always happy.
The other wants to be happy.	The other is always happy.
The other wants to make me happy.	The other makes me always happy.
What we really want to be is the intention.	What we are is the competence.

Example-1: If I trust everyone, people would take advantage of me. Do you agree? Explain.

Ans.

Usually, trust is based on right understanding and assures the happy relationship. Good understanding builds the strength and effective ion. Being uninformed of a situations or knowledge can be taken advantage of. In the good relationship competence is based on a trust. I agree that trusting blindly everyone can be taken advantage of if right understanding is not.

Example-2: How is trust the foundation value of relationship?

Ans.

Trust is a foundational value or 'Adhara mulyal'. This is the right understanding and happiness between a humans trust leads to penalty

such as arguments, blame or even threat to life. An human intention is to be happy and feel natural relationships. Trust is a foundational value of such a human relations.

2.7.2 Respect (Samman)

Sense of individuality is prime object. It is the first basic step towards respect (sammana). Once we realized that we are individual then only we can see our self different from an others. Other words, respect means right evaluation, to be evaluated as I am.

The term 'respect' refers to 'right evaluation'. An every individual wants that he/she should be evaluated as he/she is and also, to evaluate others as they are,

The need of 'I'

- 'I' should be evaluated as 'I' am.
- 'I' should evaluate others as they are.

We should take care that we do not evaluate the human being as a body but should evaluate him on a basis of 'I'. Evaluation can be either right or wrong.

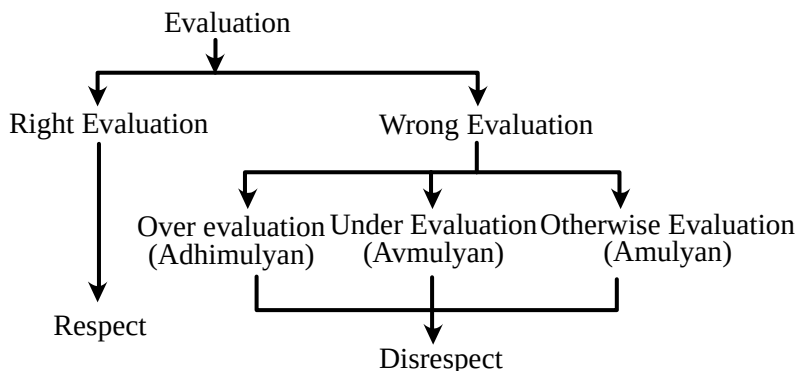


Figure-2.3

- Over Evaluation:** To evaluate for more than what it is. When someone praises you for an qualities which you don't possess, you feel uncomfortable.
- Under Evaluation:** To evaluate for less than what it is.

Example: If someone underestimates your qualities then also you feel uncomfortable.

(iii) **Otherwise Evaluation:** To evaluate for something other than what it is.

Example: When you are evaluated as something else, say donkey will feel uncomfortable.

If we do not evaluate an other person rightly, then it is showing disrespect for him. These feelings of disrespect can lead to resentments and protests. If trust and respect are ensured, the other feelings follow very easily.

2.7.2.1 Difference between Respect and Differentiation/ Disrespect

Respect	Differentiation
Respect is right evaluation.	Differentiation is lack of understanding of respect.
Respect for others is generated by the right evaluation and understanding which leads to fulfilment in relationships. This further creates a sense of respect among people.	This differentiation can take the form of: a. Gender bias b. Generation gap c. Caste struggle d. Power play and e. Domination f. Communal violence g. Clash of race, religion,etc. h. Class struggle.
	It leads to escalation in the problems of society which further lowers the respect shown to others in society.

2.7.3 Affection

Affection: It can be defined as a feeling of being related to one another and make happy.

People accept an each other the way they trust and respect each other. Bonding between family members is based on a mutual trust and natural acceptance. When any of even commit a mistake due to misunderstanding, family bounding guides the space mid time to accept each

other and evaluate correctly. The physical facilities are shared in a family, it is often acceptable to an each other. Problems arise is assessing other based on a wealth. Physical facilities try to make the family stronger.

This is something that we can provide or receive. Affection is something that flows and moves from one person to another producing some emotion. This is the feeling of accepting other as one's relative. Affection is a expression of care.

It can be symbolizes security, protection, comfort, approval which is vital ingredients for any relationship. This is the positive feeling of liking and it is an emotion that can be derived from the recognition of one's own values in a character of another.

Example: Newly born baby makes its place in a home as well as in 'I' of the family members. It receives affection.

2.7.4 Care

Care refers to nurturing and protecting the body of one with whom we are related. This develops a sense of a responsibility towards a body of an other, especially when the other person is incapable of taking care of himself.

Feeling of care is the feeling to nurture and protect the body of our relative. In other words a state of mind in which one is troubled; worry, anxiety, or concern is called care. Care is level of active concern, or lack of negligence, towards avoidance of possible dangers, mistakes, pitfalls, and risks, demanded of a party as a duty or legal obligation.

We understand the human being as a coexistence of self ('I') and the body, and body is an instrument of 'I'. Based on this understanding, we take a responsibility of nurturing and the protecting a body of our relatives.

2.7.5 Guidance

Guidance here refers to special care or activities shown by an individual towards the other's 'I' in order to evoke right understanding and a sense of responsibility in him.

The feeling of ensuring right understanding and feelings in the other (my relative) is called as guidance. We understand the need of self ('I') for right understanding and feelings. The other is similar to me in his/her faculty of a natural acceptance, desire of wanting continuous happiness and program of a living in a harmony at all the four levels.

An other is also similar to me in a potential of desire, thoughts and the expectation.

Example: Care shown by parents towards their children.

2.7.6 Reverence

This is a feeling or attitude of deep respect. By showing reverence to the other person, we accept his excellence. This feeling of acceptance inspires an individual to acquire all those good qualities.

The feeling of acceptance of excellence in the other is called reverence. When we see that the other has achieved this excellence-which means to understand and to live in harmony at all the levels of living ensuring continuity of happiness, we have a feeling of reverence for him/her.

2.7.7 Glory

To attain excellence one has to make efforts. Recognition of these efforts and the feeling thus developed for that person is called as glory.

Glory is the feeling for someone who has made efforts for excellence. We find that there have been people in a history, or even around us, who are investing their time, energy and their belongings to achieve excellence (to understand and to live in harmony at all levels of living ensuring continuity of happiness), to make others excellent. It gives us a feeling of glory for them.

2.7.8 Gratitude

Gratitude is a feeling for a person who has helped 'me' to achieve my excellence. A feeling of giving thanks to them for all the things they do is called gratitude.

Gratitude is the feeling of acceptance for those who have made efforts for my an excellence. Gratitude is an emotion that occurs after people receive help, depending on how they interpret the situation.

Example: In our life, we come across many teachers, who bring out our hidden talents and lead us to excellence.

Specifically, the gratitude is experienced when people perceive the help they receive as,

- (a) Valuable to them.
- (b) Costly to their benefactor, and
- (c) Given by benefactor with benevolent intentions.

2.7.9 Love

It is a feeling of involvement with the entire existence. It is a feeling of being related to all are love or prema. Love is also known as Puma multi as it involves all human beings. It is a universal feeling shared in a society, family and friends. It is a natural acceptance and it is represented as a complete value.

Love begins by taking care of the closest ones- the ones at home. It is like a seed which sprouts first at home and then it grows into a tree. As a tree spreads its branches and gives shade, love also spreads its fragrance in all directions and soothes the human mind. So, where there is love, there is harmony.

Love is the emotion of a strong affection and personal attachment. In other words, love is a feeling of warm personal attachment or deep affection, as for a parent, child, or the friend.

This feeling or value is also called as complete value since this is the feeling of relatedness to all human beings. It starts with identifying that one is related to other human being (the feeling of affection) and it slowly expands to the feeling of being related to all human beings.

“Thinking with Love is truth, feeling with Love is Peace, acting with Love is right conduct, understanding with Love is non-violence”

Above mentioned values are core of all relations. One has to follow all to gain on a day to day problems. These values are intrinsic and available in every person. We need to find out in ourselves and implement. Without implementation, one cannot think of a strong family relation.

2.7.10 Difference between Belief & Understanding

Key point that underpins a distinction between understanding and belief is that and it is easy to think of a instances in which one understand (or) at least partly understand an idea while believing the completely different idea.

For example the student understands the concepts of a solar system still believing his/her religious doctrine. So beliefs are ad-hoc values while correct understanding is the universal human values.

An distinction between beliefs and understanding can be under-pinned by evaluating following points:

Beliefs	Understanding
Beliefs are the ad-hoc values.	Correct understanding is the univ- ersal human values.
They usually not the same for every-body.	They are same for everyone.
Beliefs are assumed values.	Understanding is evaluated values.
Belief usually change with time. For e.g. at one point of time you might have thought getting in to a good college is the most important now it may change to a getting a good job to a company or getting a job in a good company.	Understanding does not change with time.

2.8 COMPREHENSIVE HUMAN GOAL: THE FIVE DIMENSIONS OF HUMAN ENDEAVOUR

Identification of Comprehensive Human Goal

In order to facilitate the fulfillment of a basic aspirations of all human beings in a society. Following comprehensive human goal needs to be understood.

1. Right understanding is necessary for human beings, for all human beings. When one does not have right understanding one remains disturbed and also acts in a manner so as to create disharmony with other human being as well as with rest of nature.

2. Prosperity is needed in every family. Prosperity in the family means that the family is able to identify its needs and is able to produce/achieve more than its requirements.
3. Fearlessness/Trust in society means every member of society feels related to everyone else and therefore there is trust and fearlessness.
4. Co-existence in nature means there is a relationship and complementarity among all the entities in nature including human beings.

The comprehensive human goal. With a little exploration, we find that all four are required for a human society. We are not satisfied with anything less than this. This is the basic minimum requirement to ensure sustainable happiness and prosperity.

We can't cut down any of them. It is the minimum level that each one of us wants, and also maximum we can think of. We can't think of anything more than this. This is the target for each one of us, the whole human race and the human tradition.

Moment we leave anyone of them out, there will be loss of continuity, and goal cannot be achieved.

Samadhan: We can solve society's problems when we see beyond the contradictions of life. When we live in a higher consciousness, we obtain the higher knowledge that sees the higher harmonies which enable the resolution of every problem.

Samridhi (Prosperity): Prosperity is a state of flourishing, thriving, success, or good fortune. Prosperity often encompasses wealth but also includes other factors which are independent of wealth to varying degrees, such as happiness and the health.

Abhay: Man is eager to live and afraid to die. Most problems owe themselves to this fact. Fear of death might be reckoned as a prime fear but most primeval and basic fear is that of expectation being defeated, or more specifically, that of losing what one delusively thinks one owns.

Fear of losing what one is attached to (the family, for, example) gives birth to fear of death and therefore the former is most basic fear because one is attached to the body and is afraid to lose it. Fear resides

within and not outside us. External fear is mere fiction. When we succeed in cultivating fearlessness no incident, no external circumstances can strike fear in us.

Abhay is not associated with bhaya and nirbhaya, at all. Abhaya means fearlessness; it is a permanent state where there is no question of ever experiencing any fear.

Fear is only the delusion created by the mind; lack of fear is also a delusion created by the mind. Mistaking one thing for another leads to fear; recognizing the mistake and rectifying it, leads to removal of fear. These two, Bhaya and Nirbhaya, are associated with fear and freedom from fear.

Factors for Fear

There are many factors which can make a person develop fear.

1. Ignorance and distorted perception of a world.
2. Fear of unknown is the most common factor.
3. Fear of the past is due to guilty feelings attached to our past actions.
4. Fear of the future is insecurity and
5. Death is another major cause of fear for many people.

Steps to Attain Abhaya

1. Fear can be overcome when we enquire into the nature of its cause objectively and the causative factors are resolved.
2. Fear of the past can be overcome if we take responsibility for our actions and stop doing things which will add to our guilt later.
3. Insecurity can be overcome if we accept our limitations and perceive the wonderful cosmic order as a humble spectator.

Co-existence (Sah--astitva)

World is full of Diversity – there are different nations, cultures, religions, communities, languages, and beliefs. Beauty of existence can only be maximized if everything in this world is in a harmony. Peaceful, symbiotic co-existence is key to harmony in a world. For peaceful co-existence to occur in a diverse society the following must happen:

1. People must recognize that traditional interpretations of peaceful co-existence are outdated.

2. Governments and individuals must recognize that society needn't be homogeneous or institutionalized to serve an important purpose for people.
3. Members of varying cultures, countries and faiths must learn to respect a traditions, beliefs and the boundaries of one another.
4. Religion and politics must be separate and
5. An people must agree to disagree regarding certain moral values and beliefs and come to recognize that others can be different from them and yet be equally capable in their own unique manner.

We may also understand it in the following sequence;

Right understanding → Prosperity → Fearlessness (trust) → Co-existence.

Programs needed to achieve the comprehensive human goal and the five dimensions of a human Endeavour.

2.8.1 Comprehensive Human Goal

In order to facilitate the fulfillment of a basic aspirations of all human beings in a society. Following human goal needs to be understood in a comprehensive manner:

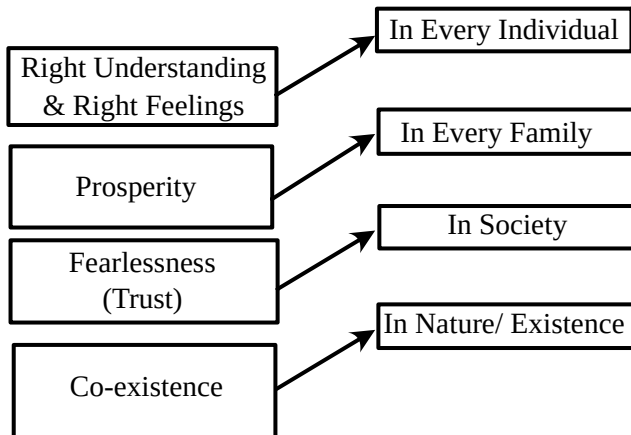


Figure-2.4

1. If one does not have the right understanding, one remains disturbed and also acts in a manner so as to create disharmony with an other human being as well as with rest of nature.

2. Prosperity in a family means that family is able to identify its needs and is able to produce/achieve more than its requirements.
3. Trust in a society means every member of society feels related to everyone else and therefore there is trust and the fearlessness.
4. Co-existence in a nature means there is a relationship and complementarity among all the entities in nature including human beings.

Abhaya means fearlessness; it is a permanent state where there is no question of ever experiencing any fear. Person with abhaya is continuously aware of his own reality; for him to become subject to fear would be impossible. Consider this quality of abhaya as just an absence of fear. Fearlessness in the society begins from the individual. We need to ensure right understanding in the individual as the foundation of harmony in a society.

With an right understanding, the need for physical facilities in a family can be ascertained. By assessing our needs correctly and by producing more than required a family can be prosperous. Assurance of right understanding in individuals and prosperity in the families, understanding of human relationships leads to harmony and trust (fearlessness) in a society.

If every individual is able to live harmoniously in a relationship, and the needs of all families are ensured, fearlessness (mutual trust) in a society will naturally follow. Hence, the state of absence of fear at a society level will only be achieved when we have right understanding at individual level and the prosperity at the level of a family

2.8.2 Five Dimensions of Human Endeavour

Comprehensive human goals are right understanding, prosperity, fearlessness and co-existence.

The programs needed to achieve the comprehensive human goals are,

1. Education - Right Living (Siksha - Sanskar)
2. Health - Self Regulation (Svasthya - Sanyam)
3. Justice - Preservation (Nyaya - Suraksha)
4. Production - Work (Utpadan - Kriya)
5. Exchange - Storage (Vinimaya - Kosh)

1. **Education - Right Living:** Having the process of education and right living leads to right understanding in the individual. An education refers to understanding harmony at all four levels of the living. While right living can be refers to commitment and the preparedness to live in a harmony at all four levels of living.
2. **Health-Self Regulation:** Sanyama refers to the feeling of responsibility for nurturing, protecting and the rightly utilizing a body. When the body is fit to act according to the needs of self ('I'), and, there is harmony among the parts of a body, it can be referred to as health or svasthya. Having the program for health and sanyam leads to well-being of a body, and identification of need for physical facilities which alongs with production can be ensures feeling of prosperity in the family.
3. **Justice-Preservation:** Justice (nyaya) can be refers to harmony in relationship between human beings, while preservation (suraksha) refers to harmony in the relationship between human being and rest of nature. Ensuring justice in relationship, or mutual fulfillment in relationship on the basis of values like Trust, Respect, etc., leads to fearlessness in a society, while Suraksha of nature - via enrichment, protection and the right utilization leads to co-existence in nature.
4. **Production - Work:** Production and work are for physical facilities, and it leads to a feeling of a prosperity in a family. Production is done in a harmony with a nature. Thus, it is also leads to co-existence with a nature.
5. **Exchange - Storage:** Exchange (vinimaya) refers to the exchange of physical facilities between the members of the society, while storage (kosa) refers to the storage of physical facilities that is left after fulfilling the needs of the family. When we store and exchange for mutual fulfillment and not for exploitation, then it leads to fearlessness (trust) in a society.

2.8.3 Prosperity in Families

We are not able to see that needs of a physical facilities can be limited and that, we can have more than what we need. We are only talking about how to generate wealth. We seem to have forgotten that the need

to have wealth is connected with the need to keep a body healthy and use it for the right purpose and not for an maximizing accumulation for purpose of the sensory enjoyment.

Fearlessness (Trust) in Society: In a place of working for fearlessness, we are working for strategic power. In the name of defence, we are misusing a valuable resources of a nature to make weapons and ammunitions.

We are becoming increasingly more fearful of an each other. Most of the countries in a world are busy preparing for war, in the hope that more and more competence for a war will leads to peace.

Co-existence with Nature: Instead of co-existing we are busy figuring out better ways to exploit a nature. We have tended to assume that the goal of our technological development is to get victory over nature, to subjugate a entities in a nature and to disrupt nature's cycle, in pursuance of our whims and the fancies.

We even have disregarded the truth that nature is our basic support systems and the disturbing its balance will result in our own destruction.

2.8.4 Recyclability and Self-regulation in Nature

There are several cyclical processes that we can see in a nature. For example the cycle of a water, evaporating, condensing and the precipitating back to water giving the weather phenomena.

The cycles keep these materials self-regulated on a earth. Breeds of plants and the animals are similarly self-regulated in their environment. In a forest, the growth of trees takes place in a way so that an amount of soil, plants and the animals remains conserved. It never happens that the number of trees shoots up and there is a lack of soil for an trees.

An appropriateness of a conditions for growth of both plants and the animals are self-regulated in a nature keeping the population proportions naturally maintained. This phenomenon is termed as self regulation. In a single breed of animals, the number of males and females generated through the procreation is such that a continuity of species is ensured by itself. It happens with humans too, but inhuman practices have led to disproportionate numbers of men and the women. These two characteristics namely, cyclical nature and self-regulation provide us with some clues of a harmony that is in a nature.

2.9 UNIVERSAL HUMAN ORDER

The sarvabhaum vyawastha (Universal Human Order) is the state of realizing the freedom of individual in context of this universe. The respect towards mankind and nature is must to establish the universal order. Having understood the comprehensive human goal, we are able to be in harmony not only with human beings, but also with the rest of nature. We are able to see that we are related to every unit in the nature and ensure mutual fulfilment in that relationship. Working on the five dimensions of human endeavour in the light of right understanding, we are able to work for an orderly living of the human society, whose foundational unit is the family and the final destination is the world family.

Universal Human Order (Sarvabhauma Vyavastha): Feeling of being related to every unit including human beings and other entities of nature.

Undivided society (Akhand samaja): Feeling of being related to every human being. An undivided human centric society is one of the higher human goals. Akhand samaj is the state of the society where all people of different religion and thought process live together and work towards betterment of the society.

Three activities can be performed to send the message of a holistic society:

1. **Educating Society through Workshops, Seminars and Street plays**

This is about organizing workshops, seminars and street plays at various levels in society. The activity may be carried out by N.G.O.'s but must receive the support of government organizations. These activities can be categorized into three types which include

- Knowing the self,
- Knowing the existence on basis of self,
- Knowing the definite human conduct which is contribution of self in existence.

2. **Value Education in Educational Institutions**

Value education should be introduced in current education system at all levels - primary school, secondary school, senior secondary school as well as college level.

3. Helping to Apply values to the Real World

Organizations - both government and non-government should open up counselling centres which can help their employees or general public to apply values to real life situations. It is about realizing the alternatives in life. Various individuals are on the way of selfexploration, finding their natural acceptance towards holistic approach of life and realizing it at all levels starting from self (with knowledge) to family (with meaningful relationships), then to society (education - health - production - business - services). The idea is not to live in isolation or individualism but with expansion of SELF to higher levels in the social system.

2.9.1 Right understanding in the Individuals is the basis for Harmony in the Family

The following are the right understanding in the individuals is the basis for harmony in the family, which is the building block for harmony in the society.

1. The harmony in the society begins from the individual. We need to ensure right understanding in the individual as the foundation of harmony in the society.
2. With right understanding, the need for physical facilities in the family can be ascertained. By assessing our needs correctly and by producing more than required the family can be prosperous.
3. Assurance of right understanding in the individuals and prosperity in the families, understanding of human relationships leads to harmony and trust (fearlessness) in the society. When every individual is able to live harmoniously in relationship, and the needs of all the families are ensured, fearlessness (mutual trust) in society will naturally follow.
4. When human beings with right understanding interact with nature, it will be in consonance with the coexistence and will be mutually enriching.

2.10 OUTCOMES

1. Understand the harmony in the family and in the society and the basic unit of human interaction.

2. Understand that the family is basic unit of all interaction and the set of proposals to verify harmony in family.
3. Understand the values in human relationships are Trust or Viswasa, Respect or Samman, Affection or Sneha, Care or mamata, Guidance or Kusalya, Reverence or shraddha, Glory or Guarava, Gratitude or Kritagyata, Love or Prema.
4. Understand the problems faced due to disrespect or differentiation in relationship.
5. To know a universal harmony order in the society and undivided society (AkhandSamaj), Universal Order (SarvabhaumVyawastha) from family to the world family.

2.11 REVIEW QUESTIONS

I. Long Answer Questions

1. Family is a natural laboratory to understand human relationships. Elaborate.
2. What is the outcome when we try to identify relationships based on the exchange of physical facilities?
3. Understand the values in human and human relationship.
4. Define affection. How does affection lead to harmony in family? What is the role of physical in the fulfillment of this feeling?
5. What is the meaning of Nyaya and protection?
6. Explain the trust (Vishwas) and respect (Samman) as the foundational values of relationship.
7. Write the difference between intention and competence.
8. Explain the feelings of care and guidance, glory, reverence and gratitude.
9. How can we move towards the universal human order?
10. “Right understanding in the individuals is the basis for harmony in the family, which is the building block for harmony in the society”.

II. Short Answer Questions

1. Write about relationships in human values.
2. Explain about harmony in the family.

3. Describe harmony.
4. What is the basic unit of human interaction?
5. List down the values in human relationships.
6. What are the salient values in relationship?
7. What is justice? What are its four elements? Is it a continuous or temporary need?
8. Define love. How can you say that the love is the complete value?

2.12 MULTIPLE CHOICE QUESTIONS

1. Sahastitva means ____ ()
(a) Co-existence (b) Co-operation
(c) Co-option (d) Corporate identity
2. Feeling of relatedness to all human beings is called ____ ()
(a) Love (b) Affection
(c) Responsibility (d) None
3. When nature is submerged in a space we call it ____ ()
(a) Nature (b) Existence (c) Co-existence (d) Space
4. Employing the body physically for production and maintenance of physical facilities is called _____. ()
(a) Labour (b) Family
(c) Society (d) None
5. When something is active or has activity, we call it a _____. ()
(a) Unit (b) Existence
(c) Co-existence (d) Space
6. A harmonious world is created by values at 4 levels. These are _____. ()
(a) Home, family, society, country
(b) Individual, family, society, universe
(c) School, home, office, temple
(d) None

7. Values important for relationship are many they may include: ()
 - (a) Aggression (b) Competition
 - (c) Integrity and character (d) Arrogance
8. Harmony should be maintained in: ()
 - (a) Between body and life
 - (b) Between self and society
 - (c) Between life & environment
 - (d) All the above
9. Many human values seem good or right due to____ ()
 - (a) Positive feelings (b) Internal happiness
 - (c) Natural acceptance (d) All of the above
10. _____ is the basis of_____ ()
 - (a) Love, affection (b) Affection, love
 - (c) Sanyama, Swasthya (d) Swasthya, Sanyama
11. _____ is vital for the _____. ()
 - (a) Love, affection (b) Affection, love
 - (c) Sanyam, Swasthya (d) Swasthya, Sanyama
12. The basic capacity of self is known as _____ ()
 - (a) Strength (b) Weakness
 - (c) Control (d) Power
13. The power/capacity for selecting/tasting is ____ ()
 - (a) Strength (b) Weakness
 - (c) Expectation (d) Power
14. _____ is the capacity of _____ ()
 - (a) Caring, Affection
 - (b) Expectation, Selecting/tasting
 - (c) Selecting/tasting, Expectation
 - (d) Affection, Caring

15. The capacity of _____ could lead to _____ ()
 (a) Thoughts, desires (b) Thoughts, caring
 (c) Caring, Thoughts (d) Desires, Thoughts
16. Activity of desires, thoughts and expecting, together is called as _____ ()
 (a) Halogenation (b) Imagination
 (c) Assumption (d) Creation
17. What we analyze may keep changing, the activity of analyzing is _____ ()
 (a) Random (b) Unique
 (c) Continuous (d) All of the above
18. _____ is the foundational value in relationship. ()
 (a) Love (b) care (c) Unique (d) Trust

Answers

1. (a)	2. (b)	3. (b)	4. (a)
5. (a)	6. (b)	7. (c)	8. (d)
9. (d)	10. (c)	11. (c)	12. (d)
13. (c)	14. (b)	15. (a)	16. (b)
17. (c)	18. (d)		

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PROFESIONAL ETHICS IN EDUCATION

3.0 OBJECTIVES

After completion of this unit we should be able to understand:

- Basic concepts of professional ethics.
- Concept of co-opertaion and competence of professions.
- Fundamental principles in competence in professional ethics.
- Overview privacy, Integrity, Respect and Equality and trust relationship.

3.1 INTRODUCTION

Professional ethics means to develop professional competence with ethical human conduct. Ethical human conduct means definitiveness of human conduct. Profession is a significant domain of human activity targeted towards participating in a larger order which includes the society and the nature around.

Competence of living in accordance with an universal human values or participation of a unit in a larger order and its natural characteristics or svabhava. Professional ethics concerns the moral issues that arise because of specialist knowledge that professionals attain, and how the use of this knowledge should be governed when providing a service to the public.

Values are a part of our ethical conduct. These are natural outcome of realization and right understanding which are always definite. Values need not to be imposed through fear, greed or blind belief.

3.2 VALUE BASED LIFE AND PROFESSION

Social work can be defined as “profession to promote social change, problem solving in human relationships and empowerment and liberation of people to enhance well-being”. Main purposes of social work profession are to solve problems in a human relationship, support individuals or communities to seek social reform at different levels so that everyone can enjoy the better life.

Supporting and the empowering people, particularly poor, disadvantaged, oppressed and vulnerable people to achieve their basic needs is also the mission of social workers.

For many people, image for social workers can be mainly attached to child the protection workers. This is not a proper image. Social work profession is much broader than that. When the students come to the social work program, they can choose from a variety of concentrations from direct practice such as services for children and family, mental health, child welfare, school social work, to community practice like human service management, community organizing and the advocacy.

The social workers work and promote changes at different levels, from changes in individual, community, to society. An direct practice and community practice makes a social work approach become comprehensive. Without either one of those, change would be difficult to achieve and might not be sustainable.

An social work is the distinct profession which can be possesses a unique approach in their practice with clearly defined values and code of ethics. Social workers were and are providing a majority of services in mental health, family and the children’s services.

Social workers have also been very active in a community organizing and policy advocacy to seek the social reform at macro level. Thus, social workers needs to inform public better about those works so that more people can relate and engage into those causes better.

3.3 PROFESSIONAL INTEGRITY

Professional integrity is the practice of maintaining appropriate ethical behaviour. Professional integrity is the practice of showing strong adherence to moral and ethical principles and values such as honesty, honour, dependability and trustworthiness. People who behave with professional integrity generally uphold a moral standard of conduct, both in professional as well as personal endeavors.

These standards govern how professionals conduct themselves, their work ethic and their communication practices. It is what gives employees a reason to trust that leaders will place professional standards over their own self-interests.

Honesty is the basis for maintaining integrity. Being loyal to a company, producing the results expected of you and being trustworthy and reliable are all qualities that characterise someone who has professional integrity.

Integrity

Integrity is the act of behaving honorably, even when no one is watching. People with integrity follow moral and ethical principles in all aspects of life. Integrity should extend to professional areas at work such as decision making, interacting with colleagues and serving customers or clients.

C.S. Lewis, *"Integrity is doing the right thing, even when no one is looking." Integrity is a foundational moral virtue, and the bedrock upon which good character is built.*

3.3.1 Professional Integrity in Business

In business relationships too, honesty, truthfulness, honour, dependability and trustworthiness are all traits of those with integrity. It is upholding a mutual standard of conduct in both professional and personal endeavors. Standards governing professional conduct include knowing how you present yourself, your work ethic and how you communicate with others.

3.3.2 Equality and Respect

Professional integrity in an organisation depends upon two important aspects which is equality and respect. Equality means treating all the employees equally, irrespective of gender, status, capabilities. A person with integrity looks beyond his own personal interests and pursues team centered goals. This requires polite and professional communication, appropriate interactions and respect for the thoughts and opinions of Co-workers.

3.3.3 Is Professional Integrity is Possible in Actual Working

It is not possible to observe professional integrity at all times. Many a time it is deviation of the original concept of integrity.

For example

- (a) **Integrity in the case of social media forum:** When an issue arises in a social media forum, a person with integrity does not tee off in a public forum in a way that is disrespectful to the professions of coding. In other words a person with integrity finds a way to express disagreement or dissatisfaction in a way that is not disrespectful or demeaning others: It is a deviation of Professional Integrity.
- (b) **In case of Conferences:** Whether a person attend the industrial conference or any other conference of an association, he has to obey and follow the discussions of the conference and exhibit integrity and professionally work with others.
- (c) **Absolute integrity not possible:** True integrity requires absolute adherence, to appropriate moral code and honesty. It requires a person always be truthful when faced with the choice of acting with integrity. We are often required to choose the harder right than the easier wrong. However in actual practice most of the employers recognise that absolute integrity is something. We can only strive to achieve.

3.3.4 Important of Professional Integrity in the Workplace

Integrity is one of the most important attributes in a leader.

The following are the few reasons for intergrity such as;

1. **Employee satisfaction:** Employees are typically happier working for someone who they believe is trustworthy and dependable, someone who would never ask them to compromise their own principles. Integrity in a supervisor has been linked to job satisfaction and engagement, employee health and even life satisfaction.
2. **Reputation:** You need to behave with integrity. Investors need to trust you to consider investing in your business. Vendors need to trust that you will pay for goods and services. Maintaining professional integrity will allow you to build a strong reputation that will increase the trust and comfort others have in doing business with you.
3. **Clearer focus:** Consistently behaving with professional integrity means you have the energy to focus on what is important rather than wasting energy covering up bad practice.
4. **Stronger sales:** Now a days customers are motivated to buy from companies that are socially and environmentally responsible. The most effective way to create a culture of integrity and ethical behavior is to behave with professional integrity.

3.3.5 Tips for Maintaining Integrity

The following are the tips which you can use to maintain your own professional integrity and encourage an entire culture of ethical behavior in the workplace.

- i. Treat everyone as same.
- ii. Reward honesty.
- iii. Admit your mistakes.
- iv. Encourage teams to speak freely.
- v. Conduct self-assessments.
- vi. Keep your commitments.
- vii. Maximum effort.
- i. **Treat everyone as same:** Integrity is to know about honesty, wholeness and being the same person in all situations and with all people. Treat supervisors, coworkers and even the intern with the

same level of professionalism and respect, regardless of their level of seniority. The same applies to customers. Every customer should be given the best treatment, regardless of the level of service they pay for.

- ii. **Reward honesty:** It create a culture of integrity by encouraging others to be honest with you, even when they make costly mistakes. Reward honesty publicly and repeatedly until everyone on your team understands that it's always safe and always the best idea to be honest with you.
- iii. **Admit your mistakes:** Everyone makes mistakes and no one, from customers to employees, expects everyone to be perfect all the time. The key to behaving with professional integrity is admitting mistakes and apologizing when you're wrong. You must also demonstrate your regret through your actions and demeanor.
- iv. **Encourage teams to speak freely:** Encourage your team to come up with fresh and creative approaches to everyday business challenges you encounter. Team discussions regarding new ideas should be honest and critical, yet respectful and open-minded of other perspectives. Encourage your team to speak freely as well as give and receive constructive criticism to improve ideas.
- v. **Conduct self-assessments:** Periodically evaluate whether you are behaving with professional integrity. Evaluate whether you are heavily influenced by stronger personalities, pressured by your boss or tempted by easy money. Make a non-judgemental inventory of your own integrity and determine whether you need to take action based on potential areas of self-improvement.
- vi. **Keep your Commitments:** If you want to develop a reputation as being someone who delivers on their promises, make a habit of always keeping your word.
- vii. **Maximum effort:** Put all your focus and effort into something to reach a goal is a character trait that others admire. It demonstrates a strong work ethics and a commitment to results for the betterment of the organization.

3.3.6 Demonstrate of Integrity in the Workplace

- **Respect and follow company policies:** Workplace policies are created to guide you on best practices for everything from conduct to dress code. Follow the company policy that enables to make informed decisions based on the business' values and objectives.
- **Ready to work:** Employees with integrity, on the other hand, are willing to go above and beyond with their own work and help others out if the situation calls for it.
- **Respect others' opinions, even if you don't agree with them:** No matter how great your working environment may be, chances are there will be times when you simply don't agree with someone else's opinion. In these cases, it's still important to be respectful, listen, and take on board what the other person is saying.
- **Be accountable for your mistakes:** Everybody makes mistakes from time to time. Owning up to and being accountable for your mistakes demonstrates that you're honest and open to constructive feedback both traits that are common to people with a high degree of workplace integrity.

3.3.7 Examples of Integrity in the Workplace

Here are some examples of how integrity could look in the workplace.

1. Rohit missed a deadline for an important project due to two of his team members not delivering what was expected. Instead of blaming his team members, Rohit took responsibility for the missed deadline, making sure to provide further training and change the process to prevent missed deadlines from occurring again.
2. Sujatha and her peer Suma were discussing how to allocate their marketing budget for the upcoming quarter. Suma suggested that they put a large chunk of the budget towards a major marketing campaign at the start of the quarter. Although Sujatha decided they wouldn't be able to execute it so soon, she earmarked Suma's campaign idea for the following quarter so that they would have enough time to prepare and execute it further down the track.

3. Janu met with Bharathi, who she managed directly, for their fortnightly catch-up. Bharathi relayed that he was struggling to stay on top of his workload due to having to attend several meetings a day. Janu implemented a new process within her team to keep meetings to 30 minutes or less wherever possible and follow an agenda. She also set up a group online chat functionality so that team members could communicate more quickly and easily.

3.4 RESPECT AND EQUALITY

3.4.1 Respect

Respect means individuality. The sense of individuality is prime object. This is the first basic step towards respect (sammāna). Once we realized that we are individual then only we can see ourself different from others.

Respect is a basic requirement for nurturing friendship, team work and for the synergy it promotes and sustains. The principles should express in this regard are:

1. Recognize and accept the existence of other persons as human beings, because human beings have a right to live, just as you have.
2. Respect others ideas and decisions, words and labour (actions). One need not to accept or approve them, but shall listen to them first. One can correct or warn, if they commit mistakes. Some people may wait and watch as fun, if someone falls, claiming that they know others' mistake before and that they will fall.
3. Appreciate colleagues and subordinates on their positive actions. Criticize constructively and encourage them. They are bound to improve their performance, by learning properly and by putting more efforts.
4. Basically, the goodwill reflects on the originator and multiplies itself on everybody. This will facilitate collinearity, focus, coherence and strength to achieve the goals.

3.4.2 Equality

The concept of “Equality” grew out of the political, social and economic inequalities that exist in society from a very long time. Absolute equality is impossible to achieve .since. men differ in strength and physical powers, in mental ability and creative quality. As Laski puts, “it does not mean the identity of treatment and the identity of reward for efforts”.

Definitions

According to **D.D Raphall**, *“The Right to Equality proper is a right of equal satisfaction of basic human needs, including the need to develop and use capacities which are specifically human.”*

According to **Laski**, *“Equality means that no man shall be so placed in society that he can over-reach his neighbour to the extent which constitutes a denial of latter’s citizenship.”* Barker opined that “Equality means equal rights for all the people and the abolition of all special rights and privileges.”

According to **Barker**, *“Equality means equal rights for all the people and the abolition of all special rights and privileges”.*

G. Sartori explained that *“equality has so many facets and so many implications that after we have examined it from all angles we are left with a feeling of not having really mastered it.”*

Therefore, as a whole, equality does not mean absolute equality in all spheres and to every person. It does not aim at identity of treatment as intellectual and physical capacity varies. It opposes inequitable treatment. It means complete and absolute equality at the bottom most level and then equal opportunity to develop one’s inner potentiality.

3.4.3 Characteristic features of Equality

The following are the few characteristic features of equality.

- Equality stands for absence of all unnatural manmade inequalities and specially privileged classes in the society.
- It infers the system of equal and adequate opportunities for all the people in society.
- It does not stand for absolute equality. It accepts the presence of some natural dissimilarities or unequalities.

- It supports an equitable and fair distribution of wealth and resources i.e. Minimum possible gap between the rich and poor.
- It assumes the grant and guarantee of equal rights and freedoms to all the people.
- It means equal satisfaction of basic needs of all the persons before the special needs.
- It accepts the principle of protective discrimination for helping the weaker sections of society. In the Indian political system, right to equality has been given to all and yet there stands incorporated provisions for granting special protection facilities and reservations to persons belonging to scheduled castes, scheduled tribes, other backward classes, minorities, women, and children.

Thus equality stands for three basic features such as

- Absence of special privileges in society.
- Presence of adequate and equal opportunities for development of all.
- Equal satisfaction of basic needs of all.

3.4.4 Kinds of Equality

The following are the different kinds of equality such as

1. Social Equality.
2. Natural Equality.
3. Civil Equality.
4. Legal Equality.
5. Political Equality.
6. Economic Equality.
7. Equality of Opportunity and Education.

1. Social Equality

Social equality stands for equal rights and opportunities for development for all classes of people without any discrimination such as civil rights,

freedom of speech, property rights, and equal access to social goods and services. However, social equality also includes concepts of health equity, economic equality and other social securities.

It requires the absence of legally enforced social class or caste boundaries and the absence of discrimination motivated by an inalienable part of a person's identity.

Specifically, social equality stands for:

- (i) Absence of special privileges for any classes of people or caste or religions group or an ethnic group;
- (ii) Prohibition of discrimination against any one on the basis of caste, colour, creed, religion, gender and place of birth;
- (iii) Free access to public places for all the people, i.e. no social segregation; and
- (iv) Equal opportunity for all the category of people. However it accepts the concept of protective discrimination in favour of all weaker sections of society.

A modern central theme of social equality is to end gender inequality, to ensure equal status and opportunities to the women and to ensure equal rights of male and female children to live and develop.

2. Natural Equality

Though the fact that human differ in respect of their physical features, psychological traits, mental abilities and capacities, all humans are to be treated as equal humans. All are to be considered worthy of enjoying all human rights and freedoms.

3. Civil Equality

It is stand for the grant of equal rights and freedoms to all the people and social groups. All the people are to be treated equal before Law. Civil liberty comprises of the enjoyment of similar civil liberties and civil rights by all the citizens. The civil rights are right to life, right to freedom, right to property, right to religion, right to vote etc.

Civil laws should treat all the individuals equally. There should not be any discrimination of superior and inferior, the rich and the poor, caste and creed, colour and race, clan and tribes, groups and classes. Rule of law is in force in England and in the eyes of the rule of law all are equal. Equal treatment is given to all by the rule of law.

4. Legal Equality

Legal Equality is defined as equality before law, equal subjection of all to the same legal code and equal opportunity for all to secure legal protection of their rights and freedom. There should rule of law and laws must be equally binding for all. In every society equality must be ensured in all these forms.

5. Political Equality

Political Equality stands for equal opportunities for participation of all in the political process. The process involves the concept of equal political rights for all the citizens with some uniform qualifications for everyone. All citizens must possess similar political rights, they should have similar voice in the working of the government and they should have equal opportunities to actively participate in the political life and affairs of the country. Political equality guarantees the enjoyment of similar political rights to all citizens.

6. Economic Equality

According to **Lord Bryce**, Economic Equality “*is the attempt to expunge all differences in wealth’ allotting to every man and woman an equal share in worldly goods*”. But this concept of ideal economic equality can never be materialised in practical politics.

Economic equality does not indicate that equal treatment or equal reward or equal wages for all. It stands for fair and adequate opportunities to all for work and for earning of their livelihoods. It also means that primary needs of all should be met before the special needs of few are satisfied. The gap between rich and poor should be minimum. There should be equitable distribution of wealth and resources in the society.

7. Equality of Opportunity and Education

It stands for all the citizens should be given equal and similar opportunities by the state. All the individuals should have similar chances to receive education. They should have similar opportunities to develop their personality. Racial or any type of discrimination should not be observed. There should not be any distinction of caste and creed, colour and race, rich and poor. In India, all are provided with equal opportunities and all have equal rights to education.

3.5 PRIVACY

Meaning: It is the ability of the individual or group to rectude themselves or information about themselves and there by express themselves selectively. The right of privacy is recognised all over the world and the right is not to be subjected to unsanctional, invasions of privacy by the government, corporations or individuals.

Privacy is the interest that individuals have in sustaining 'personal space', free from interference by other people and organisations. Drilling down to a deeper level, privacy turns out not to be a single interest, but rather has multiple dimensions.

3.5.1 Multiple Dimensions or Types of Privacy

The following are the dimensions or types of privacy.

1. **Privacy of the Person:** Sometimes referred to as 'bodily privacy'. This is concerned with the integrity of the individual's body. Issues include compulsory immunisation, blood transfusion without consent, compulsory provision of samples of body fluids and body tissue, and compulsory sterilisation.
2. **Privacy of Personal Behaviour:** This personal behaviour relates to all aspects of behaviour, but especially to sensitive matters, such as sexual preferences and habits, political activities and religious practices. However, the notion of privacy of personal behaviour concerns activities that happen in public space, as well as private

space, and Clarke makes a distinction between casual observation of behaviour by a few nearby people in a public space with the systematic recording and storage of information about those activities.

3. **Privacy of Personal Communications:** It aims to avoid the interception of communications, including mail interception, the use of bugs, directional microphones, telephone or wireless communication interception or recording and access to e-mail messages. This right is recognised by many governments through requirements that wiretapping or other communication interception must be overseen by a judicial or other authority. This aspect of privacy benefits individuals and society because it enables and encourages a free discussion of a wide range of views and options, and enables growth in the communications sector.
4. **Privacy of Personal Data:** Individuals claim that data about themselves should not be automatically available to other individuals and organisations, and that, even where data is possessed by another party, the individual must be able to exercise a substantial degree of control over that data and its use. This is sometimes referred to as 'data privacy' and 'information privacy'.
5. **Privacy of Thoughts and Feelings:** People have a right not to share their thoughts or feelings or to have those thoughts or feeling revealed. Individual persons should have the right to think whatever they like. Such creative freedom benefits from society because it relates to the balance of power between the state and the individual. This aspect of privacy may be coming under threat as a direct result of new and emerging technologies.
6. **Privacy of Location and Space:** Individuals have the right to move about in public or semi-public space without being identified, tracked or monitored. This conception of privacy also includes a right to solitude and a right to privacy in spaces such as the home, the car or the office. Such a conception of privacy has social value. When citizens are free to move about public space without fear of identification, monitoring or tracking, they experience a sense of living in a democracy and experiencing freedom.

7. **Privacy of Association:** Privacy of association is concerned with people's right to associate with whomever they wish, without being monitored. This has long been recognised as desirable (necessary) for a democratic society as it fosters freedom of speech, including political speech, freedom of worship and other forms of association.

3.5.2 Chief Contents or Aspects of Privacy

The following are the chief contents or aspects of privacy.

1. Right to be let alone,
 2. Limited access,
 3. Control over information,
 4. States of privacy,
 5. Secrecy,
 6. Personhood
 7. Autonomy,
 8. Self identity
 9. personal growth,
 10. Intimacy,
 11. Personal privacy,
 12. Organisational privacy.
-
1. **Right to be let alone:** The right to privacy is regarded by some as the right to be let alone. It means the right of a person to choose seclusion from the attention of others and the right to be immune from scrutiny.
 2. **Limited access:** It means the right of every man to keep his affairs to himself and to decide for himself to what extent they shall be the subject to public observation and discussion.
 3. **Control over information:** Control over one's personal information is the concept that privacy is the claim of individuals, groups or institutions to determine for themselves and to what extent of information about them is communicated to others.

4. **States of Privacy:** Alan Westin advocated four states or experiences of privacy. They are solitude, intimacy, anonymity and reserve.

- **Solitude:** It is a physical separation from others.
- **Intimacy:** Intimacy is a close, relaxed and frank relationship between two or more individuals.
- **Anonymity:** It is the desire of individuals for times. of public privacy.
- **Reserve:** Reserve is the creation of a psychological barrier against unwanted intrusions.

In addition to the psychological barrier of reserve, Kirsty physical, identified three more kinds of privacy barriers viz., physical, behavioural and normative barriers.

- **Physical Barriers:** Physical barriers such as walls and doors prevent others from accessing personal informations about him or her.
 - **Behavioural Barriers:** Behavioural barriers communicate to others verbally or non verbally through personal space, body language etc. that an individual does not want them to access.
 - **Normative Barriers:** Normative barriers, such as laws and social norms restrain others from attempting to access.
5. **Secrecy:** Privacy is sometimes defined as an option to have secrecy. Privacy is the right of the people to conceal information about themselves and others might use for their disadvantage. In secrecy, the individuals keep some information secret and private, while they choose to make other information to public and private.
6. **Personhood:** Privacy may be understood as a necessary pre-condition for the development and preservation of personhood. It means, recognition or identification of one's ownerships of his or her physical and mental reality and a moral right to his her self determination.
7. **Autonomy:** Autonomy is a concept closely connected to that of personhood. An autonomous self concept entails the conception of

one self as a purposeful, self-determining responsible agent and an awareness of one's capacity to control the boundary between the self and the other.

8. **Self Identity:** Privacy may be understood as a pre requirement for the development of a sense of self identity. Privacy barriers in particular are instrumental in this process. According to **Irwin Altman**, such barriers define and limit the boundaries of the self and thus serve to help define the self.
9. **Personal growth:** Privacy may be seen as a state that fosters personal growth, a process integral to the development of self-identity. It is suggested that without privacy-solitude, anonymity and temporary releases from social roles - individuals would be unable to freely express themselves and to engage in self discovery and self - criticism.
8. **Intimacy:** Intimacy stands for close relationship with others may be in the form of close friendship or intimate relationships with others. As a part of close human relations, the individuals try to self - disclose, if not all personal information to others.
9. **Personal Privacy:** It stands for physical privacy. Physical privacy stands for preventing intrusions into one's physical space or solitude.

In other words, it is the right of the people to secure in their persons, houses, papers and effects against unreasonable searches and seizous. Personal privacy denote personal dignity.

10. **Organizational privacy:** Government agencies, corporations, groups, societies and other organisations may desire to keep their activities or secrets from being revealed to other organisations or individuals by adopting various security practices. Organisations may seek legal protection for their secrets.

For example, a government administration may be able to invoke executive privilege, or declares certain information to be classified, or a corporation might attempt to protect trade secrets.

Realising the importance of privacy in almost all the countries of the world recognised the right to privacy as a fundamental right. The breach of Right to Privacy is punishable in the court of law. However there is a threat to the Right of Privacy through Internet, Twitter and Facebook.

3.6 PRIVACY LAW

Privacy law is the area of law concerned with the protection and preservation of the privacy rights of individuals. Increasingly, governments and other public as well as private organizations collect vast amounts of personal information about individuals for a variety of purposes. The law of privacy regulates the type of information which may be collected and how this information may be used. The scope of applicability of privacy laws is called expectation of privacy.

3.6.1 Classification of Privacy Law

Privacy Laws can be broadly classified into two ways such as

1. General Privacy Law.
 2. Specific Privact Law.
1. **General Privacy Law:** General privacy laws have an overall bearing on the personal information of individuals and affect the policies that govern many different areas of information.
 2. **Specific Privacy Law:** These laws are designed to regulate specific types of information. Some examples are included in this specific privacy law are
 - Health privacy laws.
 - Financial privacy laws.
 - Online privacy laws.
 - Communication privacy laws.
 - Information privacy laws.

3.6.2 Reasons for Adopting Comprehensive Laws on Privacy

There are three major reasons for the movement towards comprehensive privacy and data protection laws. Many countries are adopting these laws for several reasons.

- To reform or redress past injustices. Many countries, especially in Central Europe, South America and South Africa, are adopting laws to reform or redress privacy violations that occurred under previous authoritarian regimes.
- To stimulate electronic commerce. Many countries, particularly in Asia, but also Canada, have developed or are currently developing laws in an effort to promote electronic commerce. These countries acknowledge consumers are disturbed with their personal information being sent worldwide. Privacy laws are being introduced as part of a package of laws intended to facilitate electronic commerce by setting up uniform rules.
- To verify the laws are consistent with Pan-European laws. Most of the countries in Central and Eastern Europe are adopting new laws based on the Council of Europe Convention and the European Union Data Protection Directive. Many of these countries hope to join the European Union in the near future. Countries in other regions like Canada, are adopting new laws to ensure that trade will not be affected by the requirements of the EU Directive.

3.7 BUILDING TRUSTING RELATIONSHIP

Defining a Good Relationship

A good work relationship requires trust, respect, self-awareness, inclusion, and open communication. Let's explore each of these characteristics.

- **Trust:** The ability to trust your coworkers and the feeling that you can rely on them is an important characteristic when building a workplace relationship.
- **Respect:** teams working together with mutual respect value one another's input, and find solutions based on collective insight, wisdom, and creativity.

- **Acceptance:** Acceptance and understanding of one another and your role in the workplace relationship is an important element.
- **Self-awareness :** this means taking responsibility for your words and actions, and not letting your own negative emotions impact the people around you.
- **Inclusion:** don't just accept diverse people and opinions, but welcome them! For instance, when your colleagues offer different opinions from yours, factor their insights and perspective – or “cultural add ” – into your decision-making.
- **Open communication:** Open communication is crucial to any relationship, including a workplace one. Encouraging open communication, asking questions and getting to know your coworkers is one of the first steps toward a working relationship.

3.7.1 How to Build Good Work Relationships

Building positive relationships in the workplace may come naturally to some. However, even if you are unsure how to transition coworker relationships into positive workplace relationships, you can use the following steps:

1. Identify Your Relationship Needs

Do you know what you need from others? And do you know what they need from you? Understanding these needs can be instrumental in building better relationships.

2. Develop Your People Skills

Good relationships start with good people skills. Take our quiz *How Good Are Your People Skills?* to test how well you collaborate, communicate, and deal with conflict. The quiz will also point you toward useful tools to improve any weak areas.

3. Focus on your Emotional intelligence (EI)

Emotional intelligence (EI) is your ability to recognize your own emotions, and better understand what they're telling you. By developing your EI, you'll become more adept at identifying and handling the emotions and needs of others.

4. Practice Mindful Listening

People respond better to those who truly listen to what they have to say. By practicing mindful listening, you'll talk less and understand more. And you'll quickly become known as trustworthy.

5. Schedule Time to Develop Relationships

Building positive relationships in the workplace takes time. The daily expectations and duties of your position can make it difficult to find time to interact with other team members. By scheduling time to develop relationships, you will find it easier to interact with and get to know your coworkers. You might schedule time during lunch, during the first 10 minutes of your workday or as you are leaving the office at the end of the day. You could even schedule the first 10 minutes of a meeting to be a time when everyone catches up with one another. Additionally, many employers have after-work outings or team events which can be great for building workplace relationships.

6. Manage Your Boundaries

Make time, but not too much! Sometimes, a work relationship can impair productivity, especially when a friend or colleague begins to monopolize your time. It's important to set your boundaries and manage how much time you devote to social interactions at work.

7. Appreciate Others

Everyone, from your boss to the intern, wants to feel that their work is appreciated. So, genuinely compliment the people around you when they do something well. Praise and recognition will open the door to great work relationships.

8. Be Positive

Focus on being positive. Positivity is contagious and people gravitate to those that make them feel good.

9. Avoid Office Gossiping

Office politics and gossip can ruin workplace relationships. If you're experiencing conflict with someone in your group, talk to

them directly about the problem. Gossiping with other colleagues will only exacerbate the situation, accelerating mistrust and animosity.

10. Be present in the workplace

With the many responsibilities and requirements that come with the workday, it can often feel like the day flies by. It might feel more productive to multi-task throughout the day, answering emails during a team meeting or working on your report during lunch. However, these tasks prevent you from being present. By paying attention to those around you, beginning communication and getting to know your coworkers, you will find that you are able to build workplace relationships with minimal effort.

3.8 POSITIVE COOPERATION

Concept of Positive Cooperation

Professional Ethical Education - Positive Collaboration - Concept.

Cooperation is an integral element of teamwork, collaboration, and coordination. Cooperation usually consists of two or more people sharing ideas or activities. You often share the information you generate from cooperation - while it is sometimes required, it is an informal process. Compared with teamwork, collaboration, and coordination, cooperation is the activity that requires the least amount of shared purpose and dependence on team members.

For example, all kinds of work can be done quickly and efficiently with the cooperation of everyone in the fields like education and medicine. Positive cooperation shows the way to resolve conflicts between employees. Team work in professional moral education is a symbol of cooperation in academia. 'Team work makes dreams come true,' says **John C. Said Maxwell**. Teachers and students collaborate with each other to achieve their goals.

In professional moral education students must cooperate with each other and come together as a team. The primary role of teachers as a leader is similar to motivating them. Positive collaboration influences

students as an employer, supervisor or leader. Shows positive collaboration on how to build the most effective team in professional education.

It is the cornerstone of teamwork. So collaboration defines leading to the formation of a group of people who work together for the benefit of everyone.

In some organizations, heavy competition to acquire resources leads to a focus on short-term gains, neglecting the long-term gains of cooperation. In other organizations, cooperation seems to be rooted in informal agreements between the parties involved in such a way that it leads to benefits for all. If the level of cooperation is high, the goals of the organization as a whole will be better served.

It is often the quality of cooperation that distinguishes successful from less successful organizations. Therefore, managers are challenged to foster cooperation within the company.

- To ensure that the company is able to quickly adapt to changes in the environment;
- To ensure that the company is well positioned in inter-organizational networks.
- To ensure that flexibility in production or services is assured to cope with changes in the environment.

3.8.1 Importance of Cooperation

In professional moral education, collaboration is seen when students work together for a common goal. Cooperation refers to the need for everyone to recognize value and have a positive attitude and they need to know what is needed when cooperating. This approach facilitates working together to achieve a specific goal. But many scholars do not consider cooperation to be a luxury and an important human value. The collaboration has been appreciated for years for its importance. This value demonstrates kindness and concern for others. The true significance of this value begins with the work of caring for those who do not care about themselves. Always rely on someone else for help at one time or another.

3.8.2 Advantages of Cooperation

1. Reduces unproductive competition

Team cooperation encourages employees to work together for the benefit of the organization. It reduces the desire of employees to compete against each other, which often is never good for the business, and instead focus on working together to achieve a common goal.

When you foster teamwork in your organization, you will realize that employees fight less especially on issues that do not help the organization. The positive result for your firm makes everyone look good. Failure of the organization results in a black mark for everyone associated with it.

2. Enhances knowledge sharing

In a team, every member is encouraged to participate and contribute to the task at hand which results in compounded outputs. When employees work cooperatively, their efforts multiply, become stronger and better. In the process, the employees working together to share their ideas as each of them gain new perspective and knowledge. While individual workers can also do that, team cooperation is well-defined and can help employees expect help from their teammates.

Sharing knowledge results in learning opportunities for employees which would not be possible if each team member were looking out for their limited interests. In this way, all team members can benefit, even if later on they each go their separate ways to pursue better opportunities.

3. Fosters good communication

It also emphasizes good communication within employees and the organization at large. Employees who work well together and consider themselves as part of the team incline towards better communication. The entire organization can benefit from team cooperation that leads to better communication.

Furthermore, effective communication in an organization reduces misunderstandings, conflicts, and delays in work delivery this is very important for the success of the organization.

4. Easy achievement of organizational goals

It can be agreed that creating the right level of teamwork is not always easy. However, having said that we need to keep in mind that it is not impossible.

As a manager, it is important that you motivate your employees so that they work towards a goal and set to achieve it. In an organizational environment, you must be able to promote the best possible ethics among a workforce. This will ensure that everyone will get on board and strive to work towards the common goal. With team cooperation, everyone's morale will get naturally boosted once there is a healthy work environment, improving employee motivation and ultimately incline everyone towards the achievement of organizational goals, visions, and objective.

5. Establishes trust

Working in a team builds confidence in any setting, and in team cooperation, it creates strong relationships among employees. Trust in a team also tends to allow a brilliant flow of ideas. This helps team members to share their thoughts and encourage each other during and after work.

Team cooperation, allows employees to learn its importance and that losses and wins affect each member of the team. This in turn instills confidence in them about the other teammates. When employees trust each other in a team, they establish a strong foundation of relationships that endure minor conflicts especially those that arise due to individual differences.

3.9 ETHICAL COMPETENCE

Definition of Ethical competence

Ethical competence is the quest for knowledge and action that defines right and wrong behavior. What does it mean to be ethically competent? Why is ethical competence so important? How is it achieved?

In demand within and across academic disciplines and applied professions - medical, engineering, law, psychology, social work, public administration, and more. At its root, ethical competence resides in the human quest for knowledge and action that defines right and wrong

behavior, the touchstone of ethics. Thus, an ethically competent person is one who through innate or learned behavior can distinguish between right and wrong and act accordingly.

Developing ethical competence in the individuals (professional) is the only effective way to ensure professional ethics. In the absence of such competence, administering oaths and prescribing codes of conduct etc. are mere formalities. It was due to lack of correct understanding about comprehensive human goal and the assumption that sensory enjoyment and prosperity lies in the accumulation of wealth which leads to unethical practices. Hence the need of the hour is to develop ethical competence in profession through value education which is possible only by one's right understanding.

3.9.1 Salient features of competence in Professional Ethics

The following are the salient features of competence in Professional Ethics

- a) Clarity about the comprehensive human goal (Samadhana, Samriddhi, Abliaya, Sahastitva) and its fulfilment through universal human order from family to world family.
- b) Confidence in the harmony as well as confidence in myself and co-existence prevailing in entire existence based on right understanding of oneself and the rest of existence.
- c) Competence in professional ethics is mutually fulfilling behaviour, clarity and confidence in ethical human conduct and its co-relation with sustainable personal as well as collective happiness and prosperity.
- d) Competence in professional ethics is mutually enriching interaction with nature, ability to assess the needs for physical facilities for the family and their fulfilment through production systems ensuring harmony in the nature.
- e) Competence in professional ethics is actualising one's understanding.

3.9.2 Respecting the Competence of other Professions

Developing ethical competence in the individuals (professional) is the only effective way to ensure professional ethics. Believe it or not, professionalism and ethical behaviour can benefit your career or future and improve your chances of future success. In general, professional behavior comes down to ethics and dedication. It is very important to have the necessary skills to make your work effective.

Respecting the competence of other professions with professional ethics can help you reach a higher level that will contribute to future career success. One should have a respectful attitude towards others at all times, even in times of stress.

3.9.3 Fundamental Principles in Competence in Professional Ethics

Within the Code, Fundamental Principles are set out in Part A. As a member body of International Federation of Accountants (IFAC), ACCA can be required to apply an ethical standards that are at least as stringent as those stated in International Ethics Standards Board for Accountants Code of Ethics for Professional Accountants (the IESBA Code).

The IESBA Code is revised, ACCA Rulebook is reviewed and updated as necessary, to ensure that it remains aligned with the IESBA Code.

Fundamental Principles set out an obligations placed on all members, whether or not they are in practice. The five principles are,

- (i) **Integrity:** Members shall be 'straightforward and honest in all professional and business relationships'. ACCA Rulebook (and the IESBA Code) goes on to state that integrity implies not merely honesty but fair dealing and the truthfulness.
- (ii) **Objectivity:** Members shall not allow bias, conflicts of interest or undue Influence of others to compromise their professional or business judgment.

- (iii) **Professional Competence and Due Care:** Members have a continuing duty ‘to maintain professional knowledge and skill at a level required to ensure that clients or employers receive competent professional service’.

Members shall ‘act diligently in accordance with applicable technical and professional standards when providing professional services’.

- (iv) **Confidentiality:** Members shall respect a confidentiality of information ‘acquired as the result of professional and business relationships’, and shall not disclose any such information to third parties ‘without proper and specific authority or unless there is a legal or professional right or duty to disclose’. Similarly, confidential information acquired as the result of professional and business relationships shall not be used to personal advantage of members or third parties.

- (v) **Professional Behaviour:** Members shall comply with an relevant laws and the regulations and shall avoid any action that may discredit the profession. ACCA Rulebook goes further and states that members shall ‘behave with courtesy and consideration’ towards all with whom they come into a contact in the professional capacity.

3.10 OPENNESS

Openness means being open in terms of sharing information so employees know what’s going on, and crucially, feel heard. But it also means being, and expecting, an openness to different ways of working — different styles, different opinions, and, critically, feedback. It means openness to change.

Definitions

1. Proactive communication and inclusive bi-directional dialogue and interactions on things that matter to the physical and psychological well being of the employees.
2. We welcome people, perspectives and ideas with an open mind.
3. Where there is freedom to express and create one’s own value.

3.10.1 Drivers of Openness in an Organization

Openness in an organization's culture is driven by the following factors.

1. Encouraging Innovations and risk-taking.
2. Having Decentralized Decision Making.
3. Practicing Informal Communication.
4. Incorporating Transparency.
5. Have open Information Sharing.
6. Value diversity rather than uniformity.
7. Make People feel valued and supported.

1. Innovations and risk-taking

Leaders need to take the first step in extending trust to those they lead. Through their words and actions, leaders can send the message that appropriate and thoughtful risk-taking is encouraged and rewarded. When people feel trusted and secure in their contributions to the organization, they don't waste energy engaging in CYA (cover your "assets") behavior and are willing to risk failure.

The willingness to take risks is the genesis of creativity and innovation, without which organizations today will die on the vine. Creating a culture of risk-taking will only be possible when mistakes are viewed as learning opportunities.

2. Decentralized Decision- making

Decentralized decision-making practices ensure that decision rights are as close as possible to the people who deal with customers, competitors, front-line employees, and other stakeholders. By doing so one can avoid the delays associated with information and approvals traveling up and down the management hierarchy. Creating systems for high involvement in change efforts, openly discussing decision-making criteria, giving and receiving feedback, and ensuring organizational policies and procedures and applied fairly and equitably are all valuable strategies to ensure decentralized decision-making.

On an individual basis, it's important for the leaders to remember that their people want to know the company's values, beliefs, and what motivates the decisions and actions.

3. Open Information Sharing

In the absence of information, people will make up their version of the truth. This leads to gossip, rumors which results in people questioning leadership decisions and losing focus on the mission at hand. Leaders who share information about themselves and the organization build trust and credibility with their followers.

When people are entrusted with all the necessary information to make intelligent business decisions, they are compelled to act responsibly and a culture of accountability can be maintained.

4. Valuing Diversity

Creating a diverse workforce can contribute to:

- Increased retention and productivity.
- Increased responsiveness of an organization to the diverse world of customers.
- Better relations with the surrounding community,
- Expanding the creativity of the organization overall.
- To value diversity, one needs to develop an understanding of what is diversity. It needs to be seen as an area of opportunity. Diversity must be taken into account during recruitments, talent development, mentorship, partnership, communication, etc.

5. Making People feel Valued

When employees feel valued, they're more likely to remain loyal to the organization, even if it's not perfect. Increased job satisfaction can lead to improved performance and reduced turnover. Clearly, employers have an incentive to ensure employees feel valued but how can they do that? Let's take a look at some ways.

Recognition: The simple and obvious first answer to making employees feel valued is to provide them with the recognition they deserve.

This can come in many forms, but the important thing is that it happens. It can be one-on-one, in a group setting, in the form of raises or bonuses, etc.

Solicit employee opinion and utilize it as much as possible. Ask them not only about the work but also about the job itself: what's good and bad about it and how it can be improved

Provide work that offers the right level of challenge showing that you trust their capabilities

Say "thank you" simple, but effective, and often overlooked. This can be done in a lot of different ways. For example, a simple verbal thank-you from a manager can be meaningful. It can also be meaningful for a leader to publicly thank an entire team for their efforts.

6. Role of Transparency

Of all the drivers of openness, transparency tends to serve most of all. Here are ways of incorporating transparency in a corporation:

- Everyone working on a project or initiative should have access to all pertinent materials by default.
- Motivation and training should be programmed such that people willingly disclose their work, invite participation on projects before those projects are complete and/or "final," and respond positively to request for additional details.
- People affected by decisions should have the provision to access and review the processes and arguments that lead to those decisions.
- People should value both success and failures for the lessons they provide.
- Goals should be public and explicit.

7. Informal Communication

Informal communication at work is any type of communication that doesn't take place using formal methods or structures in a company. It can be spoken, written or even conveyed through gestures and body language.

The informal communication network that exists in a workplace is often termed “the grapevine”. This is when colleagues chat or gossip about what’s going on in the company.

3.11 LOYALTY

Loyalty is an essential quality in any close relationship. When your person is loyal, it’s a strong assurance of another person. Whether it be in work, business, family, friendship or a relationship, loyalty builds from specific characteristics

According to **Royce**, *Loyalty is a virtue, indeed a primary virtue, “the heart of all the virtues, the central duty amongst all the duties”. ... The short definition that he gives of the idea is that loyalty is “the willing and practical and thoroughgoing devotion of a person to a cause”.*

3.11.1 Loyalty towards Goals and Objectives

Concept of loyalty: The success of an organisation in the achievement of its goals and objectives mainly depend upon, the loyalty of its employees. In general the duty of loyalty means an employee is obliged to render loyal and faithful service to the employer. This is to act with good faith and not to compete with others but rather to advance the employer’s interests.

Loyalty requires that an employee refrain from acting in a manner, contrary to the employer’s interest. This duty creates some basic rules that employees must follow on the job and provides employer with enforceable right against employees who violate them.

Further without the consent of the employer, an employee cannot hold a second job, it would compete or conflict with the first job. The degree of loyalty is usually related to the degree of responsibility or trust an employee places in an employer. In a nutshell loyal employees dedicate their services to the success of an organisation and do not actively search for an alternative employment and are not responsive to others.

3.11.2 Differing Concepts of Loyalty

1. **Recruitment of employees “at will”:** The nature of appointment by the organisation had its impact on loyalty. If an employee

is appointed “at will”, there is no security of job and employees feel less loyalty to an organisation. Of course “at will” employment means the employee can also quit the job at any time.

The right to “equal treatment with respect to employment” protects persons in all aspects of employment, including applying for a job, recruitment, training, transfers, promotions, terms of apprenticeship, dismissals, layoffs and terminations.

2. **Economic phenomenon affecting loyalty:** An economic phenomenon affecting loyalty in the private sector was the switch from defined benefit to defined contribution retirement plans. In defined benefit plan employee benefits are usually sponsored or paid fully by the employer and calculating using formula based on length of employment, salary history and other factors. In that the employer administers the plan and manages the investment risk, promising the employee to set payout upon retirement. Often it is called pension plans on retirement.

In contribution plan, the employees invest a certain percentage of his salary in the form of retirement fund, where it is matched (partially or fully) by the employer. Defined benefit plans reward longevity in the firm, whereas defined-contribution plans reward high earnings over seniority. Thus with the growth of defined contribution plans, some reasons for staying with the same employer over time are no longer applicable.

3. **Two leading reasons to leave the job:** There are two leading reasons that compel the employee to leave their job. They are at first higher pay and second, personal reasons like family problems, health, marriage etc.
4. **Money alone does not motivate an employee to higher performance:** It is true that increasing salary or other benefits like bonuses or rewards or increments can be a way of demonstrating both the company’s loyalty to its employees and the role it believes employee’s best interest play in its mission. For example, some employees, simply being acknowledged and thanked for their service and good work can go a long way toward sparking their loyalty.

5. **Improve employees loyalty is a challenge to managers:** In any organisation or company salary plays an important role in an employee's decisions to move to a new job. Therefore retention of bonuses is a popular and perhaps more successful technique for instilling loyalty. Maintaining competitive pay is an important part in instilling loyalty of the employee to the employer or an organisation.
6. **Change in the attitude of old and present generation of employees:** Now-a-days, the attitude of the most of the employees is not to stay with the current job longer than three years. Their attitude is to shift to a another job for better pay for better future or career. But the old employees are different. Old employees believe that working for the organisation in their best option.

3.12 OUTCOMES

- Understand the value of education, professional integrity, respect and equality, privacy, develop trusting relationships.
- Understand the development of positive cooperation and respecting their competence of other professions.
- To know the scope of applicability of privacy laws and classifications of privacy law.
- Understand about the loyalty and its goals and objectives.

3.13 REVIEW QUESTIONS

I. Long Answer Questions

1. What do you understand by Professional Integrity and respect and explain about building relationship in professional ethics?
2. What is meant by professional integrity? Is it possible in actual practice.
3. What is meant by Equality? What are its different kinds?
4. What is privacy? What are its aspects of privacy?
5. Explain the concept of positive Cooperation and respecting the competence of others in professional ethics education.

6. What is openness? What are its contents?
7. Assess the role of loyalty in an organisation towards its goals and objectives?
8. Explain Privacy law and its classification?

II. Short Answer Questions

1. What do you mean by professional ethics. Explain.
2. Competence in professional Ethics.
3. What is professional integrity?
4. Tips for maintaining integrity.
5. Define economic equality?
6. Define social equality?
7. Explain advantages of cooperation?
8. Define privacy law?
9. Define political equality?
10. Define legal equality?

3.14 MULTIPLE CHOICE QUESTIONS

1. Competence in professional ethics refer to _____ ()
 - (a) Ability to utilize power effectively
 - (b) Ability to augment the universal human order
 - (c) Ability to make profit
 - (d) Both b and c.
2. Developing ethical competence in the profession is the only effective way to ensure (Professional ethics) ____ ()
 - (a) Professional ethics
 - (b) Family
 - (c) Love
 - (d) None
3. Professional ethics is the implication of _____ ()
 - (a) right understanding
 - (b) Prosperity
 - (c) Harmony
 - (d) Body

4. _____ is the ability of an individual to do a job properly. ()
 (a) Fulfill (b) Right understanding
 (c) Competence (d) Ethics
5. Competence is _____. ()
 (a) Experience (b) Knowledge
 (c) Both a& b (d) None
6. Professional ethics means to develop professional competence with _____. ()
 (a) Ethical human conduct (b) Prosperity
 (c) Happiness (d) None
7. Values important for relationship are many they may include _____. ()
 (a) Aggression (b) Competition
 (c) Integrity and character (d) Arroga
8. ____ is the implication of right understanding in profession. ()
 (a) Professional ethics (b) Competence
 (c) Behavior (d) Attitude

Answers

1. (d)	2. (a)	3. (a)	4. (c)
5. (c)	6. (a)	7. (c)	8. (a)

Skill Development Course
Office Secretaryship
As per Choice Based Credit System (CBCS)
Common to all Branches



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Office Secretaryship

Learning Outcomes

By the successful completion of course, the student will be able to;

1. Understand the organizational hierarchy and outlines of functioning.
2. Comprehend the role of office secretaryship in a small and medium organization.
3. Acquire knowledge on office procedures and interpersonal skills.
4. Apply the skills in preparing and presenting notes, letters, statements, reports in different situations.

Unit-I: Introduction

Introduction - Organisational structure of a small and medium organization - Types of offices - Kinds of secretaries - The scope of office secretaryship.

Unit-II: Office Secretary

The role of an office secretary - Duties and responsibilities - Usage of different devices - Flowchart and office manuals - Coordinating different wings of an office/organisation - Arranging common meetings - Operations of banking and financial services - travel and hospitality management services.

Unit-III: Office Procedures

Office procedures - Filing - Circulating files - Preparation of notes, circulars, agenda and minutes of meetings - Issue of press notes - Maintenance of files and records - Inventory, office, human resources, financial and confidential - maintaining public relations.

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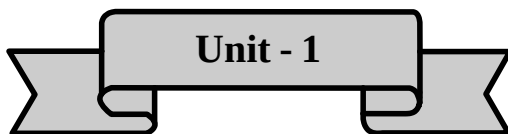
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INTRODUCTION

1.0 OBJECTIVES

After completing this unit you will understand:

- Understand the organizational hierarchy and outlines of functioning.
- Comprehend the role of office secretaryship in a small and medium organization.
- Define organization and organizing.
- Appraise the concepts and importance of organization.
- Identify the elements and types of organization.
- Understand the different types of Offices.
- Explain various kinds of Secretaries.

1.1 INTRODUCTION

Any business activity becomes a reality only when efforts are made to bring the resources together. Mere availability of resources such as capital, machinery, raw materials, labour, etc., is not enough. There is a need to organise these resources in a systematic manner and ensure coordination among them to attain the desired result. The word 'organisation' derived from the word 'organise' means put together. In the present day context, any business activity calls for the combined and coordinated effort of a group of people. Thus, an organisation is a team of persons coming together for the purpose of achieving a common objective. Organisation is an instrument through which the activities are

performed. Organisation does not mean only the world of business but it also refers to educational institutions, hospitals, banks, government departments etc.

1.2 ORGANISATION

We now know that organisation is one of the major functions of management. In layman terms, one can look at organising as an activity to eliminate chaos and introduce a systematic functioning in the enterprise. But by organisation definition, the organisation helps in establishing authorities, dividing workloads, assigning responsibilities, grouping tasks and allocating resources.

This is of utter importance because once the plans have been laid there is a need to allocate resources, divide tasks, workforce, ensure optimal utilisation of resources etc. so that the objectives are fulfilled. Further, it facilitates the collective working of the various members of the enterprise in an ordered manner.

Also, organisation involves defining various roles that need to be filled by suitable employees and establishing relationships between these defined goals to eliminate ambiguities in performance. In turn, this groups the activities clarifies the amount of power and authority in the hands of different employees and clarifies the responsibility for various activities within the enterprise.

In a nutshell, an organisation can be defined as a process that defines the resources as well as allocate them, coordinates human efforts and integrates both in order to achieve the defined goals.

1.2.1 Definitions of Organization and Organizing

Different experts have defined the term organization in different ways by emphasizing different characteristics of organization. The definitions given by some well known theorists are as given below.

According to **Mooney and Railey** *“Organization is the form of human association for attaining common objectives.”*

According to **Louis A. Allen** *“Organization is the process of identifying and grouping the work to be performed, defining and delegating responsibility and authority and establishing relationships for the purpose of enabling the people to work most effectively together in accomplishing objectives.”*

According to **Keith Davis** *“Organizing is the process of combining the work which individuals and groups have to perform with*

the facilities necessary for its execution that the duties so formed provide the best channels for efficient positive and coordinated application of available efforts."

According to **George Terry** *"Organizing is the establishing of effective behavioral relationships among persons so that they may work together efficiently and gain personal satisfaction in doing selected tasks, under given environmental conditions for the purpose of achieving some goal or object."*

According to **Koontz and O'Donnell** *"Organizing involves grouping of activities necessary to accomplish goals and plans, the assignment of these activities to the appropriate departments and the provisions for authority delegation and coordination."*

Organization and Organizing are different terms used in which organization is a noun which means "Association of persons coming together to do any activity". Organizing is adverb which, means "Managerial activity in an organization to implement any plan."

From these definitions one can understand that organization is a human association, a process of identifying and grouping the work, delegating authority and responsibility and establishing relationships among people together to accomplish objectives. Organizing is a process of combining the work for efficient, systematic, positive and coordinated relationships among people necessary to accomplish goals as per plans.

1.2.2 Elements of Organization

From the definitions and different views expressed by different authors regarding the word organization one can understand certain characteristics. One thing which is common in all the view points is that organization is the establishment of authority relationship among persons so that it helps in the achievement of organizational objectives.

- i. **A Group of People:** A Group is a small number of people who are together in the same place. People are very important element in an organization. Without people, there is no organization. An organization is a group of people come together to do any activity. Organization consists of formal and informal group of people. Groups having a well-defined structure are formal groups in which they define the superior subordinate relationship in an organization. Informal groups relates to personal attitudes, likes and dislikes in order to satisfy personal and social needs. Groups provide individuals an opportunity for exchange of ideas, thoughts, experiences and

knowledge. Organizations encourage formation of a variety of groups within the organization, which help in realization of goals.

Eg: Cricket team is a formal group. Friendship group is an informal group.

- ii. Division of Work:** Division of work means identifying total work of the enterprises into small components, activities and functions. These activities are allotted to different individuals based on their skills and aptitude towards the task. When each individual performs task repetitively over and over, his or her ability to perform job continually increase which leads to specialization. According to **Fayol** *“the object of division of work is to produce more and better work with the same effort”*.

Ex: When we go a restaurant to have a dinner. Firstly someone takes order. He is called steward. Once that was completed, it will be submitted to the cooks. The cook prepares meal and places it on the counter. Someone working at the counter collects cooked food and serves it to us. Those are the different activities that take place to fully complete one task. Each task is a division of complete task.

- iii. Objectives:** Objective means purpose or aim. Every organization shall have specific objectives. For example a kirana shop has an objective of selling goods to make profit. The objectives are broken into small parts known as goals. Individuals contribute their energy to achieve these goals within a specified time. Objectives facilitate policy formulation and the planning and control.

Ex: A doctor's objective is to save life. Objective of business is making profit.

- iv. Structure:** A structure is an orderly arrangement of activities. Within the structure people work to achieve the desired objectives. It is an arrangement for relationships, power, roles, functions and objectives and it concentrates on the division of work, specialization, departmental delegation, authority and responsibility etc. The organizational structure helps management tasks to be done easily and smoothly through the identification of different tasks, grouping together of similar activities and assigning tasks to individuals. The organization structure should be adaptable, flexible, problem solving and professional.

- v. Cooperation and Communication:** Cooperation means sharing of efforts. In order to complete a task there must be cooperation among people. It increases harmony and develops a positive attitude which leads to coordinated effort. Cooperation allows people and groups to work together to achieve a common goal. For in-

stance taking restaurant as an example, the cook and the steward should have cooperation. Otherwise food is not served properly. That leads to loss of respect and business.

Communication is sharing of feelings i.e., exchange of information between two or more persons. In order to improve understanding among people there must be a good communication. Effective communication leads to better performance and effective realization of goals.

For example, in construction of wall one person holds a brick, and then another person lays the brick. If cooperation is missing bricks fall on the head and he may injure if wall is not complete.

Superior calls subordinate and explains how to greet and respect customers is an example of communication. Otherwise, customers will not be respected.

vi. Co-ordination: Coordination is the act of making different people or things work together for a goal. It involves unity of purpose and harmonious implementation of desired ends. Coordination and control are essential in an informal organization to lead the performance in the right direction. It is one of the key functions of management.

Ex: When a sales manager is making a plan to increase his sales target, he should consult the production manager, the purchase manager, and the finance manager etc., to see that the goods are produced according to sales orders. Finance manager shall supply adequate funds to purchase materials etc. Coordination ensures avoiding any problem that may arise in future. Thus, coordination is essential.

vii. Authority and Responsibility: Authority means right to take decisions. They guide the actions of another. Responsibility means an obligation to perform duty assigned to a subordinate. The structural relationship becomes effective with the allocation of authority and responsibility between superior and subordinates.

Ex: In a college the principal is superior. He has authority to take a decision regarding conducting a sports day. He assigns responsibility of conducting sports events to P.T. Then he will get authority to take decision regarding various events to be included and so on.

viii. Rules and Regulations: Rules are guidelines and regulations are orders. Directions are required in an organization to keep everything in a systematic way. If rules are broken employees are liable for punishment. Thus, they are essential for the achievement of organizational goals.

Ex: All traffic should drive only on left side is a rule. Police shall see that this rule is followed by giving an order that if any one violates rule he will be punished.

An examination of the elements reveals that organizations are complex, dynamic and interactive systems. Individuals in organizations interact, performs task continually that leads to specialization. They need to maintain coordinated relationship, develop clarity of goals, involve in communication, act in cooperation and follow rules and regulations which are important to achieve organizational goals.

1.2.3 Nature of Organization

1. **Division of work or Specialization:** The entire philosophy of organization depends on the concept of specialization and division of work. In specialization, various activities are assigned to different people who are specialists in that area.
2. **Orientation towards Goals:** Every organization has its own purposes and objectives. Organizing is the function employed to achieve the overall goals of the organization.
3. **Composition of Individuals and Groups:** Individuals form a group and the groups form an organization. Individuals are grouped into departments and their work is coordinated and directed towards organizational goals.
4. **Differentiated Functions:** The organization divides the entire work and assigns the tasks to individuals; each one has to perform a different task and tasks of one individual must be coordinated with the tasks of others.
5. **Continuous Process:** An organization is a group of people with defined relationship to each other. These relationships do not come to end after completing a task. Organization is a never ending process.

1.2.4 Importance of Organization

Sound organization enables to accomplish goals and contribute to success. The following points clarify the importance of organization.

1. **Optimum utilization of Resources:** Organization brings human resources through recruitment, trains and places them in works. They are provided material, technical and financial resources. These resources are used in a structured manner. This brings harmony in their efforts, improving the communication network and motivating them to improve their efficiency. These ensure an optimum use of human resources of an enterprise.

2. **Facilitates Administration:** Administration is concerned with determination of objectives, policies, coordination of finance, production and distribution and also setting up of an organizational structure under executive control. Effective administrative work is possible with the support of sound organization. An Organization sets up all environments for effective delegation and securing coordination at various levels. Therefore a sound organization enables effective administration with certainty and continuity.
3. **Optimum utilization of Technological Improvement:** Organization helps in the optimum use of technology. Flexible and structured organizations accommodate improvement, extensions and so on. It is possible to incorporate several technological developments and increase in efficiency. Organization promotes solutions to the problems by creative and intelligent application of technology.
4. **Ensures Growth, Expansion and Diversification:** Organization is the base on which the company grows and diversifies its activities. Organization continuously changes, while facilitating day to day activities. This helps for the growth, expansion and diversification of activities. Expansion and diversification enable organization to employ more persons without disturbing the work.
5. **Encourages Initiative and Creativity:** Initiative implies the power of thinking out a plan and ensuring its successful implementation. A good organization provides a scope for taking initiative. Persons are allowed to try new ideas for improving their work. Organization encourages initiative and creativeness among people which leads to self development of people and overall development of organization.
6. **Better Human Relations:** A good organization enables to maintain good human relations with people. Organization should clearly define role, work, authority and responsibility of people. Each individual should perform task coordinately and maintain cordial relations with each other. Human relations should be maintained at various levels of management for the successful attainment of organizational goals.

1.2.5 Advantages of Organzing

The following are the advantages of organization:

- (1) **Increase in Managerial Efficiency:** A good and balanced organization helps the managers to increase their efficiency. Managers,

through the medium of organization, make a proper distribution of the whole work among different people according to their ability.

- (2) **Proper utilization of Resources:** Through the medium of organization optimum utilization of all the available human and material resources of an enterprise becomes possible. Work is allotted to every individual according to his ability and capacity and conditions are created to enable him to utilize his ability to the maximum extent. For example, if an employee possesses the knowledge of modern machinery but the modern machinery is not available in the organization, in that case, efforts are made to make available the modern machinery.
- (3) **Sound Communication possible:** Communication is essential for taking the right decision at the right time. However, the establishment of a good communication system is possible only through an organization. In an organization the time of communication is decided so that all the useful information reaches the officers concerned which, in turn, helps the decision-making.
- (4) **Facilitates Coordination:** In order to attain successfully the objectives of the organization, coordination among various activities in the organization is essential. Organization is the only medium which makes coordination possible. Under organization the division of work is made in such a manner as to make all the activities complementary to each other increasing their interdependence. Inter-dependence gives rise to the establishment of relations which, in turn, increases coordination.
- (5) **Increase in Specialization:** Under organization the whole work is divided into different parts. Competent persons are appointed to handle all the sub-works and by handling a particular work repeatedly they become specialists. This enables them to have maximum work performance in the minimum time while the organization gets the benefit of specialization.
- (6) **Helpful in Expansion:** A good organization helps the enterprise in facing competition. When an enterprise starts making available good quality product at cheap rates, it increases the demand for its products. In order to meet the increasing demand for its products an organization has to expand its business. On the other hand, a good organization has an element of flexibility which far from impeding the expansion work encourages it.

1.2.6 Principles of Organization

The Principles of an organization are guidelines to managers to effectively design an organizational structure. F.W. Taylor, Henry Fayol, Lyndall Urwick, Mooney and Railey have given various principles for efficient and effective organization.

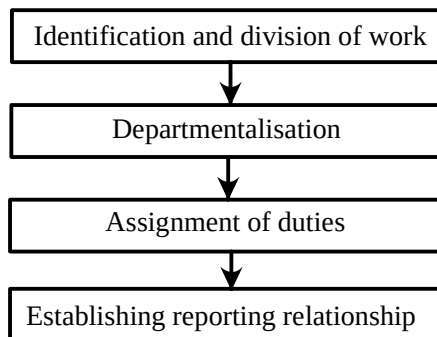
1. **Principle of Objective:** Objectives are the statement of purpose of existence. Principle of objective implies that objectives should be clearly stated. In an organization there are various departments which perform several tasks but there is a possibility of conflict arises among them which lead to conflict in organization. In order to eliminate conflicts there must be a common objective for the organization.
2. **Principle of Specialization:** Specialization means performing a task continuously and effectively as compared to other task. This helps in increased production in the concern. This principle states that an employee should continue to do the same work so that he specializes in the work. Specialization is the result of division of labor i.e., dividing the total task in to small manageable components and assigning them to individuals. When each individual is allowed performing task continuously he will attain specialization.
3. **Principle of Authority and Responsibility:** Authority is the right to take decisions for the commitment of organizational resources. Responsibility is the obligation to perform tasks. This principle implies that if a superior delegate his authority to his subordinate the superior is not free from his responsibilities though subordinate is liable to his superior. Authority and responsibility go side by side. When authority is delegated then some responsibility for getting the assigned task is also fixed. A sound organization requires authority to flow in an uninterrupted manner from the higher level to lower level.
4. **Principle of Coordination:** Coordination means making different people to work together for a goal. This principle states that each and every individual should work in a coordinated way. In an organization people perform several tasks in various departments. The management should coordinate the activities in such a way that it can perform its activities effectively and systematically.
5. **Principle of Balance:** According to this, proper balance is necessary in organization in relation to activities, based on their importance, size and functions. This principle implies that the work should

be divided in such a way that everybody should have a fairly balanced work in every activity.

6. **Principle of Continuity:** Organizations are ongoing concerns. With the changes in methods of production and marketing system, organizations should be amendable to the changing situations. This principle states that organizations should be dynamic and ever changing as per the needs of society. There should always be a possibility of making necessary adjustments so that it should be serviceable for a long time.
7. **Principle of Span of Control:** Span of control refers to the number of subordinates who are required to work under the supervision of a superior. According to this principle span of control should be minimum because there is limit to the number of persons that can be effectively supervised by one boss. For effective supervision and control it is important to determine the number of subordinates as the superior is capable of managing. If span of control is disproportionate, it affects the efficiency of workers and organization i.e., too many subordinates will overburden a superior's capacity.
8. **Principle of Definition:** Organization should clearly define the roles, authority and responsibility of individuals. When each individual performs allotted task perfectly, systematically and efficiently it leads to attainment of organizational goals. Similarly, there must be a balance between authority delegated and responsibility entrusted to a position.
9. **Principle of Exception:** Exception refers to concentration of those activities which have an impact on performance. This principle implies that top management should concentrate on important matters by leaving routine things so that valuable time of management is not wasted. It allows executives to refer only exceptional matters for their decision and matters of routine nature should be decided by the subordinate themselves. Therefore, each and every minor activity is not worth consideration by the top management.
10. **Principle of Unity of Command:** Unity of command refers to an employee should receive orders only from one superior. If more than one superior exercise their authority over the same employee, it leads to disorder, delay, indiscipline and confusion. This principle minimizes the possibility of conflicts in instructions and develops the feeling of personal responsibility for the work.

11. **Principle of Uniformity:** Uniformity refers to having one or the same form. The work is to be distributed to employees in a uniformity manner so that conflicts do not arise. Each employee should be allotted task in his respective area to maintain uniformity and to avoid confusion.
12. **Principle of Simplicity:** The organization structure should be simple and clear to understand by each and every person. Simplicity makes a person to manage activities effectively and efficiently. If the organization structure has a large number of levels, the problem of effective co-ordination and communication may arise.
13. **Principle of Efficiency:** Efficiency refers to capability to work. The efficiency of an organization can be determined through the achievement of organizational goals at a minimum cost. If an organization utilizes fully available human and material resources, it leads to efficiency. Efficiency makes the attainment of job satisfaction to various employees.
14. **Scalar Principle:** This principle is sometimes known as the “chain of command”. It refers to the flow line of authority from the higher level to the lower level in the organization in an uninterrupted manner. The line of authority should be clearly defined for establishing a clear line of command to avoid confusion. This principle suggests that as far as possible the scalar chain of authority should be short and should not be broken.

1.2.7 Steps in the Process of Organisation



So we can broadly list the steps in the process of organisation as follows

1. **Identification and Division of Work:** The organisational work commences with an identification of the extent and the amount of

work that needs to be done and dividing this into manageable activities. The idea behind this is to eliminate duplication and share the burden of work.

2. **Departmentalisation:** Now as the work has been redefined as a number of manageable activities, the next step is to group activities according to a predefined basis. This basis decided what activities are similar to each other. All the similar activities are assigned to a particular department. All in all, a number of departments are defined that are concerned with their own set of activities.
3. **Assignment of Duties:** The next step involves the distribution of work among the employees in organisations. The responsibility of looking after the functioning of each department is given to an individual. Further, jobs are allocated to employees.

It is important to realize that this assignment of jobs should be done in such a manner that the employees most suited for a particular type of job ultimately perform it. This ensures, a proper match between the ability and the type of job of the employee and subsequently effective overall performance.

4. **Establishing Reporting Relationships:** The final step is concerned with erecting a hierarchical structure and effecting communication among the diverse departments. This is done by establishing relationships. Effectively this means that every employee should be made aware of whom he has to take orders from and prove his accountability.

1.3 ORGANIZATIONS STRUCTURE

The term organization is understood as a structure and also as a process. It is used in static and dynamic sense. In a static sense, an organization is a structure i.e., “Organization structures are group of people functions within the structure and try to accomplish certain objectives”.

In a dynamic sense, an organization structure is ever changing as per needs of society i.e., “An organization structure must be designed to work, to permit contributions by members of a group and to help people, to achieve objectives efficiently in a changing future”. Organization structure specifies which individuals will work as subordinates to which superiors. Hence, Organization structure is defined as “The logical arrangement of task and the network of relationships and roles among the various positions established to carry out the activities necessary to achieve the

predetermined objectives of business". Organization suggests the structure with in which people associate for the attainment of objective.

Definitions of Organization Structure

Different experts have defined the term organization structure in different ways. Each of the definition emphasizes different characteristics of organization structure. The definitions given by some well known theorists are as given below.

1. According to **Kast and Rosenzweig**, *"Structure is the established pattern of relationships among the component parts of the organization"*.
2. According to **March and Simon**, *"Organization structure consists of only those aspects or pattern of behavior in organization that are static and change very slowly"*.
3. According to **Stephen.P.Robbins** has defined organization structure as *"how job tasks are formally divided, grouped and coordinated"*.

From the definitions one can understand that organization structure is deliberately created to attain specific goals. It acts as framework such as dividing, grouping and coordinating activities in a systematic manner.

1.3.1 Significance of Organization Structure

- Properly designed organization can help improve teamwork and productivity by providing a framework within which the people can work together most effectively.
- Organization structure determines the location of decision-making in the organization.
- Sound organization structure stimulates creative thinking and initiative among organizational members by providing well defined patterns of authority.
- A sound organization structure facilitates growth of enterprise by increasing its capacity to handle increased level of authority.
- Organization structure provides the pattern of communication and coordination.
- The organization structure helps a member to know what his role is and how it relates to other roles.

1.3.2 Principles of Organization Structure

Modern organizational structures have evolved from several organizational theories, which have identified certain principles as basic to any organization structure.

- a) **Line and Staff Relationships:** Line authority refers to the scalar chain, or to the superior-subordinate linkages, that extend throughout the hierarchy (Koontz, O'Donnell and Weihrich). Line employees are responsible for achieving the basic or strategic objectives of the organization, while staff plays a supporting role to line employees and provides services. The relationship between line and staff is crucial in organizational structure, design and efficiency. It is also an important aid to information processing and coordination.
- b) **Departmentalization:** Departmentalization is a process of horizontal clustering of different types of functions and activities on any one level of the hierarchy. Departmentalization is conventionally based on purpose, product, process, function, personal things and place.
- c) **Span of Control:** This refers to the number of specialized activities or individuals supervised by one person. Deciding the span of control is important for coordinating different types of activities effectively.
- d) **Decentralization and Centralization:** De-centralization refers to decision making at lower levels in the hierarchy of authority. In contrast, decision making in a centralized type of organizational structure is at higher levels. The degree of centralization and decentralization depends on the number of levels of hierarchy, degree of coordination, specialization and span of control.

Every organizational structure contains both centralization and decentralization, but to varying degrees. The extent of this can be determined by identifying how much of the decision making is concentrated at the top and how much is delegated to lower levels. Modern organizational structures show a strong tendency towards decentralization.

1.4 TYPES OF ORGANIZATIONS

1.4.1 Based on Organization Structure

An organization is formed with certain properties and specific characteristics. Individuals form an association to attain the group goals. Organizations can be classified as business, military, service, banking, gov-

ernment, judicial, religious etc. Based on organization structure, organizations can be formal and informal.

1. **Formal Organization:** A formal organization has a well defined system and specific properties. It clearly defines measures of authority, responsibility, obligation and accountability for attaining the specific objective of the organization. Formal organization is a fixed set of rules of intra- organization procedures and structures. Individuals have to do certain things in a specific manner, obey orders from designated individuals and cooperate with others. Thus, it facilitates the determination of objectives and policies, communication, delegation of authority and coordination according to a pre-scribed pattern.

Features of Formal Organization: The following are the features of formal organization.

- 1) The formal organizational structure is created intentionally by the process of organizing.
- 2) The formal organization has a specific organizational goal.
- 3) In formal organization, every individual is assigned a specific job, a fixed authority or decision-making power.
- 4) Formal organizational structure creates a scalar chain of communication in the organization.

Advantages: Formal organizations help people to achieve goals. They help in continuous existence. The advantages are described here.

- 1) **Achievement of Organizational Objectives:** Objectives are the statement of purpose of existence. A formal organization has well-defined objectives. The organizational objectives are laid down for the individuals to achieve goals.
- 2) **Systematic Working:** Individuals in an organization have specialized functions. They are assigned jobs, duties and responsibilities. They are responsible for achieving objectives within a specified period of time. This is possible when they perform their respective jobs systematically, it results in systematic and smooth functioning of an organization. Formal organization helps in conducting activities in a systematic manner.
- 3) **No Overlapping of Work:** In formal organization work is clearly defined, and divided among various departments and employees.

So there is no chance of duplication or overlapping of work. This avoids confusion and ambiguity among people.

- 4) **Co-ordination:** Coordination is uniformity, consensus in thinking and action. Since individuals perform their respective jobs, their activities are required to be coordinated to attain the objectives of the organization otherwise organization collapses. Coordinated effort is possible only through formality of procedures.
- 5) **Creation of Chain of Command:** Chain of Command is the unbroken line of authority that extends from the top level to lower level. It clearly defines superior subordinate relationship i.e., who reports to whom. Formal organizations are basically identified the chain of command. Chain of command in formal organizations leads to clarity in the working.
- 6) **Succession:** Formal organizations create documented procedures. They help as directions for future. So even if people retire and new individuals enter as formal organizations exist continuously over a long time period.

Disadvantages: In spite of several advantages, formal organizations suffer from these limitations.

- 1) **Delay in Action:** Formal organization defines authority relationship through a scalar chain. So every communication should pass through the chain. This results delay in taking action.
- 2) **Ignores Social needs of Employees:** Social needs such as associating, making friendships, seeking affection etc., which are essential for every individual to lead a happy life. But in the formal organization all activities are done in a well-defined structure by eliminating personal communication, relationships and personal understanding among employees. This lead to de-motivation of employees.
- 3) **Emphasis Work Only:** In formal organization each and every individual should concentrate on work and also perform their duties and responsibilities in a systematic manner by ignoring human relations, creativity, talents etc.
- 4) **Informal Organization:** Social structure of an organization focuses on social interaction and relationships between members. Informal organization is a group of people instantly combined themselves to do a specific activity. The members of an informal or-

ganization do not follow any rules and regulations. Communication is done through the grapevine. Grapevine is unstructured communication. Informal organization is in the form of friendship groups or other small groups with informal organization. Hence, it is a network of personal and social relationships.

Features of Informal Organization

- 1) Informal Organizations are formed by the employees to get psychological satisfaction.
- 2) Relationships in informal organization structure are created automatically without any intended efforts of managers,
- 3) Individual needs are given top priority in these organizations.
- 4) Authority and communication does not follow any fixed path of flow.
- 5) Leadership is developed spontaneously.

Advantages of Informal Organization

- 1) **Fast Communication:** Communication in informal organization is fastest as there is no flow of line of authority from top to bottom. This leads to speedier decisions. The communication system is known as Grapevine.
- 2) **Fulfills Social Needs:** It gives due importance to psychological and social need of employees. These needs motivate the employees to perform better.
- 3) **Correct Feedback:** In this organization, superior subordinate maintains a friendly relationship. They share information easily and quickly on various matters. The top level managers know the real feedback of employees on various policies and plans.
- 4) **Safety Value:** Informal organization facilitates sharing of information on work related stress. This enables employees to release their anxiety and tension. Stress free employee contributes more to productivity.

Disadvantages of Informal Organization

- 1) **No Systematic Working:** Working relationships in informal organization are ill structured. They do not follow any particular direction. There is no systematic form of structure for smooth working of an organization.

- 2) **More Emphasis to Individual Interest:** It lays more emphasis on individual interest than organizational interest. Individuals perform task and show interest to achieve their own goals but not organizational goals.
- 3) **Source of Information:** Sources of information is difficult to be established in informal organization as any person can communicate with anyone in the organization.
- 4) **May bring Negative Results:** Members in informal organization may strongly oppose the policies and changes initiated by management. Then it becomes very difficult to implement them in a smooth manner.

In spite of limitations informal organizations render a lot of support to management. Manager should develop skills to make use of these organizations for the benefit of organization.

Differences between Formal and Informal Organizations

It would be appropriate to appreciate the differences for better understanding of these organizations. The differences are presented here:

Difference between Formal and Informal Organisation

Basis of Differences	Formal Organisation	Informal Organisation
Meaning	A formal organisation is one with fixed set of rules, procedures and structures.	An informal organisation is a network of personal and social relationships.
Formation	It is formed by the top level management with conscious effort.	An informal organisation is formed spontaneously guided by social forces within the formal organisation.
objectives	The objectives or goals are specific and well-defined. The main objectives of a formal organisation are productivity, growth and expansion.	The objectives are not specific and well defined. The main objectives of an informal organisation are friendship, security, common interest, individual and group satisfaction.

Rules and regulations	The members of a formal organisation have to follow certain rules and regulations.	The members of an informal organisation need not have to follow any rules and regulations of formal organisation.
Stability	A formal organisation is stable.	An informal organisation is not stable.
Superior-subordinate relationship.	In a formal organisation there exists a superior-subordinate relationship. Manager becomes leader.	In an informal organisation, there is no such superior-subordinate relationship. Leaders emerge spontaneously.
Benefits for members	The members of formal organisation get financial benefits like wages or salaries, bonus, etc.	The members of informal organisation get social and personal benefits like friendship, community, group's recognition, appreciation, status, etc.

1.4.2 Based on Authority

Types of organizations based on authority relationships and contributions to goals are described here.

- 1) Line organization
- 2) Staff organization
- 3) Line and Staff organization
- 4) Functional organization

1) Line Organization: It is also called as military/scalar organization. Line organization is a relationship of authority between the superior and subordinates in a hierarchical arrangement i.e., the authority flows vertically from top to the bottom and the command is through a straight and unbroken line. The superior has control over his immediate subordinates. There are less levels of authority and a small number of people. Lines are positions having authority for taking decisions.

They contribute directly to the basic goals of organization. Their work contributes revenue to the organization. The top level management are responsible for accomplishing basic objectives. They issue orders and implement plans and policies with the help of subordinates. They are authorized to maintain discipline. The line organization maintains direct communication from the higher to lower levels and vice versa.

But due to concentration of authority at top level and lack of specialization, line organization is suitable for only small organization. A line organization figure 1.1 is shown here.

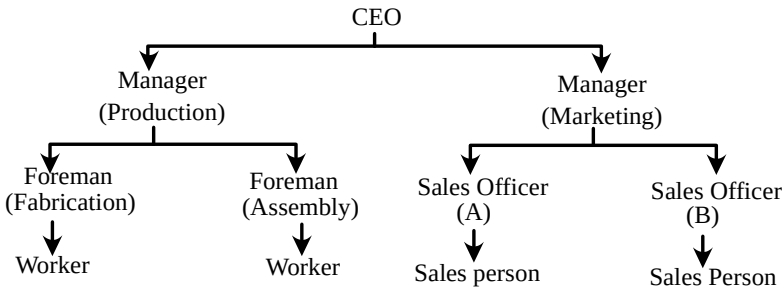


Figure-1.1: Line Organization

2) **Staff Organization:** The whole task of the enterprise is divided into specialized functions and each function is performed by a specialist. These specialists are known as ‘staff’. Staff specialists are attached to line positions to advise them on important matters. The staff positions are created to support the line managers. They have no authority to command subordinates in other departments. They have line authority over the subordinates working in their own department. Staff organization facilitates the accomplishment of organizational objectives by making available valuable advice and expert knowledge. Staff officers may be asked to suggest solutions to various problems encountered by line officers. Staff organization is shown in figure 1.2.

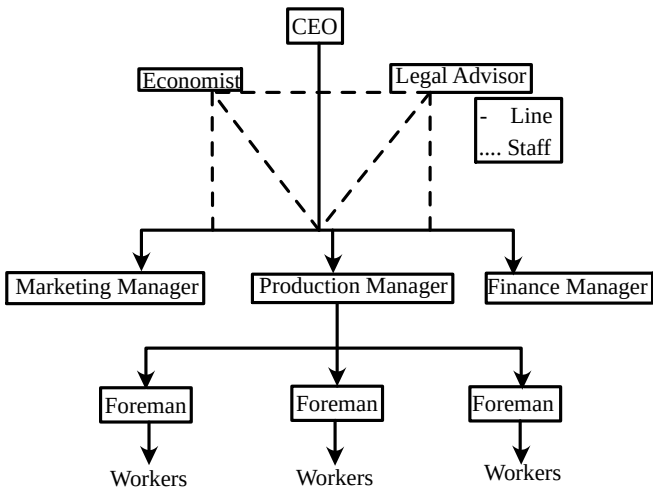


Figure-1.2: Staff Organization

- 3) **Line and Staff Organization:** In line and staff organization line authority moves down in the same manner as in the line organization. In addition specialists are attached to line managers to advise them on important matters. They are called 'staff'. They have the capacity to think, advice, analyze, research, recommend and supplement knowledge, whereas line is authorized to perform, command, execute policies and plans, establish superior subordinate relationships on all operational duties and responsibilities.

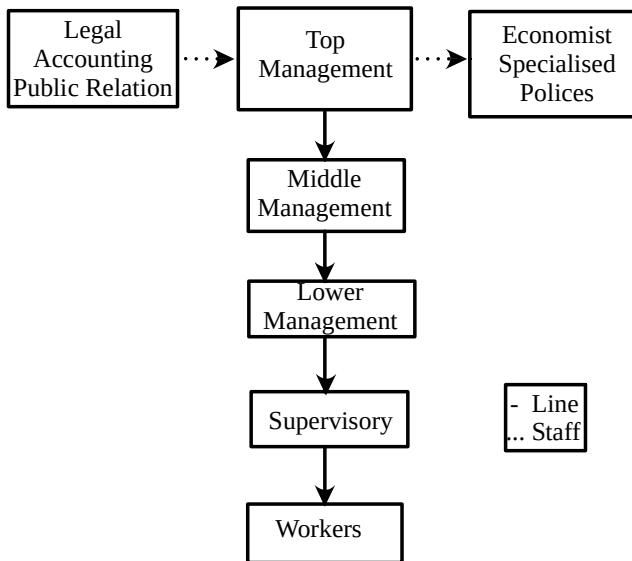
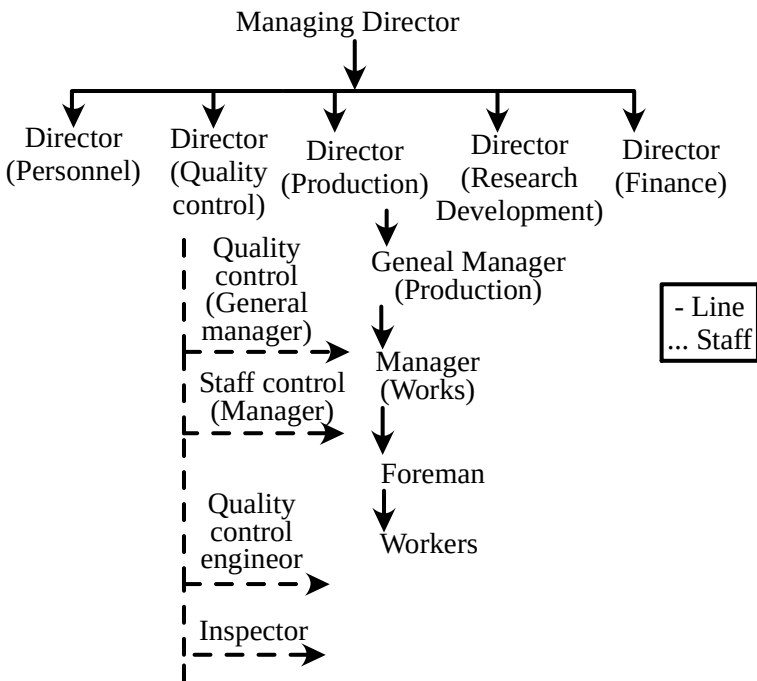


Figure-1.3: *Line and Staff Organization*

The line organization has authority and responsibility for production, and marketing whereas staffs are limited to finance, human resources, research and development and information system. They have no authority over the line authority. Line managers get the benefit of specialized knowledge of staff specialists. Staff specialists help the line managers in taking better decisions by providing them with adequate information of right moment and expert advice which helps in increasing efficiency of all workers at all levels. There is a possibility of conflicts relating to knowledgeable, recognition etc. Hence, there is a need for complete cohesiveness and confidence between the line and staff organizations which makes an organization success in every walk of life.

- 4) **Functional Organization:** Functional organization uses the principle of specialization based on function or role. In this organization superiors and subordinates perform their respective duties. The

line officers or managers exercise the direct authority (known as line authority) on even staff to achieve the organizational goals. Similarly the staff officers or managers have staff authority (i.e., authority to advice the line) over the line authority. Functional organization helps in achieving the benefits of specialization of work, reduces the burden on the top executives, facilitates better control and supervision and maintains a better industrial relation and mutual cooperation among members to have a great scope for expansion as compared to line organization. But there are obstacles such as lack of personal contact, coordination and violation of unity of command. Hence, a functional structure can be economical as only one function is given to an employee who performs the job quickly and qualitatively. Functional organizational chart is shown here figure 1.4.



1.5 MEANING AND DEFINITION OF OFFICE

Office is a place for transacting business where clerical and administrative functions are carried out to coordinate and control activities of the organization. A typical office performs tasks such as framing of business policies, processing and communication of information, record

keeping, handling mails, execution of orders and managing receipts and payments. Office can be described as any place where information converges on paper which is documented, preserved and used for both current and future operations of business.

Office activities have undergone a vast change in the last four of five decades. The old dingy, cluttered, stuffy office rooms have vanished and in their place we have well ventilated well-lighted, air-conditioned offices with up to date furnishings in alluring, designs. Gone are the day when the head of the concern personally supervised the work of clerks. Today, modern offices are organized on scientific principles and their management and administration are in the hands of specialized office manager.

Managers do not share the same room with clerks but sit in separate rooms. The clerks are supervised and controlled with the help of supervisors and through standard office systems, routines, office manuals etc.

The vast changes have led to an expansion in the scale of production and business activities. As the size of business enterprises grows, there is corresponding increase in the volume of office work. The office activities of today are not performed by general clerks but by specialized clerks – Receptionist, Cashier, Typist, Telephone Operators etc. There is also a greater division of labour. Departmentalization of office has been effected. The office managers of today welcome greater use of machines and minimal use of human beings in the office work. Machines-typewriter, telephones, computers, calculators, duplicating machines, Dictaphones, accounting machines, intercom, cellular phones, internet system etc. help to save time and labour. Computers are the latest additions to the long list of office machines. They are capable of performing most clerical operations at high speed without errors. Thus modern office are becoming more and more high-tech.

Office is an important section of a business. The term business implies office work. The dictionary meaning of office is “a place for the transaction of business, the room or department, where the clerical work is done,” or we can say “a place where business is carried on”, or it is “a place where all sorts of activities of organization are dealt with”. Office is the centre of an organization. Commercial office acts as a central directing and co-ordinating agency of the various activities of any business.

In modern age, the “office” is used in a broader sense. Prof. Dicksee states, “*An office is to a business what the mainspring is to a watch*”. An organization cannot be carried on without an office, as a watch without the mainspring is useless. In the present times, the modern office organization has so much importance as the brain in a human body. *Thus a commercial office can be called “a clearing house of all essential business information”*. The office has to receive or collect all information of the business, process the collected information (analyse, arrange and classify) and put them into understandable form on the one hand. On the other hand, the processed, information has to be presented or communicated to the management of the business, as and when required.

Definitions

A few definitions of office are given below

“An office is the administrative centre of a business. The purpose of an office has been defined as the providing of a service of communication and record” - **Mills & Standing Ford**

“An office is a place where business is transacted or professional service is available”. - **Random Hours Dictionary**

“Office is a unit where relevant records for the purpose of control, planning and efficient management of the organization are prepared, handled or preserved. Office provides facilities for internal and external communication and coordinates activities of different departments of the organization.”

- **Little field and Rachel**

“The essential feature of the office is the work itself, not who does it or where it is done. If it is office or clerical work in one place, it is office or clerical work everywhere regardless of where the work is done or who does it” - **Leffingwell and Robinson**

1.5.1 Office Work

According to the old concept “Office work” is mostly concerned with the records of an enterprise and making, preserving the records for further usage, so from this we can call office work as clerical work. And office work not only deals with records, it also includes communication, mechanical data processing, planning and scheduling etc.

Office work is mainly concerned with clerical work or paper work. But this is a very narrow view and is an old concept of office work. Now-a-days, office work has a very wide scope. Office work is primarily concerned with making, preserving and using records. The records are concerned about purchasing, producing, selling, accounting and correspondence, inventories and written or printed memorandum of all kinds. These records are essential for an efficient and effective control of the organization.

An office serves as the memory centre and control centre of an organization. The office performs many services like communication, reproduction, mechanical data, processing procuring of stationery, furniture and equipment, secretarial assistance etc., to other departments in an organization.

Office is a unit where relevant records for the purpose of control, planning and efficient management of the organization are prepared, handled and preserved. Office provides facilities for internal and external communication and co-ordinates activities of different departments of the organization.

The purpose of an office is

1. To preserve all the records of the business.
2. To handle incoming correspondence.
3. To plan the policies of the business and ensure their implementation.
4. To direct and co-ordinate the activities of the various department, and
5. To maintain accounts, statutory and non-statutory books etc., of the business.

1.5.2 Office Activities

Each office has a personality of its own. This personality is a reflection of the purpose for which an office exists. The manufacturing office will have a profile that differs from that of a sales office. The accounting office will have a different orientation from that of a research and development office. In organizing a new office the office manager must

first determine the prime reason existence of that office and then add the necessary ingredients to bring about an efficient operation entity that achieves predetermined results.

Although offices differ from one another in prime responsibility, many activities are commonly carried out by all the offices. Some of these activities are:

- a) Processing Incoming mail.
- b) Processing outgoing mail.
- c) Maintenance of records (Filing and Indexing).
- d) Establishing standard at office work.
- e) Designing and procuring at office forms, stationery etc.
- f) Recruitment and training of office staff.
- g) Maintenance of furniture, machines, appliances etc.
- h) Preparation of statements, reports etc.
- i) Maintenance of accounts and other financial records.
- j) Handling Telephone calls and enquiries.
- k) Preparing update information for the whole firm.
- l) Arranging the data in a quickly and accessible form for use.
- m) Safeguarding the assets.
- n) Keeping a prompt and accurate handling of enquiries orders etc.
- o) Maintaining efficient flow of work in the office.

1.5.3 Factors contributing to the growth of office work

The office work has tremendously grown in the modern economy. Due to the expansion of economic activities, the work has been increased manifold. The following factors have contributed to the growth of office work

- i) The management needs proper and timely information all aspects of business operations in order to arrive at intelligent decision – making.

- ii) When the business grows, office work also grows proportionately.
- iii) The work concerned with the preparation of returns to Govt., financial statements, dealings with employees etc., increase office work.
- iv) With increase of service activities such as accounting, banking, advertising, marketing, insurance damages etc., the paper work has increased tremendously.
- v) The importance of office in relation to customers is of great significance. Office acts as the channel that links the business organization with its customers.

1.5.4 Types of Office

The various types of office are as follows:

1. **Front Office:** It is a business term that-refers to a company's departments that come in contact with clients including the marketing, sales and service departments. The front office welcomes visitors, meets and greets them and handles their queries.
2. **The Middle Office:** Middle office comprises departments of financial service that manage position keeping.

These divisions ensure that transactions capture profit flows. The middle office is usually a part of operations division, which is also in-charge of settlement. Due to their critical role, middle office functions along with front office and is supervised by the back office managers.

3. **The Electronic Office or E-Office:** It was a term coined to cover the increasing use of computer-based information technology for office work, especially in the 1980s. it is widely used since all modern office are electronic offices.

E-office reduces most of the paper work and also makes the office communication electronic. E-office requires the use of individual computers loaded with software applications which are inter connected in Local Area Network (LAN).

4. **The Virtual Office:** It is the combination off-site live communication and address services that allow users to reduce traditional office costs while maintaining business professionalism. Virtual

office implies space utilization, but a full application includes professional live communications of tele conferencing.

5. **Back Office:** It is a part of most operations where tasks dedicated to operating the company are performed. The term comes from the building layout of early organizations where the front office would contain the sales and other customer facing staff and the back office would be those manufacturing or developing the products or involved in administration but without being seen by customers. Although the operations of a back office usually not given a lot of consideration, their contribution to the business is significant.

Examples of Back Office tasks include Accounting, Computerization of transact running (operation architecture), accounting and human supported by software and database.

1.6 SECRETARY

Meaning

The word Secretary is derived from the Latin word “Secretarius” which means “a confidential person”. As the word conveys an idea of secrecy, the title of Secretary is generally used to apply to an official who conducts confidential correspondence and performs such works. However, in today’s world, the duties of a Secretary have become so varied that a modern secretary is no longer just restricted to performing confidential work. A Secretary is, also sometimes called Personal Assistant, Executive Assistant or Professional Secretary etc. and considered to work for CEO, Chairman, Managing Director, Chief Manager, Departmental Heads and so on. Today, the profile of a Secretary has completely changed.

A Secretary has to be responsible person to whom an executive can delegate his/her routine duties, entrust confidential matters with full confidence to act on his/her behalf whenever necessary.

A Secretary is appointed to assist executives in all types of organization; whether commercial, manufacturing, industrial, educational or any other type. However, the functions and duties of a Secretary vary according to the nature and size of an organization. Basically, every Secretary has to perform certain routine duties. In an organization,

generally, a Personal Assistant is a junior official who has to perform the duties of a Front Office Assistant or a Stenographer, whereas a Private Secretary is usually attached to a top executive who has to perform such duties which require higher level of secretarial skills. He/She is considered as a link between the executive and the junior officials to facilitate implementation of the decisions taken. Nowa-days, every Private Secretary is supposed to be administrative specialist and well trained member of an office team.

Definition of Secretary: Functionally the term Secretary means a person who writes in secret on behalf of his superior or for body. The word Secretary has been derived from the Latin word Secretarius which means a confidant or a confidential officer. The Latin words Secretarius contains a sense of secretion or secrete.

Hence, from the definition two basic points have to be noted

- (1) A Secretary writes for his superior or for a body and not for himself. The word 'body' means a society, an association, a company, a club or even a state. This is perhaps a more important point.
- (2) A Secretary writes in confidence or in secret. This point is, however, not always true, judging from the functions of a Secretary in modern age.

In order to understand the meaning of the term Secretary we may refer to some standard English dictionaries. According to the **Oxford Dictionary**, '**Secretary**' means: *"One whose office is to write for another; especially one who is employed to conduct correspondence, to keep records and to transact various other business, for another person or for a society, corporation or public body."*

According to the **Webster Dictionary**, '**Secretary**' means- *"One employed to handle correspondence and manage routine and detail work for a superior; an officer of a business concern who may keep records of directors' and stockholders' meetings and of stock ownership and transfer and help supervise the company's legal interests; an officer of an organisation or society responsible for its records and correspondence; an officer of state who superintends a government administrative department."*

1.6.1 Appointment of a Secretary

A company has to undergo various legal formalities from its inception till it continues to exist. The winding up of a company needs elaborate legal procedure. In order to tackle all the legal formalities a company prefers to appoint a person as its secretary who has the requisite qualifications. Generally a small company cannot afford to appoint a full time secretary and so it employs a part-time secretary.

According to the amendment of the Companies Act in 1974, Sec. 383A provides that a company having paid-up capital of Rs. 25 lakhs or more must appoint a qualified secretary. A person who has passed the Company Secretaryship examination conducted by the Institute of Company Secretaries of India, originally established by the Central Government but converted into a Statutory Body (like the Institute of Chartered Accountants of India) in 1980, and has been admitted as a member of the Institute of Company Secretaries is said to be qualified for the job.

The appointment is given by the company under an agreement giving the terms and conditions in details spelling out the rights, duties, and powers of the secretary subject to the provisions of the Companies Act. In many cases, the promoters of a company themselves appoint a secretary to get his specialised service in the process of promotion of the company in undergoing the legal formalities.

After the formation of the company the appointment is regularized with retrospective effect. According to Sec. 2(30)- of the Act, a secretary is an 'officer' of the company who is liable to personal punishments in case of any default made by him with regard to specific legal formalities for which he is responsible. Sec. 2(45) of the Companies Act defines a secretary as "an individual possessing the prescribed qualifications appointed to perform the duties which may be performed by a Secretary under this Act and any other ministerial or administrative duties".

In the past (under the original Companies Act, 1956) a partnership firm or a company could be appointed as secretary. It means that a partnership firm or a company could do the profession of company

secretary-ship just as a firm of chartered accountants can do the profession of audit. But by 1974 amendment only an individual having prescribed qualifications can be appointed as secretary.

Previously many chartered accountants or persons holding any Master's Degree together with a Degree in Law used to serve as secretaries of companies. It is no longer permissible. But, some exemptions have been granted to those who have been working as company secretaries for some considerable time. No new appointment is possible without having the prescribed qualifications.

1.6.2 Qualifications and Personal Qualities of a Secretary

With increasing complexities of administration and competition, a Secretary has become an indispensable person. Much of secretarial work is carried on behind the scene and is not noticed at times. The credit for his/her work generally goes to the executive with whom he/she is attached. To perform the secretarial duties with confidence and efficiency, a Private Secretary requires many qualities and skills as well as a wide general education. These qualifications and qualities are discussed below.

- a) **Academic Qualification:** The education develops mind of a person and enables a person to appreciate better the total environment. A senior level Secretary is usually a graduate. However, for the post of a junior secretary, XII class qualification is adequate. One holding a junior secretarial position and aspiring to reach higher in the cadre do efforts to acquire higher qualification by joining correspondence courses along with the job. It is generally said that, the more the education, the greater is the awareness and better power of understanding, grasping and expression.
- b) **Vocational Course of Secretarial Practice or Office Management:** A course in Secretarial Practice is a very useful attribute for a Private Secretary. Opportunities for high level secretarial jobs and promotion come often to those who have broad general education with a vocational course in Secretarial Practice or Office Management. The course includes mastery of various subjects

viz. Stenography, Computer Operation, Office Procedure, Business Communication, etc.

- c) **Mastery of IT and Secretarial Skills:** A Private Secretary must have a complete mastery of some basic skills which are the essential tools of his/her trade. Complete knowledge of word processing, preparation of spread sheets, using internet, locating information from various sources, sending e mails etc. is must. Besides, he/she must be able to take dictation rapidly and transcribe the same accurately. He/she must be fast and accurate on the computer. The letters and other material typed by them should always be neat and well-arranged along with flair to present error-free work for signature, except in those cases where only a rough draft is called for. Other secretarial skills include mastery on record management, reprography, ability to write correctly and to the point, to answer telephone calls, to deal with visitors, to meet people and talk with them pleasantly.

To be able to assist top executives, locating information on a variety of topics for him/her and dealing with a variety of people coming into the office, one should have knowledge of the recent developments in political, economic and social fields and have an awareness of national and international events. It can be achieved by regular reading newspapers, periodicals, journals and magazines etc.

- d) **Good Communication Skills:** A large part of Secretary's work consists of correspondence and preparation of notices, agenda, minutes, reports, speeches etc. Therefore, to be a successful Secretary, one should have a good command over the oral and written communication skills. Business in majority of offices in India is carried on in English language. In this global era, English also serve as a language of commercial contact between different countries. Therefore, a Secretary should have sound knowledge of English. Skill in shorthand is of no use without proficiency in language. A Secretary should preferably have the knowledge of the regional language too. If the organization has dealings with foreign institutions, it will be an advantage to have a working knowledge of one or more foreign languages also.

- e) **Knowledge of the Profession or Business of the Employer:** Besides the above, one should be thoroughly familiar with the objectives and management of the firm or organization for which one is working. In other words, one should know the full range of activities of the organization, strong personalities, key figures in any particular field of activity along with duties and responsibilities of the executive with whom one is working. The more one knows about the organization, the better job one will be able to do.
- f) **Personal Qualities of a Secretary:** A Secretary should possess a variety of soft skills to be successful and develop calm, positive personality. Some of the important personal qualities relevant for the job a Private Secretary are discussed below:
- i. **Adaptability:** If Private Secretary has got the quality of adaptability, adjustment under all the situations in office becomes easy and less straining. It is important that a Private Secretary should be adaptable to all kinds of people, situations and problems. Sometimes, it may happen that one executive is transferred and the new executive takes over. The new executive might not be having the same nature or temperament. Also, there may be heavy work at one time due to certain deadlines but may not be much work in office at any other time. Thus, a Secretary should inculcate habit of adjusting with different types of persons/situations.
- ii. **Cooperative Attitude:** In an organization, cooperativeness means assisting every member with a courteous and helpful attitude including exercising self-control at times of extra pressure. It is teamwork that counts in an organization. A Secretary should cooperate with every member of the organization, from the highest to the lowest in rank. Cooperativeness enhances respect of a Secretary. The urgency of work may require, sometimes, to sit late in the office or to attend office during holidays. If the exigencies of work require it, one should try to understand the situation with a cooperative attitude.
- iii. **Courtesy:** A Secretary should show proper consideration for all members of the organization as well as to outside callers. One must avoid embarrassing anyone and making sarcastic comments. Courtesy may be shown in greeting each member and visitor

pleasantly, offering a seat, etc., and with use of words such as 'Please' or 'Thank you', whenever required.

- iv. **Loyalty:** To be loyal means faithful to the employer and always helpful to him/her. A Secretary should be dedicated to the job and do assigned work honestly and sincerely. Loyalty is critical quality for holding a secretarial position. In order to be loyal to your executive and to the company or firm or institution for which you work, you must be familiar with the executive's goals and the organization's overall objectives and work at all times towards the goals.
- v. **Punctuality:** Punctuality means available to the executive for work at the desired time and also to finish the assigned job at the proper time. This simple but significant quality is very essential for a Secretary. One must not be a 'Late Starter' or 'Early Stopper'. It is very annoying for an executive to find his/her Secretary absent when something requiring immediate attention comes up suddenly.
- vi. **Tactfulness:** Tact enables one to act in a particular fashion under particular situation. It is the personal skill of saying or doing what is required by the circumstances, the ability to handle a difficult situation in a right and positive manner. It has been truly called the "fine art of avoiding offence". A Secretary is called upon to exercise tact in dealing with his/her employer, colleagues, visitors, etc. Judgement and discrimination are essential to become tactful.
- vii. **Pleasing Voice:** A Secretary should have a low but confident well-controlled and pleasing voice. A pleasant, clear voice is attractive while loud and demanding voice is unattractive. It has also to be understood that a very low and retiring voice makes communication difficult.
- viii. **Personality and Poise:** Personality is usually linked to what you are, what you do and how you do it. Personality makes one person different from another. It is not important what kind of physical features you have, but rather the expression on those features. Good personality creates a positive impact on other people. Poise

is getting along with people well without superior or inferior feeling. It comes from knowing one's abilities as well as limitations. Poise enables a secretary to be at ease and also to make others feel at ease. It is rightly said that knowing that you are well-groomed will give you confidence and confidence gives you poise.

- ix. **Good Interpersonal Skills :** Interpersonal skills are the skills which help a person to interact with others properly. In an organizational setting, it is the ability to get along well with other members; whether senior or junior. It is important for a Secretary to possess excellent interpersonal skills to facilitate effective working relationships.

1.6.3 Remuneration of a Secretary

The secretary is one of the highest paid executives of a company. His remuneration is next to the chief executive of the concern, either the managing director or the general manager. In many companies the secretary is the chief executive.

The secretary is often described as the principal officer of the company and accordingly is treated as the chief executive. But he has to function under the superintendence and control of the Board of Directors. The secretary may be a nominated director or a director may be appointed as secretary. The Board depends much on the secretary.

1.6.4 Functions or Duties of a Secretary

The functions or duties of a company secretary are varied and can be broadly classified into two groups

- (a) **Statutory:** The Companies Act provides many kinds of legal formalities which a company has to undergo from its inception till it exists as a going concern. Elaborate legal formalities are necessary for its winding up. A secretary has the primary function of looking after these formalities.
- (b) **Non-Statutory:** As a secretary he has to function as an office executive, a liaison officer and an advisor.

From another viewpoint, he has functions or duties directed to

- (a) The company
- (b) To the directors
- (c) To the members of the company
- (d) To the Registrar of Companies and
- (e) To all other people coming in contact with the company.

It is rightly said that a company secretary is not only a servant of the company but he is a servant of law. Accordingly, he has non-statutory and statutory functions respectively.

1.6.5 Rights of a Secretary

The rights of a secretary are consequential. He is appointed under certain terms and conditions which determine his rights. Whenever he is entrusted with some duties, he becomes reci-procally entitled to some rights.

For example, a secretary has rights to get proper remuneration corresponding to the responsibilities he has to shoulder and the variety of functions he has to do. He has the right to enjoy all the privileges as an employee of high rank. He has also the right to get all the facilities like adequate accommodation, proper equipment, etc., so that he can carry out his duties.

1.6.6 Powers of a Secretary

A secretary is empowered to use his authority as the chief executive. He derives his power from his position. Authority is delegated to him by the top level management to look after the office and the office staff.

He is empowered to sign letters and documents which have legal effects, on behalf of the organisation. He is often given 'power of attorney', i.e., power to represent the organisation in respect of legal matters. A secretary of a registered body like a company or a cooperative society has statutory powers also.

1.6.7 Liabilities of a Secretary

A secretary of a registered body like a company or cooperative society is liable to punishment if he fails to observe some legal obligations which as secretary he is bound to observe. As he has powers by law, he has liabilities under law too. The terms of appointment of a company secretary include such personal liabilities which may arise on his defaults.

1.6.8 Importance of Secretary

In modern times the importance of a secretary has been largely enhanced. Practically a secretary is indispensable in our everyday life.

This is because of the following reasons

- (1) Life is today a democratic process. We have to form different groups or associations or committees in our social, business and political life. Decisions have to be taken at meetings through discussions. Records have to be maintained. Communication, both internal and external, has to be carried out. All these need office work or secretarial work. What is true for our individual life is also applicable to the Government or to a public body like a Municipality.
- (2) With the introduction of the concept of registered societies or associations like a Trade Union or a Co-operative Society or a Com-pany, various legal formalities have been made compulsory through legislations for forming and managing them. Appointment of a secretary to each of such bodies has become essential or even com-pulsory. Even a Students' Union needs a Secretary.
- (3) The functions of the executives and senior men in a business concern have become so complicated and varied and public relations have become so wide that it is no longer possible for them to look after everything single-handed. Secretaries are appointed to assist them and mainly to carry out routine office work and particularly those which have legal implications.

- (4) The secretary himself is ranked as a senior executive taking part in the policy-making process for the whole organisation. The post of Director Secretary is very common in modern companies.
- (5) In some countries, as in USA, the Secretaries hold the highest posts in the Government as there are no Ministers. In other countries, the Ministers largely depend on the departmental Secretaries.
- (6) The functions of a secretary are considered to be a specialist's job. There are training courses and examinations for Secretaryship of different categories in different countries. In India the Government has introduced Company Secretaryship examination as found in UK and other advanced countries.
- (7) Secretaryship is treated as a profession. The rights, duties, functions, powers and obligations are being defined and outlined in different statutes (e.g., the Companies Act, the Co-operative Societies Act, etc.).

Because of his growing importance and specialisation we need today not only a Secretary but a qualified one. Such qualifications can be acquired and imparted through training. Corresponding to importance, the responsibilities of a secretary have also increased.

1.7 TYPES OF SECRETARY

Depending on the extent of the responsibilities performed by the secretaries; they can be classified in many categories. The major categories of secretary are as follows

1. **Private secretary:** A private secretary is a person who is employed for performing some personal works of his employer. Generally, the high officials of any organization or the important persons of the society, like businessmen, doctors, actors and actresses, political leaders, lawyers etc. employ private secretary for getting help in performing their routine functions. Of a private secretary are

conducting correspondences, preserving and filling the important documents, making and recording appointments, attending the guests and visitors, handling telephone calls etc.

2. **Secretary of an Association:** Sometimes it is seen that many associations, like cultural and sporting clubs, trade associations or some human organizations appoint secretaries to administer their day to day activities. This type of secretary acts either as the chief executive officer of as the representative or as the chief adviser of the association. The main jobs of such secretaries are to direct and supervise the functions of subordinates, conducting correspondence with the outsiders, maintaining the important documents and books of accounts, arranging and conducting various meetings, etc. however, they perform their activities under the supervision of the managing committee of the concerned body or association.
3. **Secretary of Embassy:** Every embassy or high commission or foreign mission appoints a secretary for performing some of its important functions. The secretary of the embassy or high commission is positioned net to the ambassador or high commissioner. In absence of the ambassador or high commissioner, he runs the embassy or commission office.
4. **Secretary of a Cooperative Society:** The managing committee of every cooperative society generally appoints a secretary to administer the society on their behalf. Any member of the society or any other outsider person can be appointed as the full-time secretary of the society on a fixed salary. The secretaries of cooperative societies also discharge their duties under the direct supervision of the managing committee.

5. **Secretary of Local body:** When a person is appointed as the executive head of any municipal corporation or district board or of any local body, he is designated as the secretary of that body. Secretary of any local body is appointed as per the rules of that body and the law also specifies the functions, duties, and responsibilities of the secretary.
6. **Secretary of Government department:** Generally, government activities are performed under various ministries and departments. Every ministry or department is controlled by a minister with the help of a secretary. The secretary is the executive head of the ministry, while the minister is the head of the ministry.
7. **Company Secretary:** Company secretary is a high-level officer of the company having requisite qualifications. He is appointed as per the rules prescribed in the companies act. Company secretary is mainly responsible for looking after the secretarial works. He generally maintains liaison with the board of directors, employees, shareholders and other outside parties. Now a day, company secretary is one of the most important persons who perform some specified duties in the company form of business. The functions that are performed by company secretaries are maintenance of books and registers as required by the company's act, issue of share certificates, certification of meetings, arranging and attending meetings, drafting the minutes, sending returns to the register, etc.

1.8 SCOPE OF SECRETARY

In view of global era and development in IT skills, work profile of secretary has entirely changed. Earlier, even the managers at junior level were also taking secretarial help in order to discharge their duties. But since the advent of computers, usually the junior and, to some extent, middle level managers are performing most of their routine administrative jobs like preparing letters, sending of mails, record management, etc. on

their own. However, top management level and senior executives do have to delegate their routine administrative tasks to their Private Secretary. With this change in scenario, it is evident that the secretarial work requires lots of expertise and skills as usually every Private Secretary has to directly report to senior executives in an organization. It is generally noted that no two private secretaries perform exactly the same work.

Therefore, one cannot lay down an arbitrary list of duties. A PS to a junior executive has to work as a Front Office Assistant, Stenographer, Multi-Tasking Assistant etc. while a PS to the senior executive has to collect information on different topics, draft reports and speeches, write down the proceedings of the meetings/seminars and give advice to the executive on certain administrative matters. That is why a definite list of duties of a PA/PS cannot be laid down.

- Usually, the duty performed by a Private Secretary depends on the:
- Skills, personality and intelligence of a Secretary.
- Size of an organization where the secretary is working.
- Position of the executive with whom the secretary is working.
- Willingness of the executive to delegate authority and.
- Secretary's willingness to assume responsibility.
- The duties of a Private Secretary may be divided in two types:

10 a) Routine Office Duties.

b) Miscellaneous Duties.

The above duties are discussed in detail below:

Routine Office Duties

- i) Take dictation and transcribe the same on computer.
- ii) Tabulate data, make simple calculations etc.
- iii) Do correspondence with other organizations on the instructions of the executive.

- iv) Take initiative for briefing the information to the executive.
- v) Handle inward and outward paper (physical) mail/e mail.
- vi) Maintain records.
- vii) Operate office machines.
- viii) Maintain appointment diary, memory aids, etc.
- ix) Locate information from various sources including internet.
- x) Arranging and planning tour programme of the executive.
- xi) Organizing and conducting meetings (preparation and issue of notice and agenda, making seating and refreshment arrangements, keeping ready all the documents which may be required during the meeting, keeping record of attendance of the members, recording minutes, typing minutes and communicating the decisions and resolutions to the members etc.)
- xii) Attending to liaison duties like telephone calls, visitors, handling enquiries. Everyday some new jobs may come up and they are to be managed according to the priority.

The best way to finalize priorities is to consult with the executive. For example, connecting telephone calls can be given priority in the forenoon. This will be applicable in taking down dictation also. Dictation must be transcribed on the same days as some instructions pertaining to dictations might be forgotten which remain fresh during the day. The most important thing is to ensure that predetermined deadlines which are time bound are adhered to.

A Private Secretary has to handle the visitors who come to see the boss. An efficient PA/PS should be familiar with the art of meeting people and receiving them. The manner of dealing with visitors reflect image of the executive and as well as organization.

Miscellaneous Duties Private Secretary has to perform some miscellaneous duties, like to Prepare Power Point Presentations on various topics.

- Work as Data Entry Operator.
- Present concise information when the officer has to sit for an interview.

Draft reports and speeches for meetings and workshops, etc.,

- Supervise junior employees and their training, etc.
- Act as a liaison officer between the employer and the employees.
- Advise executive on purchase of office machine/equipment and stationery, etc.

In order to perform secretarial duties the most efficiently and effectively, it is necessary for a Private Secretary to be competent in IT and secretarial skills. Today, an efficient Private Secretary is a combination of secretarial plus managerial skills, as he/she has to often report directly to senior executives and take care of multiple administrative responsibilities.

1.9 OUTCOMES

- Define Organisation its importance and principles.
- Explain principles of Organisation structure.
- Discuss various types of Organisation structure.
- Define office work and its types.
- Qualification and qualities of Secretary.
- Delineate types of secretaries.

1.10 REVIEW QUESTIONS

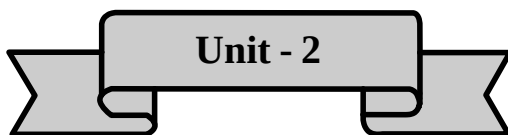
I. Short Answer Questions

1. Define Organisation
2. Discuss Importance and principles of Organisation.
3. Explain principles of Organisation structure.
4. Discuss various types of Organisation structure.
5. Define office work.

6. What are various types of offices?
7. Qualification and qualities of Secretary.
8. Delineate types of secretaries.

II. Long Answer Questions

1. Define an office and explain its various activities?
2. "The office is a coordinating factor" Explain?
3. Discuss the various factors contributing to the growth of office work?
4. Explain the various activities of a modern office?
5. List the different types of offices?
6. Define Organisation.
7. Explain principles of Organisation.
8. Discuss various types of organisations.
9. What do you mean by the word 'Secretary'?
10. Explain the role of a Secretary in any organisation.
11. List out various duties of a Private Secretary.
12. What is Office work.
13. Explain various types of offices.
14. Discuss the various types of Secretaries along with brief job profile of each.
15. Enlist various qualifications and skills which an ideal Secretary is required to possess.
16. Describe the various personal traits of a Secretary.



OFFICE SECRETARY

2.0 OBJECTIVES

After going through this lesson, you will be able to:

- Role and Responsibilities of office Secretary.
- Explain the two types of handling of mail: electronic and paper (physical).
- List out frequently used postal services in an organization.
- Know the meaning of the meeting and also its importance.
- Know various services provided by banks as on date viz. deposits, advancing loans, transfer of funds etc.
- Understand common terms relating to banking transactions/industry.
- Enumerate the different modes of travel.
- Explain the role of travel agencies.
- Prepare an itinerary.

2.1 INTRODUCTION

A Private Secretary or Personal Assistant is the backbone of an organisation, whose work requires a variety of project management, communication and organizational skills. The work profile of a Secretary of today is not the same as was in decades past. The job responsibilities have evolved to acquire much more advanced skill set such as mastering

Microsoft Office applications, drafting correspondence, preparing presentations, managing budgets, maintaining websites, preparing expense reports etc.

Secretaries might also manage all the administrative details of running a high-level conference or meeting and be responsible for arranging the catering for a lunch meeting. Often executives will ask their assistant to take the minutes at meetings and prepare meeting documents for review. In addition, a Secretary may be responsible for keeping all of the official records of a company or organization. Hence, Secretary is an assistant to an executive, possessing mastery of office skills who is supposed to have an ability to assume responsibility without direct supervision, the one who displays initiative, exercises judgement and makes decision within the scope of his/her authority.

2.2 ROLE OF AN OFFICE SECRETARY

1. Role of Secretary as Office Manager

The secretary of an organisation is primarily the chief executive and is in charge of the office.

He may be called the office manager but in fact he is more than that because of the following reasons:

- (a) The secretary has a higher status than an ordinary office manager. An office manager does not belong to the top management group but the secretary generally is. At least he is next to the top management group, i.e., the Board of Directors in case of a company. Very often he is taken in the Board of Directors or a director function as the secretary.

In case of a cooperative society, the secretary belongs to the managing committee. In any other association the secretary, as elected from among the members, holds the highest administrative position. An office manager mostly supervises the routine work while a secretary controls the entire administration. In that sense an office manager is subordinate to the secretary.

- (b) An office manager has his authority determined by the terms of his appointment. He does what he is told to do. But a secretary, particularly a company secretary has its authority also from the statute.
- (c) A secretary is an advisor to the management which an office manager is not.

- (d) In some organisations, an office secretary is appointed whose functions are those of an office manager and he acts under the superintendence and control of the secretary, who is the chief executive.
- (e) By nature the secretary is the chief executive but an office manager is not necessarily the chief executive.
- (f) Sometimes a secretary requires by law some special qualifications as we find in case of a company secretary. No such special qualifications are necessary for an office manager.
- (g) A secretary functions as an office manager when there is no separate office manager but an office manager cannot do the functions of a secretary particularly the statutory functions.

2. Other Roles played by Secretary are

- Reviews and reports on membership matters, formation and dissolution of Chapters and Sections and proposed amendments to Chapter bylaws, and makes action recommendations to the board.
- Works with the president and COO and chair and CEO to prepare agendas for the meetings of the Executive Committee and board of directors.
- Oversees the preparation of minutes of organisation Board of Directors meetings and conference calls, as well as minutes of the Leadership Assembly.
- Has a good working knowledge of "Robert's Rules of Order, Newly Revised," and plays a key role in keeping board meetings functioning in an orderly fashion. Maintains a system to keep the flow of communication smooth during board meetings and assists in maintaining adherence to the agenda.
- Reviews the organisation Policies and Procedures Manual and determines revisions to be made.
- Presents the delegate credentials and meeting rules for the Assembly, and reviews all proposed bylaw changes and petitions prepared for Assembly submission.
- Determines the number of Leadership Assembly delegates-at-large (representing those members of organisation who are not members of a Chapter) on the basis of one delegate for each 100 such members of organisation or fraction thereof, and reports this number to the chair of the Nominating Committee.

- Chairs the Assembly Minutes Committee, which is composed of the current PRSA secretary, the organisation secretary-elect and a delegate from the host Chapter in the Assembly's location.
- Prepares the minutes of the Assembly and circulates to the Minutes Committee for review and approval. Works with staff to post Assembly minutes to the organisation website as soon as possible after the meeting. The minutes are the official record of the Assembly.
- May be called upon to attend Chapter and District meetings to give a brief national update or presentation to its board of directors and/or to the Chapter or District membership at large.
- Attend all meetings of the organisation Board of Directors, Executive Committee, Leadership Assembly and International Conference.
- Serves on the five-member Executive Committee as an officer of organisation.

2.3 DUTIES OF OFFICE SECRETARY

A secretary's duties can vary depending on where they work, and sometimes secretaries exceed their job requirements.

1. **Answering and Directing Phone Calls:** Secretaries may be responsible for answering office phone lines and directing each call to the appropriate individual. Oftentimes, secretaries are the individuals that handle solicitation calls, client calls and taking messages. For instance, a legal secretary may regularly take calls from clients regarding casework or other information, and they need to be able to direct each client call to the appropriate attorney, as well as taking and distributing other messages and correspondences. A secretary may also need to have expertise in differentiating between urgent and less important communication.
2. **Organizing and Distributing Messages:** Another essential task secretaries may commonly perform is organizing and distributing memos, notes, messages and other written communications. Additionally, secretaries may have exceptional communication and analytical skills to take on communication tasks like these. For example, an executive secretary who works for a CEO of a large technology corporation might be expected to organize and disseminate various messages or memos to bring only the most

urgent communications to their CEO. An urgent message might relate to a change in a client's contract, and the executive secretary needs to be capable of quick and efficient communication as they pass messages along.

3. **Maintaining company schedules:** Secretaries are also commonly in charge of maintaining the schedules and agendas of professionals in their companies. For instance, a secretary for a large marketing firm might organize team schedules for each of the company's departments as well as the executives' agendas by setting appointments with clients, vendors and shareholders. Secretaries may also be the individuals that keep staff on track with reminders and alerts for upcoming conferences or meetings.
4. **Organizing documents and files:** Keeping documents, records and files organized is another important task that secretaries can be expected to perform. For instance, a medical secretary may commonly take charge of maintaining a filing system for patient medical records, expense reports for medical supplies and medications, procedural documentation and other important documents. Oftentimes, a company's documents, files and other records are stored within a computer database, and secretaries may frequently be expected to have the technical skills necessary to use these types of filing systems.
5. **Greeting business clients and guests:** Secretaries may also take on receptionist duties in addition to their administrative responsibilities. For example, an executive assistant may act as a receptionist to greet clients who arrive for conferences or meetings and might be the individual who helps visitors get settled, brings refreshments, takes notes during meetings with clients, and generally works to maintain the professionalism and overall brand image of their company when greeting and directing visitors.
6. **Documenting financial information:** Another highly essential task that secretaries may take on is the documentation of expenses, earnings and other financial information. For instance, a secretary at a sales corporation might be responsible for documenting the revenue and sales numbers from the sales team's reports as well as the company's expenses and costs of operation. The secretary might then use spreadsheet software to organize financial data into specific financial reports for the company's CEO to analyze and approve.

7. **Maintaining and ordering office supplies:** Secretaries may also be the individuals responsible for keeping inventory records and maintaining office supplies. The secretary may also be responsible for putting in orders for supplies that are running out. For example, an office administrator might make a monthly spreadsheet to keep a running record of the number of supplies like copy paper, toner, pens, filing folders and other supplies to keep track of which supplies are needed and which supplies are sufficiently stocked.
8. **Organizing and conducting meetings:** Along with scheduling meetings and conferences, secretaries may also take on the responsibility of organizing and conducting meetings. For instance, an executive secretary for a CEO of a retail corporation might organize a meeting with clothing designers, fashion brands or other professionals in the industry. Then, the secretary may conduct the meeting by discussing the important points of the conference and taking notes for the CEO and other decision-makers at the company. Secretaries can be a vital team member in performing these types of tasks, as executives, directors and other high-level professionals may sometimes be unavailable in similar circumstances.
9. **Assisting executives with project tasks:** Sometimes a secretary can be invaluable in assisting their supervisors with completing small tasks as part of larger projects. For example, a secretary for a lead marketing director might assist by organizing reports, printing documents or preparing a presentation. Because of the range in tasks a secretary might perform, this type of professional must possess a wide range of soft and hard skills to succeed in the role.
10. **Supervising staff and new employees:** Secretaries might also be the mentors who work with staff when implementing procedures and when training new employees. Because of their knowledge and experience with their companies, many secretaries help lead staff and new hires in developing their skills, following company protocol and learning about the overall company environment. As an example, a legal secretary might take on mentoring a newly hired paralegal and show them how to use the firm's computer and filing systems, how to organize casework and documents according to policy and the methods staff uses to complete tasks and handle clients.
11. **Coordinating with other organizations:** Secretaries also work to coordinate and form relationships with other businesses and

organizations. For instance, a secretary for an engineering firm might be the liaison that connects with contractors, designers and other engineering organizations to set up conferences, purchase resources or form business partnerships.

- 12. Implementing administrative procedures:** Secretaries might also play a role in developing and implementing company policies and various administrative procedures. For example, a medical secretary may develop a procedure for documenting patient treatment plans that includes following a set of steps to document medical information in a database. The secretary might then implement this new procedure by training nurses and staff on how to carry out the directives of the policy.

Because secretaries can take on a variety of different tasks and responsibilities, it can be crucial for secretaries to possess a wide range of skills like administrative skills, communication skills, customer service skills, technical skills, analytical and problem-solving skills. Secretaries may also rely on leadership skills to organize and direct office staff and procedures.

2.4 RESPONSIBILITES OF SECRETARY

Main responsibilities of the Secretary.

The responsibilities of the Secretary of a Management Committee are outlined below:

1. Ensuring meetings are effectively organised and minuted.
 - Liaising with the Chair to plan meetings.
 - Receiving agenda items from committee members.
 - Circulating agendas and reports.
 - Taking minutes (unless there is a minutes secretary).
 - Circulating approved minutes.
 - Checking that agreed actions are carried out.
2. Maintaining effective records and administration.
 - Keeping up-to-date contact details (i.e., names, addresses and telephone numbers) for the management committee and (where relevant) ordinary members of the organisation.
 - Filing minutes and reports.

- Compiling lists of names and addresses that are useful to the organisation, including those of appropriate officials or officers of voluntary organisations.
 - Keeping a record of the organisation's activities.
 - Keeping a diary of future activities.
3. Upholding legal requirements.
- Acting as custodian of the organisation's governing duties.
 - Checking quorum is present at meetings.
 - Ensuring elections are in line with stipulated procedures.
 - Ensuring organisation's activities are in line with its objects.
 - Ensuring charity and company law requirements are met (where relevant, unless there is a separate company secretary).
 - Sitting on appraisal, recruitment and disciplinary panels, as required.
4. Communication and correspondence.
- Responding to all committee correspondence.
 - Filing all committee correspondence received and copies of replies sent.
 - Keeping a record of any of the organisation's publications (e.g. leaflets or newsletters).
 - Reporting the activities of the organisation and future programmes to members, the press and the public (unless there is an Information or Publicity Officer).
 - Preparing a report of the organisation's activities for the year, for the Annual General Meeting.

Use the links below to access further articles and resources which will help you understand the role of the Secretary and prepare your own role description or person specification.

Company Secretary

Since April 2008, private companies are no longer required to have a Company Secretary, but Companies House needs to be informed if no Company Secretary is appointed and you must ensure this complies with your Articles of Association.

If your organisation is incorporated as a limited company (e.g. Company Limited by Guarantee or a Community Interest Company),

you may also have a Company Secretary*, which is different from the role of an honorary secretary. This post carries greater responsibility than an honorary secretary to ensure that the requirements of Company Law are met.

2.5 USAGE OF DIFFERENT DEVICES

The modern office has changed dramatically since the 1990s. Offices in today's society are transmitting information via electronic mail (e-mail), electronic calendars, and teleconferencing, as well as other electronic devices. Communication via technology is just as important as oral and written communication in the work environment. Technology continues to play a vital role in transforming the business environment.

Today's modern offices are substantially different from the office environment of 20 years ago. Sweeping changes have occurred at the workplace as a result of new office technology and automation of office equipment. New technology is changing the scope of what's considered an office. Offices inevitably adopt newer technologies that get more work done with fewer people, and there's pressure to keep a modern, professional image by staying on top of the latest tech trends.

The need for high productivity and maximization of profit has led to the wide use of modern machines in most offices. There has never been a greater need for efficiency in business than there is today. All kinds of business must employ modern methods of gadgets or equipment in offices to meet the challenges of today's world. As an office staff, the secretary who is the image maker of the organization and from whom most information emanates, requires a great knowledge of Information and Communication Technology to perform efficiently on the job which would influence the speed of information delivery, production of job requested by the boss or organization within a short space of time, make less mistakes and high productivity on performance of job.

This mechanization of office work has come as a result of need for greater speed and accuracy. The characteristic picture of modern office is the successful integrated use of machines and equipment into what is called system. New information systems can be powerful instruments for organization change enabling organizations to redesign their structure, scope, power relationships, workflows, products and services. These machines and equipment are grouped or linked together to achieve a common purpose.

2.5.1 Brief Overview of Office Equipments

Office equipment refers to the machines used for the efficiency of workers in the office. Office equipments free workers from many of the routines and time-consuming tasks done manually. These are categorized into three accounting, secretarial, and general.

- a. **Accounting Machines:** They are either operated manually or electrically. Accounting machines are used for posting the ledger cards, writing cheques, receipts and preparing the payroll. Some accounting machines are calculators, electronic calculators, adding machines other basic accounting machines are book-keeping, electronic billing, and electronic alpha-numeric accounting machines.
- b. **Secretarial Machines:** They are machines used for secretarial office routine. They include typewriters, franking, and reprographic machines. Others are Dictaphone, automatic time-and-date stamping machines envelope sealing machine, jogger, shredder, etc. Typewriters are either manually or electrically operated. Franking machine is used to print stamp impression on envelopes without the use of adhesive stamps. Reprographic machines are photocopier, spirit or ink duplicating machines.

Chief executives make use of Dictaphone to dictate messages for secretaries to type on either computer or typewriter. The automatic time and data stamping machine is used to print the impression of the time and date of receipt on office correspondence. The envelope sealing machine moisturizes the flap of envelope before sealing it. The jogger is used to collate papers before binding. A shredder is used to destroy unused office document into unreadable forms.

- c. **General Office Machines:** These are generally used in the office. They include computers, fax, offset litho and laminating machines. Computer processes data and it is most commonly used in offices. There are desktop laptop and series of other forms of computers in offices today. The fax or facsimile facilitates the dissemination of information and diagrams over telephone wires through facsimile telegraphy. Documents are scanned by a beam of light and an identical image is reproduced on the other fax machine operated by another subscriber at the other end. The offset litho is more of printing machine. It is good for producing staff magazine, inter-office memoranda, etc. The laminating machine is used for protecting documents against moisture, dirt, creasing and tampering

by the use of cellophane. This is done through the heat process. The machine seals the document automatically for durability.

2.5.2 Brief List of Modern Office Technologies

- a. **The Computer:** Everybody knows what a computer is. It can simply be defined as an accurate electronic device that performs calculations and processes information at great speed. Computers come in different sizes, shapes, capacities, etc. We have desktops, laptops, and palmtops. The computer is used in medicine, engineering, architecture, education, banking, etc.
- b. **Telephones, Mobile and Land:** The land line is the most basic office communications tool used by secretaries. The most popular mobile phone used in the business place is the GSM Global Systems for Mobile Communication.
- c. **Fax Machine:** Just like the telephones, the fax machine transmits information, but in text or document format.
- d. **Internet (www, e-mail, search engine, etc.):** This is an intangible facility on the computer. WWW stands for worldwide web and it is a collection of information in multimedia form on the internet. This information is stored at locations, called websites, in the form of web pages. Websites are an effective way of distributing information, such as advertisements, technical information, comments, ideas, etc. Other applications on the internet are chatting for simultaneous communication between people and the use of a web camera for seeing while chatting. Search engines like Google, yahoo, msn, etc. are used to find information on the internet looking through millions of sources all over the world.
- e. **Teleconferencing:** This facility, usually embedded in the telephone technology, allows more than two people to communicate via phone at the same time. This makes it possible for people in different cities to hold meetings together.
- f. **Video Conferencing:** This facility usually makes use of the internet with or without the telephone and allows visual and speech communication among several people at the same time. Like teleconferencing, it enhances remote communication. For example, your colleague in America can remotely participate in a meeting held in Ghana where by he sees and hears everybody who attends the meeting in Ghana as he makes his own contributions.

- g. **Scanner:** This machine is used to convert hard copy documents into soft copies to later be transmitted from one place to the other via the internet. This format can include colors, unlike the typical fax machine.
- h. **Printers and Photocopiers:** Printers are used to convert our documents from soft copy formats to hard copies and photocopiers are used to make additional copies of such documents.

2.5.3 Summary of the Advantages of Office Equipments

Information that is the most important to the office can be stored, processed, and retrieved by computer facilities.

- They can be used to produce fast and accurate information.
- They provide very cheap services.
- Messages can be sent to many people simultaneously.
- Security of information is assured.
- Time, effort and money are saved.
- Stress is minimized.
- Space is saved as little or no paper is used in the office.

2.5.4 Meaning and Types of Mail

Mail is a form of written communication sent out or received in an organization with the help of an agency. The agencies which may help in transmission of mail are

- Internet (E-mail)
- Fax Machine
- Post Office
- Special Messenger
- Courier etc.

In big organizations, a separate Mailing Department is set up to handle various mailing operations. However, in small organizations, a Professional Secretary has to take care of handling mail in addition to other secretarial functions. A Private Secretary or an Office Manager generally plans mail handling work in an organization. Systematic planning of mail handling ensures that mailing operations are carried out efficiently and effectively without delay. It also helps to ensure that

- a) Every mail received or generated in the organization gets due attention.
- b) There are no last minute hassles.

- c) Judicious use of Mail Room Equipment.
- d) Selection of proper agency for transmission of mail.
- e) Proper recording of mail.

Types of Mail

There are three kinds of mail received or sent out from an organization.

They include

- a) **Incoming (Inward) Mail:** Any type of written communication coming to an organization is termed as Incoming Mail.
- b) **Outgoing (Outward) Mail:** Written communication sent out or dispatched from an organization is called Outgoing Mail.
- c) **Inter-Department Mail:** The mail received or sent from one department to another department within the same organization is Inter-Departmental Mail.

In business houses, there is a defined procedure for handling of incoming and outgoing mail. Inter-Departmental Mail is handled by the executives according to their requirements and convenience.

2.5.4.1 Handling of Incoming Mail

Effective and efficient handling of all incoming and outgoing physical mail reflects efficiency of a Secretary. Post Office, Special Messenger and Courier Companies help in physical delivery of mail from one place to another. Post Office provides various facilities regarding domestic and international carriage of mail. Local mail of urgent nature may be sent with the help of a Special Messenger. Sending mail by this mode ensures quick delivery of mail along with its acknowledgement.

Now-a-days, Courier companies are also playing a vital role in delivery of mail due to various additional services they are offering to their clients. This has also become a popular mode of delivery of mail, whether local or international. However, today, the most frequent method of sending and receiving mail is electronic mail (e-mail).

In every organization, there are defined steps for physical handling of inward mail so that the mail could reach the concerned official without delay. These steps vary depending on the size and nature of the organization.

The following procedure is usually followed in handling of incoming mail if the paper mail is received manually/physically.

1. **Receiving Mail:** Paper mail is delivered once or twice a day by a Postman in an organization while mail from special messengers or courier companies keep pouring throughout the day. A Junior Secretary or Mailing Clerk is entrusted with the task of receiving the mail and providing acknowledgement of the receipt, wherever necessary. In case, the mail is to be received from Post Box or Post Bag, a person is deputed to collect the same from the Post Office once or twice a day.
2. **Sorting Mail:** After receiving the mail, it is necessary to sort the received mail so that mail marked as Private, Personal, Secret, Confidential etc. are not opened. This type of mail is directly delivered to the person concerned unopened. Important mail viz. court summons, tenders, confidential reports etc. is sorted out from the routine mail to accord priority in opening. Routine mail consisting of sales letters, catalogues, product literature etc. are opened at last. Trays or open racks with separate compartments are usually available in Mailing Department in which segregated mail is kept while sorting. Trays or racks used for sorting mail have the name of the departments clearly marked on them.
3. **Opening Mail:** A paper knife is generally used for opening envelopes. In case of large mail, a Letter Opening Machine is helpful as it improves efficiency and opens the mail neatly. While opening an envelope, it should be ensured that
 - a) Contents of the envelope are not damaged.
 - b) Before disposing off the envelope, nothing is left inside the envelope.
 - c) Enclosures are fastened if they are not properly tagged.

Sometimes, it is necessary to preserve the envelope received along with the mail. In such cases, the same is attached along with the letter.

4. **Examining Contents and Stamping Mail:** After opening the mail, a Secretary should briefly examine its contents. Examining of contents is done to again sort out the mail which needs immediate action so as to accord priority. Sometimes, there are certain letters which require time-bound reply and are to be dealt on urgent basis. Examining of contents of mail also help to know if any of the enclosures of the letter received are missing. In such cases, the facts are recorded on the letter.

All the mail received is date stamped to authenticate receiving of the same in the organization. It can be done with the help of a Rubber Stamp or an Automatic Numbering & Dating Machine. A specimen of date stamp normally used in an organization has the following details.

M/s Concept Technology, New Delhi

Date _____ Time _____

Diary No _____

Signature _____

5. **Recording Mail:** Recording of mail helps in tracing out any letter received in the office at a later date. An Incoming Mail Register is maintained to make a brief record of all the incoming mail. Incoming Mail Register is also called Diary Register or Dak Register.

An Incoming Mail Register has a column viz. Date of Reply to ensure that all the received mail has been attended to.

S.No./ Diary No.	Date	Ref. No. of letter	Name & Address of Sender	Brief Subject	Dept./ Official referred	Initials of Receiver	Date of Reply

Some companies do not carry out the practice of recording of mail as it is quite time consuming.

6. **Distributing Mail:** The recorded mail is segregated department-wise and immediately distributed to the concerned departments by a peon or messenger.
7. **Follow-up Action:** Every incoming mail which needs a follow up action should be quickly attended to by the concerned official. In business houses, it is ensured that every mail received should be disposed-off within maximum 3-4 days, wherever possible.

2.5.4.2 Handling of Outgoing Mail

Like incoming mail, speedy disposal of outward mail is equally important. Delay in sending mail not only results in loss of business prospects but also creates a bad image for the company. While on the other hand, quick replies of mail show the importance which has been attached to it. The following steps are generally followed in case of handling of outward mail physically

1. **Production of Mail:** The letters which are sent out of an organization are prepared and signed by an authorized person. Every

outgoing mail should bear a reference number which facilitates future reference of the same. The mail ready to be dispatched is usually kept in 'Out Tray' available in all departments.

2. **Collection of Mail:** All outgoing letters are collected twice a day by a peon deputed by Mailing Department for onward transmission. A Professional Secretary should ensure that the mail is collected timely so that it could be dispatched from the office without delay.

It is also the duty of the Professional Secretary to mention the preferred mode of dispatch of the mail. The Mailing Department or Despatch Section delivers the mail according to the instructions given on the mail.

3. **Recording Mail:** Every outgoing mail is to be recorded in a register called Despatch Register or Mail Outward Register. A specimen of the same is given below.

Outgoing Mail register/ Despatch register

S.No. / Despatch No.	Date	Reference No	Name & Address of Receiver	Subject	Mode of Delivery	Postage Stamps used		Remarks
						Rs.	Rs.	

Local Mail which is sent by a Special Messenger is recorded in a Peon Book.

A Peon Book has following columns

PEON BOOK

S.No.	Ref. No. & date	Name & Address of Receiver	Brief Subject	By whom delivered	Signature of Receiver along with date and time

4. **Writing of Addresses:** If the mail is to be sent in an envelope, the same should be selected of suitable size according to the size and paper(s) to be inserted in it. While writing address on an envelope, it should be ensured that the address should be written parallel to the length of the cover and in the lower half and towards the right-hand side thus leaving adequate margin at the top for the postage stamps and labels, postmarks and other indications.

Writing of correct, legible and complete address of the receiver on the outward mail is very important point to be taken care of by a Professional Secretary. The addressed Post Town should be written in

block letters with complete spellings (no abbreviations) along with the PIN (Postal Index Number) Code.

- a. **Postal Index Number:** It is a code in the Post Office numbering used by India Post. It is a unique 6 digit number, shortly known as PIN code. There are nine PIN zones in India, including eight regional zones and one functional zone (for the Indian Army). The first digit of the PIN code indicates the region. The second digit indicates the sub-region, and the third digit indicates the sorting district within the region. The fourth digit represents the route on which a delivery office is located in the sorting district. The last two digits represent the delivery office within the sorting district. Hence, with the use PIN code, speedy and accurate postal delivery is possible all over the country.

In case of addressing of large mail, an Addressing Machine can be used which saves a lot of time and energy of a Professional Secretary besides reproduction of correct address on the outgoing mail.

5. **Folding letters and inserting them into Envelopes:** Letters intended to be inserted into envelopes should be folded in such a manner that it has minimum number of folds according to the size of the envelopes. Letters and enclosures must be folded together.

Folding and Inserting Machines can be used to make the task easy for a secretary in case of handling of large outgoing mail.

6. **Sealing of Envelopes:** The next step is to seal the envelopes to secure the contents of letters. The mail containing financial documents, registered and insured articles should be sealed carefully. Book Post mail mostly consisting of Product literatures, catalogues, price lists etc. are sometimes not sealed for the convenience of the receiver.
7. **Affixing Stamps on Envelopes:** On the outgoing mail to be sent through Post Office, postage stamps of required denominations are to be affixed as per the prescribed rates. The mail is weighed to calculate the correct amount of the postage stamps. Overstamping and under-stamping are to be avoided at all costs. Franking Machines are commonly used by offices for stamping the outgoing mail.
8. **Posting Mail:** Posting of Mail is the last step in the procedure of handling of outgoing mail. Letters intended to be sent through Post Office are sent by a peon to the nearest Post Office. Mail marked as Registered, Speed Post, Insured etc. are submitted at

the counter of the Post Office and a proof of delivery of the mail is obtained. Local mail which is to be sent through special messenger is handed over to the concerned person along with Peon Book. Courier Mail is handed over to the representatives of courier companies, whenever they arrive as per the specified time schedules.

2.5.4.3 Handling of Electronic Mail

Electronically, mail can be received or sent out with the help of computer, fax, mobile phone etc. via a network. This type of mail does not have any elaborate handling procedure. The mail is mostly addressed by name on individual's e-mail address or number. E-mail messages received on organizational e-mail address are directly delivered to the person concerned for further action.

Electronic Mail or E-mail messages may be sent to one or more recipients at a time. An e-mail message consists of two parts: the message header and message body. The message header contains space for email address (s) and subject. The content of the mail is written in the message body. The mail is easy to compose and transmit just with a click of button. It is generally received and sent from an individual's e-mail address in an organization.

E-mail has given rise to concept of paperless office because of the following advantages

- Speedy delivery
- Economy
- Security
- Feasibility of sending bulk mail
- Possibility of use of pictures, demonstrations etc.
- Automated record management

The problems which may be associated with e-mail include threat of virus, hacking of mail, crowded in-box etc. However, with the various techniques, it is possible to deal and overcome all these hazards. It is important that inbox of mail should be checked-in regularly.

Due to exponential growth of mail volumes, Digital Mail Rooms are set up now-a-days in organizations. In such Mail Rooms, documents are scanned, archived and retrieved in original image format. Electronic mail formats, fax etc. can also be combined while document processing. The setting of Digital Mail Rooms has reduced decision making cycles, saved paper costs and rationalized circulation of information.

2.5.4.4 Mail Room Equipment

Various mechanical equipment is used to handle the incoming and outgoing paper mail efficiently and effectively. Use of the mechanical devices also helps to reduce monotony and increase accuracy of mailing operations.

Equipment and machines in Mail Room has following advantages:

- Increase in the speed of operations.
- Saving of time.
- Improvement in efficiency and accuracy.
- Elimination of wastage.
- Simplification of fixing of postage and avoidance of misuse of postage stamps.

The following Mail Room Equipment is commonly used in a large organization

1. **Letter Opening Machine:** With the help of a Letter Opening Machine which operates manually or electrically at a great speed and can open 100 to 500 letters per minute, work of opening of mail can be efficiently managed. It has a rotary knife which shaves off a very thin slice of the edge of envelopes. While using the machine, one should be careful that the contents of the envelope are not damaged.
2. **Numbering and Dating Machine:** An Automatic Numbering & Dating Machine is used for stamping on the incoming mail. In this machine, the next serial numbers and date automatically changes after every use with the help of self-inking stamp pad.
3. **Folding and Inserting Machine:** A Folding Machine can fold approx. 5,000 to 10,000 sheets per hour. It is possible to fold and insert letters into an envelope with this machine. The machine is to be adjusted as per the required number of folds according to size of envelope.
4. **Sealing Machine:** Sealing Machine helps in automatically moistening the flaps of an envelope and then sealing the same. Sealing with wax can also be conveniently done with the help of this machine. Hand operated sealing machines can seal about 100 envelopes a minute while electrically operated ones can operate at a speed of 15000 envelopes in an hour. The work of sealing of mail can be performed very neatly and efficiently with the help of this machine.

5. **Mailing Scale:** A Mailing Scale is used to weigh outgoing mail and ascertain postage stamps which are to be affixed on it. Digital scales at a very economical price are widely available in the market. It is essential equipment in Mail Room for performing mailing operations.
6. **Addressograph (Addressing Machine):** It helps in printing of addresses on envelopes, parcels etc. The machine is used when mail is to be sent to those customers which are regular and frequent on mailing list. It can be operated manually or electrically. In this machine, there is a ribbon to give print of the addresses from already prepared embossed plates. Once the address plates are prepared, it can be repeatedly used any number of times. The required plates are selected and fed into the machine from one side. After operating the machine, one can get the addressed envelopes from the other side.
7. **Franking Machine:** A Postal Franking Machine is a stamping machine intended to stamp impressions of dies of approved design on postal articles for payment of postage fee. A commission of 1 to 1.5 percent is permitted on the value of franks used.

The use of a Franking Machine except under a valid license issued by the Head of the Postal Division is prohibited. The franked articles are tendered at the counter of Post Office and each consignment must be accompanied by a Window Delivery Ticket for identification of the licensee's representative.

The impressions of the franking machines recorded on postal articles should not be interfered with in any way. Impression should be of bright red color, clear and distinct and should not overlap. As far as possible, it should be on the right top corner on the address side of the article itself or an address wrapper or an address label firmly attached to it. Franking is allowed up to any amount.

The main benefits of using the machine include less risk of misappropriation of postal stamps, avoidance of errors in stamping and simplification in keeping the account of stamps used. Department of Posts have also introduced Remotely Managed Franking Machine in place of Electronic Franking Machine with security features like generation of 2D barcode with franked impression and elimination of human intervention for up-loading credit in Franking Machine.

Now-a-days, business houses use Mail Accounting Software to manage postage expenses. The software helps in collecting, maintaining and reporting mail accounting data. It also helps in tracking and better

controlling of business mail expenses. As physical handling of incoming and outgoing mail is quite time consuming and monotonous job, the mail room equipment discussed above helps a Professional Secretary to overcome these limitations and handle mailing operations in the most effective and efficient manner.

2.6 FLOW CHART

Flow of work is concerned with the way work move along with one operation to another. It denotes the volume of work going through the rate at which it moves along and the smoothness of its passage.

The flow of work aims at greater efficiency in every office activity, so that costs are cut down and delays are eliminated. Flow of work is a problem to be solved by the managers.

Flow charts are prepared for the purpose to know whether the flow of work is ideal or there is scope for improvement. The following types of flow charts can be used for analysis.

- a. **Office Layout Chart:** This chart analyses the flow of work of each part of office and eliminates waste motion & back tracking. In the chart, lines are drawn to indicate the movement of office forms and documents from operation to operation.

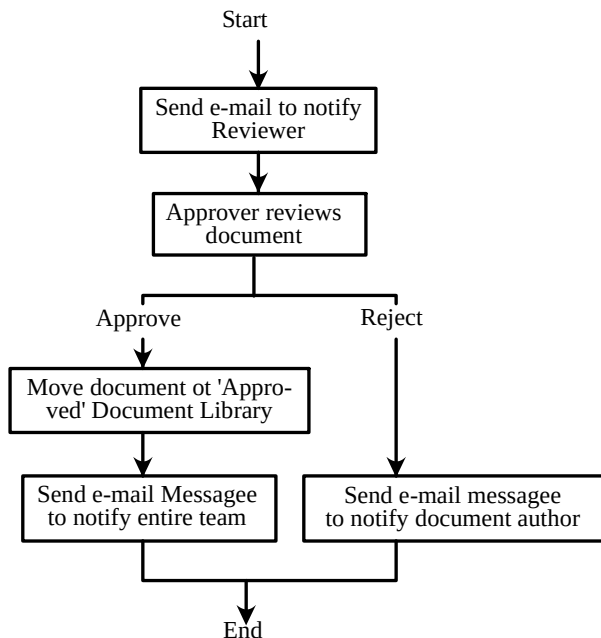


Figure-2.1: Layout chart

- b. **Flow Process Chart:** Process chart is also known as work simplification chart. By using certain standard symbols, the chart shows the flow of work under a specific procedure. Presentation and reading is easy because the charts are more graphic with symbols.

It helps to simplify the work. These standard symbols have been developed by the American society of mechanical engineer, New York.

-  Transportation (Passing the work along or sending it to some other places)
-  Inspection (checking, comparing, or reviewing the work)
-  Operation (doing the work like typing posting entry and etc.)
-  Delay (delay due to interruption, bottlenecks, changeover, etc)
-  Storage (Holding the work for any reason)

- c. **Management Type Flow Chart:** Management type flow chart is fully illustrated chart and each operation or steps involved are described in short and descriptive sentence. The chart is written and read horizontally from left to right.

2.6.1 Straight-Line Flow of Work

Smooth flow of work can be ensured by the use of straight-line flow of work method. This method is applicable for the factory as well as the office. It can be described as the method, in which the work flows, while progressing from one operation to another, it should follow a course approximating as nearly as may be possible in a straight line. In order to avoid the wastage of time, effort and delay in the flow of information, the work must always move forward and in a straight-line.

Benefits of Straight-Line Flow of Work

The following are the list of benefits of Straight-line flow of work

1. **Greater Speed:** The speed of work increases greatly, since the movement of work is over the least area.
2. **Lesser Messenger Work:** Since the work is flowing in a straight-line, the desks can be arranged in a straight-line, the distance

between the different operations is small and the papers or files are passed over from one desk to another by the clerks is easy. It reduces the messenger work.

3. **Less Loss of Papers:** In this method, papers are rarely mislaid or lost as they are handled in a systematic manner.
4. **Use of Conveyors:** In certain organization conveyors are used to transfer the files from one place to another, such an arrangement helps to speed up the work.
5. **Keeps Executives and Clerks at Their Desks:** As the work moves in a straight-line, this method avoids moving here and there unnecessarily and makes the employees to sit in their chair to do the work.

2.6.2 Problems in Smooth Flow of Work

Smooth flow of work faces number of problems, which must be tackled in order to improve the efficiency of office routine. It can be solved only by the managers. The problems are outlined below

1. **Unequal Flow of Work:** The work in the office cannot be equal throughout the day, the week or the year. The work may be heavy on particular day in a week or it may be heavy during a particular period. For example, there may be greater incoming mails in the morning and on Mondays. The problem of unusual flow of work can be solved by collecting relevant statistics and their analysis.
2. **Interruptions to Work:** The interruptions to work are internal or external. Internal interruption may be caused by lack of materials with which to work, information needed is not available or because of change of work through change of plan, etc. External interruptions to work may be caused by outsiders calling the employees and external telephone calls.
3. **Unequal Times Needed for Different Operations:** This is the major problem in the flow of work where, different operations of a job need different time to complete. For example, the sequence of operations for the first operation may require one minute, while the next may require three minutes.
4. **Lack of Standard:** Steady flow of work may also be affected, if the work to be done by an individual that can not equal to the standard fixed. In the absence of standard, some employees may over burden with heavy work while the others may have less work.

5. **Lack of Planning and Scheduling:** If the office manager does not plan and schedule the work before time, it is not possible to do the work quickly or not to do the work within the allotted time.
6. **Faulty Layout:** Steady flow of work may be affected if the layout of the office is not made according to a well-developed plan. Criss-crossing and back tracking procedure will affect the flow of work.

2.7 OFFICE MANUALS

The office manual contains the details of the work to be performed in an office and other important particulars of the organization. It is the source of information, knowledge of which is essential for the performance of the work. It may be in the form of a book or booklet and contains the information which benefits the office staff. If Office employees are supplied with copies of office manual they do not have to approach their superiors again and again. Therefore, they do not interrupt the work of their superiors and there is no wastage of time to office employees (new entrants) as well as to executives (Superiors).

Office manual is useful to the employees, especially new joined, to understand the work without any difficulty. The office manual contains the details of the whole office work such as standard practices, current practices, instructions and organizational policies in such a form that they are easily and readily available to the office personnel for reference and guidance.

Meaning of Office Manual

An office manual means a handy form of book or booklet containing information relating to the policy, organization system, routines and procedures, methods and standards and the rules and regulations regarding employment.

An office manual is prepared to help the employees know all relevant information regarding the organization, its set up i.e. structure and how he fits into it.

2.7.1 Definition of Office Manual

According to **George R. Terry**, An office manual is a “written record of information and instructions which concern and can be used to guide the employee’s efforts in an enterprise”.

Also, an office manual has been defined as “a document disclosing the information about an organization, its set up, conditions of employment,

and the established systems, routines, procedures, methods, standards, rules and regulations of an office operation.”

2.7.2 Need for Office Manuals

A large size organization has a number of branches or departments or sections or divisions. Thousands of employees are employed in large size organization. Hence it is very difficult to control the employees by the management. If instructions or guidelines are given in writing to the employees, the management can control the employees very easily and avoid misunderstanding of employees. Office manuals help the management and the employees in various ways.

1. Employees understand their position, duties and responsibilities in an Organization.
2. Employees understand their role in the achievement of office Objectives.
3. There is a possibility of maintaining good relations among the employees by themselves.
4. Both existing and new employees freed the management in getting the same information, explanations and instructions repeatedly.
5. The concerned employees are held responsible if the duties are not performed by them in a specified manner.
6. Delegation of authority can be enhanced throughout the organization set up without much difficulty.
7. Each employee can understand the extent of authority delegated to them.
8. New employees are getting training with the help of office manual by knowing policies, practices, systems, routines and procedures.
9. Office manual is imparting refresher training to existing employees.

2.7.3 Types of Office Manuals

1. **Policy Manual:** Every organization has its own policy which is served as basic guide to action. The entire activities of an organization are fully guided by policy manual. A policy manual contains decision, resolutions and directions of the board of directors stating the policies of the company.
2. **Organizational Manual:** The organizational manual describes the organization structure. The duties and responsibilities of each

employee in department wise or section wise or division wise are explained along with the line of authority and responsibilities connected with them. Each employee can understand the relationship with others. Sometimes, a separate manual is prepared for each department in case of multinational companies.

3. **Administrative Practice Manual:** Standard methods and procedures for effective performance of work are given in this manual. Separate methods and procedures are given for each department specifically, if needed. This manual also contains guidelines and instructions on education required to an employee and training to employees, format of correspondence and reports, and the inter-relationship of office employees.
4. **Departmental Practice Manual:** This manual deals with policy of the concerned department, methods and procedures followed in the concerned department. This type of manual is prepared for each department separately.
5. **Mailing Manual:** A mailing manual gives detailed instructions in all phases of handling both incoming and outgoing mail. The letter drafting procedure is also given in this manual.
6. **Filing Manual:** The names of the files to be maintained in an office are given in this manual. Besides, the preparation of title and its maintenance are also clearly discussed.
7. **Rules and Regulations Manual:** Rules and regulations are very much important to every office employee. Everybody should work according to the rules and regulations. Various types of leave are availed by the office employees. The number of such leave and their availing procedure are given in this manual.
8. **Historical Manual:** An employee should know something about his enterprise. This manual contains brief history of an enterprise. Name and address of the enterprise, founders, objectives for establishing such enterprise, circumstances under which the enterprise is established, capital required and contributed by the founders, registration, coverage of law etc are briefly discussed. This information is highly useful to new entrants in an office.
9. **Multi-Purpose Manual or Hand Book:** Some offices prefer to have a single manual instead of several manuals such as discussed above; If so, only relevant and important information are combined

in the form of a hand book. In such a way, multi-purpose manual is prepared.

The information included in a manual of one office may not be the same of another office. In other words, the contents of a manual are according to the needs and preferences of the concerned office.

2.7.4 Principles of Office Manuals

The following principles should be observed in preparing manuals.

1. Centralise all authority and responsibility for the office manual programme.
2. Write the level of the employees who is going to use the manual.
3. Prepare and revise the distribution list so that manuals are distributed among the employees without omission.
4. Use simple and direct Language.
5. The material should be arranged in simple manner without much complication
6. The matter should have proper cross referencing and indexing
7. Make use of charts and diagram.
8. Revise manuals constantly and highlight changes.
9. Periodic audit should be carried out.

2.7.5 Steps in Preparation and Writing of Office Manuals

A standard and an orderly procedure should be followed while preparing office manuals. If so, the prepared manual can ensure complete, accurate and comprehensive. The preparation is to be completed within a reasonable period of time. The following steps may be taken while preparing an office manual.

1. **Assigning an Individual or Formation of a Committee:** An individual is enough to prepare an office manual in small size organization. A committee has to be formed to prepare an office manual in case of large size organization. So, this formality is carried on according to the size of the organization.
2. **Preparing the List of Subjects Covered:** The responsible executives prepare the list of subjects to be covered in the preparation of office manual. List of subjects vary according to the type of manual preparation. The subjects and topics to be covered should be classified and arranged into logical headings and sub-headings.

3. **Receiving Ideas and Suggestions:** Ideas and suggestions have to be received from the managers of functional departments and supervisors as per the subjects covered. A time schedule is to be fixed for receiving ideas and suggestions.
4. **Verification of Ideas and Suggestions:** Received ideas and suggestions have to be tabled and verify the same. Irrelevant and impracticable ideas and suggestions have to be rejected with due care.
5. **Classification and Arrangement of Information:** The collected information and data have to be classified and arranged under each subject and write them up in subject-wise. The information and data included should be accurate and complete in all aspects.
6. **Prepare a Draft Manual:** A draft manual is prepared by considering the relevance of the concerned manual. A limited number of copies of such draft manual is typed or cyclostyled for circulation. A copy of draft manual is circulated among the office manager, functional manager, union representatives and top management executives for their criticism. Such criticism is used for the betterment of the preparation of office manual.
7. **Revision of the Draft Manual:** Suggestions and criticism have been incorporated in improving the manual by adding new points or deleting some points. The style and standard of language can be improved by the process of revision of the draft manual. As far as possible, short sentences and words can be used. The language should be simple and direct.
8. **Submission for Approval of Top Management:** The revised manual has been placed before the top management for approval. Approval of top management is necessary before the production of the manual.
9. **Mechanical Production of the Manual:** Arrangement for the production of the manual should be made after the draft is approved by the top management. The type of production of manual is depending upon the number of copies required. Details regarding size, paper cover and binding should be considered before the actual production of manual. The manual should preferably be in a booklet form.
10. **Distribution of Office Manual:** Copies of office manual are distributed among the employees of an organization on need basis.

A few copies are maintained as spare copies which will be used for the future reference and further revision of the manual.

2.7.6 Advantages of Office Manuals

The advantages of Office Manuals are

1. It contains printed instructions and all the important decisions for the execution of the work, so the employees don't want explanation for the work again and again.
2. It gives readily available printed instruction about system, procedure and duties existing in the organization, so it is easy to train the employees.
3. In large organization which is having many branches, similar type or uniformity of activities can be performed if they have manual
4. The entire work of an office is brought together, studied, examined and incorporated in office manual, so that the activity having less importance can be eliminated.
5. It helps the executives to take decision promptly by referring instructions and policies contained in printed form.
6. When the rules and regulations are in the written format it is easy for the employees to get an idea about their responsibility, duties and authorities. It helps to improve good relation between the employees.
7. When the employees are transferred from one office to another office, with the help of manual they can start their work without delay.

2.7.7 Disadvantages of Office Manuals

The disadvantages of Office Manuals are

1. To keep the manual up-to-date is a difficult job
2. It is costly and time consuming process, so it is difficult to have manuals in small firms.
3. If simple words are not used in manuals the employee reading can misinterpret it.

2.7.8 Revision and Distribution of Office Manuals

Revision of Office Manuals: Manuals must be revised from time to time. It is necessary to keep them up to date. In revising manuals the following factors should kept in mind.

1. The responsibility of revising manual is in the hands of the department that created it.
2. It is necessary to revise the manual as frequent as practicable.
3. Where no provision has been made to revise manual and the responsibility of revising them is not fixed, manuals should be discarded.

2.7.9 Distribution of Office Manuals

Office Manuals are useless unless they are properly distributed amongst employees for whom they are meant. In fact, it is they who would be responsible for carrying out the instructions and ideas given in the manuals. Organization manuals may be distributed only amongst the major executives and in rare cases amongst those with lesser responsibility. The different departmental practice manuals should be distributed to departments and employees directly affected by them.

2.8 COORDINATING DIFFERENT WINGS OF AN OFFICE/ ORGANISATON

The duties of a secretary to the office have an early start. As the secretary belongs to the top management group he is in the process of overall policy-making including the policy in respect of office administration. The composition and functions of an office largely depend on the nature and extent of the functions of the orga-nisation.

The secretary is an advisor to the management and generally he is entrusted with the administrative part of management as a whole so he/she is cordinate the different departments by following below duties.

(A) Planning and Organizing: Planning for and organising the office, which are the functions of the top management group, may be entrusted on the secretary.

Such functions are:

- (1) The primary duty of the secretary is to prepare the Organisation Chart for the office, determining the different positions to be held and their levels. At the same time job grading has to be finalized. The number of employees has to be estimated by him and a recruitment policy also to be decided. Together with the Organisation Chart an Office Manual also has to be prepared clearly defining the authority of each position and its functions.

This is very helpful to avoid

- (a) Indetermination and confusion,
- (b) Overlapping of authority and
- (c) Conflict among the members of the staff.

With planning also comes, preparation of budget for the establishment cost of the office, both present and future.

- (2) The secretary will now decide what system should be followed in office organisation a system of centralisation or a system of decentralisation. A wise blending of the two systems will be ideal.
- (3) Next comes the lay-out of the office. Definitely the modern open type of lay-out will be preferred by, the secretary. Much depends on the system to be followed and the shape and size of the available accommodation.
- (4) Now the stage is set for the secretary for establishing and running the office. Recruitments have to be made and equipment of all types have to be procured under his supervision and guidance.
- (5) The secretary will divide the office into functional departments, man the departments and assign duties to the members of the staff. Appropriate authority together with corresponding responsibility will be delegated to each member of the staff. If necessary, training will be arranged for them.

(B) Supervision and Control: Supervision and control are not identical terms. Supervising means just overseeing whether the subordinates are doing their duties or not. Generally it is done by the office manager. Controlling is a bigger function.

It entails:

- (a) Fixation of standard of performance;
 - (b) Evaluation of actual performance;
 - (c) Verification of actual performance with the standard;
 - (d) Rectification of errors, if any, so that they are not repeated.
- (1) The secretary is more than a mere office manager and so he has both the duties to perform-supervision and control. When there is no office manager, he may be assisted by supervisors. He may not have control over the departmental managers like production manager, marketing manager, etc. who are doing the main functions and known as 'line' people. They may be under the General Manager.

But the 'staff' people who are the heads over the service functions like the Personnel Manager, Finance Manager, etc. are generally under the direct control of the secretary. Whatever may be the case, the secretary has to control and coordinate the different clerical functions connected with the general or centralised office.

- (2) He has to maintain a continuous liaison between the top management and the other employees of the organisation as well as with the Government and the outside people interested with the concern. He has to maintain liaison between the organisation and the public at large. This he carries on from the office.
- (3) He has to maintain a coordination between the head or the main office and those of the branch or divisional offices, if any.
- (4) He has to maintain continuous supply of office equipment.
- (5) He has to do filing of all statements and documents as required under his statutory duties.
- (6) He has to arrange all meetings required under statutes or otherwise and do all the needful for the meetings. Meetings may be held at the office or elsewhere.
- (7) He has to apply his mind for the improvement of office functions through O & M study and out of his own.
- (8) He has to apprise the top management about the functioning of the office and submit oral or written reports with or without recommendations on the same.

- (C) **General:** Sometimes, specially in case of a society or association or a small-size concern, much of the clerical functions are directly handled by the secretary himself. Generally, most of the outgoing letters are signed by him. In some offices, the practice is that the incoming mail will go to the secretary first who will look over the papers before they are being distributed among the respective departments.

2.9 MEETING - MEANING, IMPORTANCE AND TYPES OF MEETINGS

A meeting may be generally defined as a gathering or assembly or getting together of a number of persons for transacting any lawful business, discussing certain matters of concern, making recommendations or taking decisions. In other words, a meeting is “any focused conversation which has usually a specific agenda.” There should be at least two persons to constitute a meeting.

Importance: In an organization, meetings help in smooth functioning of an organization. Basically, meetings may be organised to.

- Transact official business.
- Find solutions for problems.
- Exchange ideas, opinions, etc. for growth of business.
- Take decisions and make recommendations for the growth of business.
- Plan new schemes.
- Brief members on plans already made or proposals already finalised
- Discuss and make arrangements for a specific event.
- Review the progress being made on a particular front.
- Resolve conflicts, confusions and disagreements.
- Change the existing policies and procedures.
- Motivate staff by generating enthusiasm and positive attitude.

2.9.1 Types of Meetings

Broadly meetings may be categorized as

- Public Meetings
- Business Meetings

Public Meetings are those meetings which are open to the members of the public in general. These are generally held at some public place like a park or public hall. The purpose of these meetings may be to propagate some knowledge or belief. Notice of such meetings is served by announcements in the newspapers or by posters etc. Civic reception meetings, political meetings etc. are example of the public meetings.

Business Meetings are those meetings which are held by private bodies or associations in which affairs or business of the private body concerned are discussed. These are open to those persons only who are the members of that body or those who have been invited to attend. Business meetings may be classified as

- i) General Meetings ii) Committee or Sub-committee Meetings
- i) **General Meetings:** These meetings are for all the members of the body or organization concerned. At such meetings, the general business of the organization is transacted and discussed.

There are two types of general meetings

- Annual General Meetings and • Extraordinary General Meetings
- a. **Annual General Meeting:** It is a formal meeting that is held by companies once every year in order to deal with ordinary business. According to the Company Law, all companies are obligated to hold an Annual General Meeting (AGM) every year. In this meeting, the company's executives, directors, and shareholders meet for the purpose of transacting ordinary business. The Annual Report of the company is presented to everyone gathered at the meeting. Some of the other businesses transacted at Annual General Meetings may be the appointment of directors of the company, adopting of the budget for the next 12 months, dealing with the remuneration of auditors of the company etc. Before an annual general meeting is held, it is normally required that a 21 days' notice is issued.
- b. **Extra-ordinary General Meeting:** An Extraordinary General Meeting or the EGM is a meeting which is convened by the Directors of a company in order to deal with any special business that is so important that it cannot wait until the next Annual General Meeting

to be dealt with. These meetings do not have a regular time of occurrence and can be held anytime to deal with any urgent matter.

Because of the nature of these meetings, they are normally called on short notices. A minimum of 14 days notice is generally required for an Extraordinary General Meeting.

- ii. **Committee Meetings:** Committee Meetings are the meetings in which only concerned or elected members are invited to attend. For example, Governing Body Meeting, Sales Committee, Canteen Committee or Finance Committee Meetings etc. Committee meetings may take the form of problem solving meetings, innovation meetings, team meetings etc.

2.9.2 Requisites of a Valid Meeting

Every meeting needs to be planned in advance, so that it is successful. A meeting is said to be properly convened when proper notice of a meeting has been issued by a proper authority to all persons who have right to attend the meeting. Further, in a duly constituted meeting, there is a proper person in the chair to preside over it and the quorum is complete. The first step towards planning a meeting is that it must be properly convened and constituted. It is the duty of a PA/PS to know all the valid requisites of a meeting which are discussed below.

1. **Notice of a Meeting:** Notice of a meeting means advance information or intimation of a meeting so that the person receiving it gets an opportunity to prepare himself/herself for it. The notice of a meeting should contain the day, date, time and venue of the meeting. It must also indicate the purpose and nature of the meeting. If so required under the rules, copies of certain reports, statement etc., must also be enclosed or annexed to the notice. For example, in the case of an Annual General Meeting of the company, a copy of the

Balance Sheet and Profit and Loss Account of the company and Directors' Report have to be sent along with the notice. Issuing notice to all the members who are supposed to attend the meeting is mandatory and obligatory. The notice must be served in the manner prescribed as per the rules or constitution of the organization or body concerned. Notice should always be in writing.

Minimum notice period required for a meeting is also prescribed in the rules or constitution of the organization. For example, as also said above, in the case of an Annual General Meeting of a Company, the notice about the meeting must reach the members at least 21 days before the meeting. A private secretary should ensure that the notice is circulated to all the members within the stipulated time.

2. **Agenda of a Meeting:** It is a practice to send an agenda along with the notice to the members who have to attend the meeting. An agenda is a programme of the items of the business to be discussed at a meeting in the order in which they are to be taken.

The purpose of agenda is to let all the members of the committee or organization give adequate information so as to enable them, prior to the meeting, ponder over the items of business to be discussed. Agenda is prepared by Secretary in consultation with the Chairperson and the items of business dealt with at the previous meeting are taken into consideration. The Secretary should make a note of any matters requiring the attention of the members, so that these may be included in the agenda for the next meeting.

An agenda could be a part of the notice of the meeting or can be annexed along with it. When the agenda is given as an annexure to the notice or circulated separately it contains the following information:

- Name of the organization and date of circulation.
- The day, date, time and venue of the meeting.
- The items of business to be transacted at the meeting.
- The background paper or information, if any

Sometimes, the first item on an agenda is the “confirmation of minutes of the previous meeting” and the last item is “any other matter with the permission of the chair”. Other matters are arranged according to their importance. The routine matters are put first and then the controversial matters.

3. **Quorum of a Meeting:** The word “quorum” is derived from Latin word and may be defined as the minimum number of members who must be present at a meeting as required by the constitution or rules. No important decisions can be taken or business transacted in a meeting without a proper quorum. A meeting is not properly

constituted if the quorum is not present and any business transacted at such a meeting will be invalid. The main Purpose of having a quorum is to prevent a small minority from taking decisions which may be unacceptable to the majority of the members.

The number of members required to complete a quorum is given in the rules of the organization. For example, in the case of the meetings of the Governing Body of a College, it may be provided that quorum will be onethird of the total strength of the Committee.

4. Chairperson of a Meeting: In the context of a meeting, Chairperson is the person who presides over a meeting. The person in charge of a meeting or organization is referred to as the Chair or sometimes the Chairperson. These words can be used to refer to either a man or a woman. In other words, it is necessary to designate a chairperson to preside over and conduct the proceedings of a meeting in proper manner according to the rules and constitution. The other points of importance of Chairperson in a meeting are to:

- Approve the items to be discussed on the agenda.
- Manage the proceedings of a meeting and keep order.
- Conduct the business according to the agenda and constitution/standing orders/rules and keep the discussion within the prescribed limits.
- Deal with points of order.
- Provide guidance in the discussion and assist the meeting to make decisions by passing resolutions, amendments, etc.
- Take a vote or poll and declare the result.
- Do signature on the minutes and ensure that action is taken, as approved.
- Adjourn or postpone meetings.
- Exercise casting vote.

5. Motions and Resolutions: A motion is a proposal put before a meeting for its consideration and decision. The business of a meeting is transacted through motions. A motion must normally be written and handed to the Chairperson or Secretary before the meeting. A member, who wants to put a proposal, first of all secures the permission of the Chair and then introduces the motion. The mover

of the motion speaks of it and has the right of reply at the close of the discussion. A motion is then required to be seconded by another member, who is called the seconder. If there is no seconder, a motion is dropped and cannot be introduced again. However, no seconder is required if the motion is moved by the Chairperson.

After a motion is formally put before the meeting, the Chairperson asks members to express their views on it. Therefore, when put to a meeting, the motion becomes “the question” and when a decision is taken after discussion and is passed then it is called “the resolution”.

A resolution is defined as the formal decision of the meeting on any proposal put before it. A resolution if adopted and recorded in the minutes becomes the official decision of the meeting. Usually the rules provide for passing of two kinds of resolutions: ordinary resolutions and special resolutions.

A resolution which is passed by a simple majority of votes is called ordinary resolution. Simple majority means that the votes cast in favour of the resolution must exceed the votes cast against it. Special resolution is a resolution which is passed by a three-fourths majority. Votes cast in favour of the special resolution must be at least three times more than the number of votes cast against it. The matters for which special resolution must be passed are specified in the rules of the body concerned.

An amendment is a proposal to alter a motion by adding or deleting words. Before a motion is voted upon and adopted, an amendment may be proposed. It must be also proposed, seconded and passed in the meeting in the customary manner. When the motion of amendment is moved, seconded and accepted, discussion on the original motion ceases and discussion on the motion of amendment starts. After the discussion, it is put to vote and if it is passed, the original motion is amended

6. Adjournment of a Meeting: It means suspending the proceedings of the meeting either for a particular time or indefinitely. Subject to the articles, rules or constitution of an organization, the Chairperson, with the consent of members of the meeting, may adjourn it in order to postpone further discussion. If it is carried, the meeting is adjourned to the agreed date or indefinitely.

A Chairperson, can adjourn the meeting when there is no quorum or the meeting becomes so disorderly that it is impossible to transact the business at his own discretion. In other words, he/she can adjourn the meeting or a discussion for a bona fide purpose.

7. **Minutes of a Meeting:** Minutes of a meeting may be defined as a record of the proceedings of a meeting and are kept to preserve a brief, accurate and clear record of the business transacted. The term 'Minutes' in literal sense means a note to preserve the memory. The minutes of any meeting serves as an official record of what took place i.e. the points discussed and decisions taken during any meeting. One must be very alert and accurate in taking down minutes of meeting.

Before the Meeting, choose your medium carefully with which you will take notes, i.e. pen and paper, laptop, computer, or tape recorder. Also ensure that the same is in working order and have a backup facility in case of emergency. It is important to refer the meeting agenda to formulate an outline of minutes of meeting.

During the Meeting

- Get a list of committee members and pass around an attendance sheet.
- Note the time when the meeting begins.
- Don't try to write down every single comment - just the main ideas.
- Write down motions, which made them, and the results of votes, if any; also write down who seconded a motion.
- Make note of any motions to be voted at future meetings.
- Note the ending time of the meeting.

After the Meeting

- Type the minutes as soon as possible after the meeting, while everything is still fresh in your mind.
- Include the name of organization, name of committee, type of meeting (daily, weekly, monthly, annual, or special) and purpose of meeting.
- Include the time the meeting began and ended.

- Proofread the minutes before submitting to the executive for obtaining relevant signatures.

A draft is generally submitted to the Chairperson for approval before the final copy is typed.

2.9.3 Secretarial Duties Relating to Meetings

It must be understood that there is no direct authority and responsibility of a private secretary for convening and conducting a meeting. But it is one of his/her duties to assist the executive in the performance of all the secretarial work relating to meeting. Secretarial work relating to a meeting may be before, during and after the meeting. Before the meeting, a Secretary has to:

1. Ascertain the date, time and place i.e. when and where the meeting is to be held in consultation with the executive and take steps to make preparations accordingly e.g. booking of the committee/conference room, hotel etc.
2. Draft the notice and agenda and get it approved.
3. Get adequate number of copies of the notice, agenda and reports etc., if any, required to be sent along with the notice and send the same to all the members who have a right to attend the meeting.
4. Check in advance all logistics viz. air-conditioning system, blowers etc., in the meeting room and to arrange for public address system, OHP/LCD/Screen and other equipment that may be required and to see that sufficient number of chairs are made available in the meeting room keeping in view the number of invitees.
5. Book in advance necessary orders for refreshment and lunch.
6. Keep ready (i) the items of stationery such as writing paper, pen, pencil, (ii) spare copies of agenda, (iii) minutes of the previous meeting, (iv) the papers, reports, statements and other documents likely to be required at the time of the meeting including letters of apology received from the members unable to attend, (v) attendance sheets or register, (vi) any books of reference, standing orders etc.

Secretarial duties during the meeting are to:

1. Obtain signatures of the members present in the Attendance Book or on Attendance Sheets.
2. Help the chairperson in ascertaining the quorum.
3. Keep before the Chairperson the necessary papers, files and documents for ready reference and to distribute papers and documents, if any, to the members.
4. Read, if required, the notice of the meeting, apologies for absence, minutes of the last meeting and Auditors' Report etc., if directed by the Chairperson to do so.
5. See that refreshment is served properly.
6. Supply necessary information, if any, regarding rules of procedure, papers and documents required by the Chairperson while conducting the proceedings of the meeting.
7. Take notes of the proceedings of the meeting.

After the meeting, it is the duty of the Secretary to:

1. Prepare draft minutes and when approved, get the same typed in proper form.
2. See that the meeting room is left in good order, check the room for papers or personal items left behind by the departing participants, arrange to return borrowed equipment, to have unused supplies and exhibits picked up.
3. Arrange for carrying out decisions taken in the meeting and to ensure that proper intimation is given to those who are associated with given assignments.

2.9.4 Terms Relating to Meeting

Ad hoc Subcommittee: Ad hoc means 'arranged for this purpose'. An ad hoc subcommittee is appointed for the purpose of carrying out one particular piece of work, such as the arrangements for the visit of a VIP.

These committees are also called special purpose committee.

Addressing the Chair: All remarks must be addressed to the Chairperson and members must not discuss matters between themselves at a meeting.

Attendance Sheet: A record of people present at a meeting, usually provided at a sheet which is passed round for signature by members.

Casting Vote: A vote usually allowed to the Chairperson. A casting vote is used only when there are equal numbers of votes 'for' and 'against' a motion.

Convener: A person authorized to call a meeting.

Co-opted Member: A person who serves on a committee as a result of the committee's powers of co-option, i.e. the committee approves of the appointment of a co-opted member by a majority vote in order to engage the services of a person qualified to assist them in their work.

Ex-officio Member: A person who is a member of a committee by virtue of office.

Memorandum and Articles of Association: These are regulations drawn up by a company setting out the objects for which the company is formed and defining the manner in which its business shall be conducted respectively.

Point of Order: A point of order is a question regarding the proceedings of a meeting or a query relating to the standing orders or constitution of the meeting. For example, a member may draw the attention of the Chairperson to the fact that there is no quorum or the motion put before the meeting is not within the scope of the meeting or there is use of improper language or indecent behaviour. When a point of order is raised, debate on the main motion will stop. The Chairperson will give his decision at once which will be final and binding. After the settlement of the point of order, discussion on the main motion will start again.

Poll: Poll is the term given for the method of voting at an election and in a meeting this usually takes form of a secret vote by ballot paper.

Proxy: A person appointed to attend a meeting and vote on behalf of a member who is unable to attend.

Rider: A rider is an additional clause or sentence added to a resolution after it has been passed.

Standing Orders: These are the rules compiled by the organization regulating the manner in which its business is to be conducted. It may also have the title 'constitution'.

Status Quo: It is used to refer to matter in which there is no change.

Teller: A person who counts the votes at a meeting.

Web Conferencing: Web conferencing enables the real-time sharing of computer screens, individual applications or web-based content among two or more computers or mobile devices. It works the same way in the virtual world as it does the real world. Web conferencing platforms may be internet based and delivered via software, which enables the users to hold live meetings and conferences.

Web conferencing also covers online collaborative services like web seminars ("webinars") and webcasts (it is considered to be a video broadcast of an event transmitted across the internet).

Ultra Vires: Beyond the legal power or authority of a company or organization.

Unanimous: When all members of a meeting have voted in favour of a resolution, it is said to be carried 'unanimously'.

2.10 SERVICES PROVIDED BY BANKS

a) DEPOSITS

- i. **Current Deposits (Demand Deposits) Account:** It is a running account for a businessman with minimum number of restrictions. One can make any number of deposits and withdrawals in a single day. A bank grants overdraft facility in this account.
- ii. **Saving Deposits Account:** It is an account opened by a person who wishes to save some part of his income for meeting the

unforeseen expenses and also future needs. It is also a source of income on the savings made by him. This account provides a nominal rate of interest and a person can deposit as many times in a day. All the entries of deposits made and withdrawn are entered in a small book called Pass book. The specified rate of interest given by the bank on the amount deposited in the saving bank account keep varying.

This rate of interest is fixed by Reserve Bank of India. It is around 4% currently. To open this account, one has to complete all the formalities required by the Bank such as photograph of the person, Aadhar card, residential proof etc.

- iii. **Fixed Deposits (Time Deposits):** These types of accounts are for a fixed period. The depositor can deposit the money in fixed deposit for a specific period and the interest earned on this deposit is taxable at current tax slab. The rate of interest is more than saving deposit account and the interest is payable on the maturity of account. The rate of interest differs from bank to bank and also depend upon the amount of deposit.

The higher the amount of deposit for a longer period, the higher is the rate of interest.

- iv. **Recurring Deposit Account:** It is also called Term Deposit which can be opened for a specific period and a specific amount is deposited every month during that term of period. On this deposit, the rate of interest given is slightly less than fixed deposit which is given on the maturity of account.

- b) **ONLINE BANKING:** Online banking, also known as internet banking, e-banking or virtual banking, is an electronic banking system that enables customers of a bank or other financial institutions to conduct a range of financial activities through its website. The online banking system will typically connect to or be part of the core banking system operated by a bank and is in contrast to branch banking which is the traditional way customers accessed banking services.

- c) **MOBILE BANKING:** Mobile banking is a service provided by a bank or other financial institution that allows its customers to conduct financial transactions remotely using a mobile device such as a mobile phone or tablet. It uses software, usually called an app, provided by the financial institution for the purpose. Mobile banking is usually available on a 24-hour basis. Some financial institutions have restrictions on which accounts may be accessed through mobile banking, as well as a limit on the amount that can be transacted.
- d) **TRANSFER OF FUNDS:** Transfer of funds within your own accounts is known as Fund Transfer. Transfer of funds can be made to third party account also held in the same or different bank.
- e) **CHEQUE FACILITY:** A cheque is a bill of exchange or an instrument drawn on any bank on demand. In other words, cheque is a bill of exchange drawn on a specified banker ordering the banker to pay a certain sum of money to the drawer of cheque or another person. Money is generally withdrawn by clients by cheques. Cheque is always payable on demand. Commonly, following four types of cheques are used in:
- **Bearer Cheque:** This cheque is payable by the drawee bank over the counter to the bearer or presenter of the cheque. A bearer cheque can be negotiated or passed to another person by mere delivery.
 - **Order Cheque:** When the word “bearer” on the cheque is cancelled, it becomes an order cheque. Such a cheque is paid to the person specified therein as payee. The payee can be anyone else too, to whom the cheque is endorsed.
 - **Open Cheque:** An open cheque is a cheque that is not crossed on the left corner and payable at the counter of the drawee bank on presentation of the cheque. An open cheque may be bearer or order cheque.
 - **Crossed Cheque:** A crossed cheque is a cheque that has been marked to specify an instruction about the way it is to be redeemed. A common instruction is to specify that it must be deposited directly into an account with a bank and not immediately encashed by a bank over the counter. Crossed cheque means drawing two parallel lines on the upper left hand corner of the cheque and writing the

words 'A/c Payee'. The main advantage of this cheque is that if the cheque is lost, nobody can take the payment. In case of any mis-use, it can be easily found in whose account the payment is credited. So it is advisable to cross the cheque always.

- f) **DEMAND DRAFT:** It is a cheque or a document stating to pay the amount written on this document on demand. This document is issued by the bank requesting to pay the specified amount to the person in whose name this demand draft is issued. It is convenient and simple method of remitting payments or money from one person to another.
- g) **OVERDRAFT:** An overdraft allows a person to borrow money for short time through current account. Having overdraft facility from a bank helps an individual or businessmen to meet with short term cash flow problems.
- h) **CASH CREDIT (LOANS AGAINST CERTAIN SECURITY):** Cash credit is a short-term source of finance. Under cash credit, the bank offers its customer to take a loan up to a certain limit. Cash credit is also

known as bank overdraft.

Advantages of Cash Credit:

- i. It is an important source of working capital financing.
- ii. Cash credit can be obtained very easily and quickly.
- iii. Interest is charged only on the amount of loan taken by the customer and not on the amount of credit sanctioned. In other words, interest is charged only on the utilized amount.

Disadvantages of Cash Credit:

- i. The rate of interest charged by loan on cash credit is very high.
- ii. Such loan is granted by bank on the basis of company's turnover, its financial status, value of inventory, etc. So, it is difficult for new and financially weak companies to obtain cash credit.
- i) **DISCOUNTING (BILLS OF EXCHANGE):** The holder of a bill can get it discounted by the bank, when he/she is in need of money. After deducting its commission, the bank pays the present price of the bill to the holder. The commercial banks can re-discount

the discounted bills with the central banks when they are in need of money. When the bill matures the bank can secure its payment from the party which had accepted the bill.

- j) **MONEY AT CALL:** Bank also grant loans for a very short period, generally not exceeding 7 days to the borrowers, usually dealers or brokers in stock exchange markets against collateral securities like stock or equity shares, debentures, etc., offered by them. Such advances are repayable immediately at short notice, hence, they are described as money at call or call money.
- k) **TERM LOANS:** Banks give term loans to traders, industrialists and now to agriculturists also against some collateral securities. Term loans are so-called because their maturity period varies between 1 to 10 years. Term loans, as such provide intermediate or working capital funds to the borrowers. Sometimes, two or more banks may jointly provide large term loans to the borrower against a common security. Such loans are called
- l) **CONSUMER CREDIT:** Banks grant credit to households in a limited amount to buy some durable consumer goods such as television sets, refrigerators, etc., or to meet some personal needs like payment of hospital bills etc. Such consumer credit is made in a lump sum and is repayable in instalments in a short time. The scope of consumer credit has been extended to cover expenses on marriage, funeral etc., as well.
- m) **MISCELLANEOUS ADVANCES:** Among other forms of bank advances there are packing credits given to exporters for a short duration, export bills purchased/discounted, import finance i.e. advances against import bills, finance to the self-employed, credit to the public sector, credit to the cooperative sector and above all, credit to the weaker sections of the community at concessional rates.

2.10.1 Other Common Facilities Provided by Banks

- **Agency Services:** Banks also perform certain agency functions for and on behalf of their customers like collection and payment of credit instrument. Banks collect and pay various credit instruments like cheque, bills of exchange, promissory notes etc., on behalf of their customers.

- **Purchase and Sale of Securities:** Banks purchase and sell various securities like shares, stocks, bonds, debentures on behalf of their customers.
- **Collection of Dividends on Shares:** Banks collect dividends and interest on shares and debentures of their customers and credit them to their accounts.
- **Acts as Correspondent:** Sometimes banks act as representative and correspondents of their customers. They get passports, traveller tickets and even secure air and sea passages for their customers.
- **Execution of Standing Orders:** Banks execute the standing instructions of their customers for making various periodic payments. They pay subscriptions, rents, insurance premium etc. on behalf of their customers.
- **Acts as Trustee and Executor:** Banks preserve the 'Wills' of their customers and execute them after their death.

2.10.2 General Utility Services Provided by Banks

- a) **Locker Facility:** Bank provides locker facility to their customers. The customers can keep their valuables, such as gold and silver ornaments, important documents, shares and debentures etc. in these lockers for safe custody.
- b) **Credit Cards:** A credit card is a payment card issued to user as a system of payment. It allows the cardholder to pay for goods and services based on the promise to pay for them. The issuer of the card creates revolving accounts and grants a line of credit to a consumer or the user from which the user can borrow money for payment to a merchant or as a cash advance to a user. In short, credit card is a small plastic card issued by a bank, building society, etc., allowing the holder to purchase goods or services on credit.
- c) **Debit Cards:** A debit card is a plastic payment card that provides the card holder electronic access to his/her bank account at the financial institution. It is a card that deducts money directly from a consumer's checking account to pay for a purchase.

Debit cards eliminate the need to carry cash or physical checks to make purchases. These cards help their customers to travel without the fear of theft or loss of money. With this facility, the customers need not take the risk of carrying cash with them during their travels.

- d) **Letter of Credit:** A letter of credit is a guarantee letter from a bank thereby guaranteeing that the buyer's payment to the seller will be received on time and for the correct amount. In case of non-payment, the bank will be required to cover the full or remaining amount of the purchase. Due to the nature of international dealings, including factors such as distance, differing laws in each country, and difficulty in knowing each party personally, the use of letters of credit has become a very important aspect of international business. In short, letters of credit are issued by the banks to their customers certifying their credit worthiness.
- e) **Collection of Statistics:** Banks collect statistics giving important information relating to trade, commerce, industries, money and banking. They also publish valuable journals and bulletins containing articles on economic and financial matters.
- f) **Acting Referee:** Banks may act as referees with respect to the financial standing, business reputation and respectability of customers.
- g) **Underwriting Securities:** Banks underwrite the shares and debentures issued by the Government, public or private companies.
- h) **Gift Cards:** Banks issue gift cards of various denominations to be used on auspicious occasions.
- i) **Merchant Banking:** Some commercial banks have opened merchant banking divisions to provide merchant banking services.
- j) **Automated Teller Machine (ATM):** It is installed by almost all the banks to facilitate the customers to withdraw money at any time as per their convenience on all the days of the year. For this, an ATM card is issued which has a PIN number. When this card is used on the machine, a password is to be set before the transaction is carried on. It releases the amount punched by the customer after taking into consideration the balance of the customer's account.
- k) **Electronic Clearing System (E.C.S.):** This system helps to credit the funds faster. Under this system, the account holder can make payment to other parties having their account in the same banks without issuing any proper instrument. This system is restricted or limited to the accounts maintained in one or different branches of

the same bank within or outside the city. The computer system allows the transfer of funds to the other party after verifying the details from the account.

2.10.3 Terms Used in Banking Transactions

1. **PAY IN SLIP:** It is a slip or the form with a counter foil to be filled for depositing the money by the depositor or any other person for depositing the cash, cheque, draft etc. in any account.
2. **CASH WITHDRAWAL SLIP:** This is a form or slip used for withdrawing the money from the account where the cheque book or ATM cards are not issued to the account holder. The passbook is to be produced along with the cash withdrawal slip at the time of withdrawing the money from the account in a bank.
3. **PASS BOOK:** Pass book is a small handy book issued by bank to the customers to record all the dealings between them. Now-a-days, printed statements of accounts are also being issued by a bank instead of pass book.
4. **CHEQUE BOOK:** It is a book containing detachable blank cheques and issued by a bank or building society to holders of bank accounts.
5. **DRAWER:** Person who withdraws the money or writes the cheques. He is an account holder.
6. **DRAWEE:** The party authorized to payout the money, it is the bank.
7. **BANKRUPT:** To go out of business.
8. **REAL TIME GROSS SETTLEMENT (RTGS):** It means an electronic form of funds transfer where the transmission takes place on a real time basis. In India, transfer of funds with RTGS is done for high value transactions, and at present, the minimum amount being Rs 2 lakh. The beneficiary account receives the funds transferred, on a real time basis.
9. **NATIONAL ELECTRONIC FUNDS TRANSFER (NEFT):** It means a nation-wide payment system facilitating one-to-one funds transfer. Individuals can electronically transfer funds from

any bank branch to any individual having an account with any other bank branch in the country.

10. **IFSC (Indian Financial System Code):** It is an alphanumeric code that is used to identify the particular branch of a participating bank in either of the popular electronic funds settlement options in India, namely RTGS and NEFT.
11. **INTEREST RATE:** The percentage amount that banks give to savers when they leave their money there or charge customers when they borrow money.
12. **OTP (One Time Password):** It is a password that is valid for only one login session or transaction, on a computer system or other digital device. For eg. Mobile phones e-mail etc.
13. **PIN:** Personal Identification Number. Generally a four-character number or word, the PIN is the secret code given to credit or debit cardholders enabling them to access their accounts. The code is randomly assigned by a bank to their customers. It is intended to prevent unauthorized use of the card while accessing a financial service terminal.
14. **MORTGAGE:** It is an agreement between a customer and a bank in which it lends you money to buy a house; you have to pay back the money with interest over a longer period of time.
15. **RBI:** The Reserve Bank of India (RBI) is India's central banking institution, which controls the monetary policy of the Indian rupee.
16. **NRE ACCOUNT (Non-Resident External Account):** An NRE account can be opened by any person who is residing outside India.
17. **NRIs:** (Non-Resident Indians) having NRE account in India are permitted to hold and maintain foreign currency earnings in Indian rupees. Moreover the interest earned is not taxable in India.
18. **NRO ACCOUNT (Non-Resident Ordinary Rupee Account):** An NRO account is a savings or current account held in India that helps NRIs manage income earned in India such as rent, dividends, or pension from abroad. The account holder can deposit and manage accumulated rupee funds conveniently through an NRO account.

19. **FCNR Account (Foreign Currency Non Resident Account):** FCNR Deposit is a Fixed Deposit Foreign Currency account and not a savings account. Deposits in this account can be made in any of the major currencies like US Dollar, UK Pound, Canadian Dollar, Deutsche Mark, Japanese Yen and Euro.
20. **CASH RESERVE RATIO (CRR):** It is the amount of funds that the banks have to keep with RBI. If RBI decides to increase the percent of this, the available amount with the banks comes down. RBI is using this method (increase of CRR rate), to drain out the excessive money from the banks.
21. **BANK RATE:** It is the rate of interest which a central bank charges on the loans and advances that it extends to commercial banks and other financial intermediaries. Changes in the bank rate are often used by central banks to control the money supply.
22. **FDI (Foreign Direct Investment):** It is an investment which occurs with the purchase of the “physical assets or a significant amount of ownership (stock) of a company in another country in order to gain a measure of management control” or a foreign company having a stake in an Indian Company.
23. **ACCRUED INTEREST:** It means the interest that has been earned but not yet paid.
24. **AUTOMATED CLEARING HOUSE (ACH):** It has a computerized facility used by member depository institutions to electronically combine, sort, and distribute inter-bank credits and debits.

ACHs process electronic transfers of government securities and provide customer services, such as direct deposit of customers' salaries and government benefit payments (i.e., social security, welfare, and veterans entitlements), and preauthorized transfers.
25. **DISHONOUR OF CHEQUE:** Non-payment of a cheque by the paying banker with a return memo giving reasons for the non-payment. It is a condition in which the bank does not pay the amount of the cheque to the payee. In fact, when the drawer draws the cheque without following all the rules of issuing cheque and where an account does not have sufficient balance to honour the cheque

- issued by the customer, the cheque is returned by the bank with the reason "funds insufficient" or "exceeds arrangement".
26. **BANK OMBUDSMAN:** Bank Ombudsman is the authority to look into complaints against Banks in the main areas of collection of cheque/bills, issue of demand drafts, nonadherence to prescribed hours of working, failure to honour guarantee/letter of credit commitments, operations in deposit accounts and also in the areas of loans and advances where banks flout directions/instructions of RBI. This Scheme was announced in 1995 and is functioning with new guidelines from 2007. This scheme covers all scheduled banks, the RRBs and co-operative banks.
 27. **CO-OPERATIVE BANK:** An association of persons who collectively own and operate a bank for the benefit of consumers/customers, like Saraswat Co-operative Bank or Indraprastha Sehkari Co-operative Bank etc.
 28. **CORE BANKING:** It is a banking service provided by a group of networked bank branches where customers may access their bank account and perform basic transactions from any of the member branch offices.
 29. **E-BANKING:** E-Banking or electronic banking is a form of banking where funds are transferred through exchange of electronic signals between banks and financial institutions and customers' ATMs, Credit Cards, Debit Cards, International Cards, Internet Banking and new fund transfer devices like SWIFT, RTGS belong to this category.
 30. **EFT - (Electronic Fund Transfer):** It is a device to facilitate automatic transmission and processing of messages as well as funds from one bank branch to another bank branch and even from one branch of a bank to a branch of another bank. EFT allows transfer of funds electronically with debit and credit to relative accounts.
 31. **EITHER OR SURVIVOR:** It means operation of the account opened in two names with a bank. It means that any one of the account holders have powers to withdraw money from the account, issue cheques, give stop payment instructions etc. In the event of

death of one of the account holder, the surviving account holder gets all the powers of operation.

32. **ELECTRONIC COMMERCE (E-Commerce):** E-Commerce is the paperless commerce where the exchange of business takes place by electronic means.
33. **FOREIGN BANKS:** Banks incorporated outside India but operating in India and regulated by the Reserve Bank of India (RBI), e.g. Barclays Bank, HSBC, Citibank, Standard Chartered Bank, etc.
34. **KYC NORMS:** Know Your Customer norms are imposed by R.B.I. on banks and other financial institutions to ensure that they know their customers and to ensure that customers deal only in legitimate banking operations and not in money laundering or frauds.
35. **MORATORIUM:** R.B.I. imposes moratorium on operations of a bank; if the affairs of the bank are not conducted as per banking norms. After moratorium, R.B.I. and Government explore the options of safeguarding the interests of depositors by way of change in management, amalgamation or take over or by other means.
36. **POST DATED CHEQUE:** A Cheque which bears the date which is subsequent to the date when it is drawn. For example, a cheque drawn on 8th of February, 2007 bears the date of 12th February, 2007.
37. **PLASTIC MONEY:** Credit Cards, Debit Cards, ATM Cards and International Cards are considered plastic money as like money they can enable us to get goods and services.
38. **RESTRICTIVE ENDORSEMENT:** Where endorser desires that instrument is to be paid to a particular person only i.e. a person restricts further negotiation or transfer by such words as "Pay to Vijay only". Now Vijay cannot negotiate the instrument further.
39. **TELLER:** Teller is a staff member of a bank who accepts deposits, cashes cheques and performs other banking services for the public.
40. **VIRTUAL BANKING:** Virtual banking is also called internet banking, through which financial and banking services are accessed via internet's World Wide Web. It is called virtual banking because an internet bank has no boundaries of brick and mortar and it exists only on the internet.

2.11 MODES OF TRAVEL

Various modes of travel include air, rail, road, water etc. Each mode has its own merits and demerits and is chosen on the basis of cost, speed, route and capability.

Normally, business travel is multi-modal. When more than one mode of transport is used for a journey, the journey is described as multi-modal. The following modes of travel are commonly used by executives while on business tour:

- a) Private Car, Taxi or Cabs
- b) Bus
- c) Railway
- d) Air

Private Car, Taxi or Cabs: It provides ad-hoc services at rider's desire. This is resorted for travelling short distances within the country. Though this mode of travel is bit expensive but it offers flexibility of travel. The concept of cabs (radio taxis) is very popular now-a-days. But private car and taxi have lower capacity and are, sometimes, time consuming.

There is no elaborate procedure involved in booking cars and taxis. A person can either book a car/taxi on telephone, on-line or approach personally local taxi stand. Cab users usually download the various service applications on their mobile and make use of the same, whenever the service needed.

Bus: The cheapest mode of transport is bus. We know that every city has a welldeveloped system of buses. Luxury and air conditioned buses are available to make travel comfortable. For booking a ticket in a bus, there are not much formalities needed. Like private car/taxi, a ticket can be booked on-line, on telephone or by approaching local bus terminal.

Railway: Rail travel is very important mode of travel between different cities. Train travel can bring much comfort and convenience to the travellers. Unlike planes, one can use cell phone on trains. The seats on a train are comfortable and trains are rarely delayed due to bad weather.

India has one of the most spectacular rail networks in the world. Advance reservation is necessary for rail travel. One can refer to time

table published by Indian Railways which is published at regular intervals or visit the website - w.w.w.indianrail.gov. to find out the different classes of services offered by Indian Railways to its passengers. One can go for booking tickets on internet and check for all the enquiries like Train Alert, PNR Status, Train Status, Seat Availability, Train Schedule, Train Information, Train Time Table, Train Fare etc.

One can send SMS on 57886 through mobile phone to get any information on railways.

2.11.1 How to Make Railway Reservation

For booking reservation in railway trains personally, Railway Reservation Slip is to be filled in with particulars about journey, trains and persons travelling. This slip is also used for cancellation of journey, if so required. A specimen of railway reservation/cancellation form is given below:

- Reservation/Cancellation Requisition Form
- If you are a Medical Practitioner ● Please tick () in Box
- (You could be of help in an emergency) Dr.
- If you want Sr. Citizen Concession, please write
- Yes/No in Box

(if yes, please carry a proof of age during the journey to avoid inconvenience of panel charging under extant Railway Rules)

Do you want to be upgraded without any extra charge? Write Yes/NO in the box.

(if this option is not exercised, full fare paying passengers may be upgraded automatically)

Train No & Name

Date of journey

Class

Number of Berth/Seat

Station From To

Boarding at Reservation upto

S.No.

Name in Block Letters (not more than 15 letters)

Sex(M/F) Age

Concession/Travel

Authority No.

Choice (Lower / Upper Berth)

Meals for Rajdhani/ Shatabdi Express

FOR OFFICE USE ONLY

S.No. of

Requisition _____

PNR No. _____

Berth/Seat No. _____ Amount collected

_____ Signature of Reservation Clerk

NOTE

1. Maximum permissible passengers are 6 per requisition.
2. One person can give one requisition form at a time.
3. Please check your ticket and balance amount before leaving the window.
4. Forms not properly filled or in illegible forms shall not be entertained.
5. Choice is subject to availability.

For rail e-ticket booking in India, Register as an individual. Registration is free. The e-booking procedure of railway and air ticket is almost similar. The same is discussed in the section just below.

2.11.2 Air Travel

Air travel has become extremely popular for long distance travelling and is widely used by top and middle level executives. Air transport has in the recent past become relatively economical due to competitive prices. Further, it is a fast and reliable mode of transport. The decline in prices has increased its demand. Like rail travel, advance reservations are also necessary for all airline flights.

Air travel can be divided into two:

- Domestic flights
- International flights

In addition to Air India, there are several private airlines services which operate on both domestic and international routes.

For booking airline reservation, a person can:

- Buy a seat online.
- Walk into any counter at airport or city airline office.

Booking an air ticket through internet is just a few clicks away. To book an air ticket online, we need a credit card or a net banking account. Online air ticket booking sites have been provided by airlines and booking agents. Some of sites of online air ticket booking are goibibo, yatra.com, cleartrip.com, makemytrip.com, expedia etc. In addition, the sites also help to:

- Provide information about the discounts in fare and hotel packages.
- Find out latest offers from different airlines.
- Avail special offers given by different banks to credit/debit card holders.
- Select extra insurance and other schemes provided by third party companies.

I. Air Ticket Reservation: It is very simple to book an air ticket online. First you have to select whether it is a one way trip or round trip. Then select the travelling dates for one way trip select the starting date and for round trip select the return date too. Then you have to select the source and destination cities. You can scroll down through all major cities and towns in India. Once the source and destination is selected then you have to specify number of passengers including children and infants. After giving all these details, click on search and it will display all available flights from different airlines on the particular date.

After selecting your convenient flight, click on Book button to go to the billing page. In the billing page, you have to enter your personal details including email id and phone number. It will take you to the payment page for selecting a payment option. Most airlines accept two types of payment - one is through a credit or debit card and next is via a net banking account.

Select your payment method and fill the necessary details. Once this step is completed, you will get a confirmation page and an email in your specified email id within few seconds.

Thus, there are many ways that helps you in making flight reservations on the net. You can make use of number of travel sites to find out what prices are obtainable for your executive's tour itinerary. It

is so interesting to note that some of the travel websites allow you to choose the fare you are eager to shell out and then provide help to find the tickets for that price. To book the flight reservation, you can also contact the airlines directly. The advent of modern technology has made flight reservation a cakewalk. Various travel agencies also do provide facilities by booking tickets on commission basis.

2.11.3 E-Ticket and Paper Ticket

Both, railways and airlines support e-tickets. You can take a printout or show the screenshot of the ticket along with an identification proof at the time of travelling. A soft copy of ticket in a mobile is also as good as a paper ticket. For the travel, any valid photo identification proof like original passport, Voter's ID, Aadhar Card, Driving license etc. is mandatory. For international travel, passengers need to carry valid passport, visa and/or entry permits and health certificates as required. Embarkation forms (this is part of the immigration formalities required to be concluded for your visit to the country, and contains the personal, passport and visa details which are to be filled up by you in addition to the flight details. The form is to be submitted at the immigration counter where your entry to the country shall be stamped in the passport) should be duly filled and submitted to customs and immigration authorities before boarding the aircraft.

2.11.4 Travel Agencies

Travel agencies help travellers by sorting through vast amount of information to help their clients make the best possible travel arrangements. Travel agents offer advice on destinations and make arrangements for planning itineraries, transportation, hotel accommodations, car rentals, city tours etc. for their clients. Travel agents are also expected to be able to advise travellers about their destinations, such as the weather conditions, local ordinances and customs, attractions, and exhibitions.

For those travelling internationally, the agents also provide information on customs regulations, required documents (passports, visas, and certificates of vaccination), travel advisories, and currency exchange rates. In the event of changes in itinerary in the middle of a trip, travel agents intervene on the traveller's behalf to make alternative booking arrangements, which avoid lots of inconvenience.

Some travel agencies specialize in commercial and business travel only. Travel agencies do have a separate department for senior

executives and business travellers to cater their special needs. There are also travel agencies that serve their clients by having offices in various countries.

A good travel agent can save endless hours of searching the travel information. They protect clients' interest by providing the best possible services at the most economical rates and offering special discounts. It is very important to select a good travel agent to take care of travel arrangements for your executive's tour. While searching on internet, you will find that several companies are engaged for years in tourism and travel trade. You have to select really a good travel agent who has been in this line of business for quite some time. One of the first questions, you should consider is how long the agency has been in this business. In order to find out their credentials, one can read the reviews of the customers available online. This would give an opportunity to assess the scope and skills along with the genuineness of the facilities which are being offered by the agency. As said, a reputed travel agency has its offices in different cities.

Travel agents work on commission basis and do charge from their clients for providing various services. Thus, while making travel arrangements, it is important to search sites available on the internet which provide information of reputed travel agents and give complete information about the various services offered by them along with the previous clients' reviews and experiences.

2.11.5 Hotel Reservation

Based on your executive's eligibility and preferences, you have to find out the various facilities offered by the hotel which you are planning to book. These may include internet access, non-smoking areas, swimming pool, fitness centre, restaurant, book shop, etc.

You can search for good hotels on line and do booking for all good reputed hotels in any part of the world. Various sites help in comparing the rates offered by different hotels and provide all the relevant information. Once the hotel is booked online, confirmation of the same is sent on email address provided. One can check the reservation status or cancel the reservation, if needed, by the link provided in the confirmation that is sent on e-mail. A rating system of 'one to five stars' is there which helps the prospective clients to compare the facilities offered by different hotels.

2.11.6 Itinerary

It means a detailed tour programme for any person or a party. The success of your executive's tour depends upon how well a secretary can help him/her at planning stage. When your executive gives full particulars of his/her tour programme, you should prepare an itinerary and circulate it to all concerned officials to whom he/she has to confer. It is the duty of secretary to prepare an itinerary so that the tour of the executive takes place without any trouble.

The following points must be kept in mind while preparing an itinerary:

1. The time and place of departure and arrival.
2. The mode of travel preferred.
3. Sequence of visits.
4. Hotel Accommodation (Motel is a roadside hotel designed primarily for motorists usually situated on highways).
5. Conveyance between hotels and railway station/airports.
6. Appointments and meetings of the executive.

Sincere planning and a thoughtful consideration on the executive's preferences, comfort and convenience is primarily necessary while preparation of itinerary. Once basic planning done, final approval of executive is necessary before making any specific engagements and bookings.

Samples of itinerary template: ITINERARY OF MR AMIT VERMA, GENERAL MANAGER

Date/Time	Departure Station	Arrival Station	Train No. / Purpose
Remarks	Flight No.		

2.11.7 Organizing Travel

After making all the travel and accommodation arrangements for your executive, a secretary is required to perform other important duties. Before departure on tour, the private secretary should hand over all the related papers and other things to the executive. These may include:

- A copy of itinerary.
- Transportation tickets.

- Hotel Reservation confirmation print outs
- Financial instruments, if required (Cash, credit cards, traveller's cheques etc.).
- All relevant documents, reports, proposals, files, agenda of meeting etc.
- Telephone nos., e-mail addresses of all concerned people.
- Necessary stationery, pen drive, hard disk etc.

It is important to prepare a check list and then make preparations accordingly. If you are an efficient secretary, then your executive has every reason to anticipate his travel information i.e. who, what, when and where of his various travel reservations.

2.11.8 Tour Advance and Tour Claim

All the expenses concerning official travel are reimbursed by every company to the staff as per the policies/procedures laid down. It is the duty of the secretary to discuss and find out the adequate amount which may be needed by the executive to incur various expenses during the tour and draw the same from the Finance Department. Usually, before leaving for official tour, a Tour Advance Form which contains complete details of journey to be performed is filled up to draw necessary advance.

After completion of the journey, Tour Claim Form is filled-in by the Secretary. It contains in detail the actual expenses incurred by the executive while performing the journey viz. boarding and lodging expenses, conveyance expenses, etc. Tour advance already taken, if any, is also filled up in the Tour Claim Form and accordingly, the private secretary draws the balance amount or returns the excess amount. Tour claim form is accompanied with all relevant bills of hotel, travel tickets or other expenses incurred.

2.11.9 Overse as Travel Appangement

If your executive has to proceed on an international tour, he/she will require a variety of travel documents apart from an itinerary, meeting notes and so on. The necessary documents needed for tour to foreign countries include:

- Passport
- Visa

- Health documents
 - Travel Insurance Policy
1. **Passport:** A passport is a travel document, usually issued by a country's government that certifies the identity and nationality of its holder for the purpose of international travel. Standard passports may contain information such as the holder's name, place and date of birth, photograph, signature, and other identifying information. There are three types of Indian Passport, which are:
 - Regular Passport has a Navy Blue cover and is issued for ordinary travel, such as vacations and business trips.
 - Diplomatic Passport has a Maroon cover and is issued to Indian diplomats, top ranking government officials and diplomatic couriers.
 - Official Passport has a White cover and it is issued to individuals representing the Indian government on official business.
 2. **VISA:** Visa (often said to be Visitors Intended Stay Abroad) is a document issued by a country to a person to formally ask the travelling country for permission, with a specific reason for a stipulated amount of time. All the countries have their own visa laws and it is up to the country to allow a traveller to allow him/her or not. A visa does not guarantee entry. A person's entry may also be rejected after granting visa.

Visa is granted by High Commission/Embassy/Consulate of a country subject to eligibility and on an application made in the prescribed form. The application for visa must be supported by the necessary documents.

When visa is granted, it is endorsed on the passport indicating the period of stay in the country.

Types of Visa: Tourist Visa, Student Visa, Employment Visa, Business Visa, Pilgrim Visa, etc.

Health Documents

Before travel, it is important to find out country specific information regarding health check up to be performed. Most of the countries have made it mandatory for visitors to get vaccinated prior to their visit as a precautionary measure.

Travel Insurance Policy

Travel insurance policy covers several risks associated with unfortunate events such as baggage loss, passport loss, a medical emergency or an accident. Having Overseas Travel Insurance ensures that in a foreign land, you do not feel helpless in any kind of an emergency.

Foreign Exchange

Foreign Exchange (or Forex) is exchange of one currency for another. It also means conversion of one currency into another currency. All travellers intended to travel abroad require foreign exchange. Information regarding currency regulations should be found for each country. This includes details of how much currency can a passenger bring into the country and how much foreign exchange can a passenger carry out of a country.

In addition to above, travel vouchers and maps are another important documents which may be needed while executive's travel. As discussed, travel vouchers are provided for various bookings undertaken usually on email id provided viz. travel tickets, car rental confirmations, hotel accommodation etc.

It is important to note that while travelling abroad, your executive may feel 'jet lag' which means extreme tiredness and other physical discomforts after a long flight across several time zones. In other words, he/she may be tired and slightly disoriented for days after arriving, accompanied by a lack of concentration and motivation, especially for any activity that requires effort, such as reading or discussing a business deal. So, all meetings scheduled abroad to be taken care of and the time zone differential respected among various countries to avoid any embarrassed situation at a later date.

2.12 OUTCOMES

After completing this lesson, you will be know:

- Handle the procedure of handling incoming and outgoing mail.
- Explain the importance of speed post and courier services
- Understand different types of meetings.
- List out the requisites of a valid meeting.
- Know duties before, during and after a meeting.
- Identify the formalities needed to make rail and air reservations.

- Explain the role of travel agencies.
- Prepare an itinerary.
- Make arrangements for travel in accordance with organisational policies.
- Know the various documents needed for an overseas tour.

2.13 REVIEW QUESTIONS

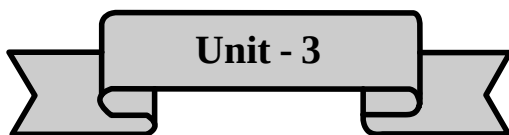
I. Short Answer Questions

1. Discuss the role of Office secretary.
2. What are the responsibilities of office secretary?
3. Differentiate between Electronic Mail Handling & Physical Mail Handling
4. NRO Account
5. FDI
6. IFSC
7. ACH
8. KYC
9. Differentiate between NEFT and RTGS.
10. Electronic Fund Transfer

II. Long Answer Questions

1. Explain duties of Office secretary.
2. Suggest various steps involved in handling of incoming paper mail, if the same is being handled physically.
3. Outline the procedure of physical handling of Outgoing Mail.
4. Discuss any three Mail Room Equipment which are useful in performing mailing operations efficiently.
5. How Peon Book is different from Mail Outward Register?
6. Discuss the use of:
 - i) Remotely Managed Franking Machine
 - ii) Mail Accounting Software
7. Define the term - Meeting. Enumerate the various types of meetings.

8. Explain the requisites of a valid meeting.
9. Differentiate between Agenda and Minutes of the Meeting.
10. Discuss the various secretarial duties before, during and after a meeting.
11. Explain the following terms:
 - (a) Casting Vote
 - (b) Proxy
 - (c) Rider
12. Discuss different types of bank accounts in which one can deposit money.
13. Explain the following banking terms:
 - (a) Virtual Banking
 - (b) Interest Rate
 - (c) Electronic Fund Transfer
 - (d) Bank Ombudsman
14. How will you select a good travel agent for your executive?
15. When your officer plans a tour, what points you will keep in mind to make his/her tour successful?
16. Make an imaginary itinerary of your executive with five entries.
17. Differentiate between passport and visa.
18. What general preferences of boss you need to know while making tour preparation for your executive's travel?
19. What is the difference between Tour Advance and TA Claim?
20. Explain in details the formalities required for Overseas Travel.
21. What is e-Ticketing? Write down the process.



OFFICE PROCEDURES

3.0 OBJECTIVES

After going through this lesson, you will be able to:

- Define the term record.
- Know the importance of records in an organization.
- Explain the importance of filing as a mean to preserve the records.
- Understand essentials of good filing system.
- Explain classification and method of filing.
- Preparations of notices, circulars .
- Maintenance of files and records

3.1 INTRODUCTION

Business undertakings have certain well –defined objectives. These objectives can be attained only when it is approached in a systematic way. Business itself is a system comprising of several sub-systems. Marvin R.Gore remarked that business is a system that has its output goals and objectives and the business can be divided into small systems that vary according to the organization of the business.

George R.Terry says that each business has a number of sub-systems like production control system, marketing system, office system and so on. Thus, office system itself is a sub-system of the whole

business. Office systems are a continuation of several procedures integrated together in such a way as to attain the needed objectives. It is defined as a network of routines, which are designed and integrated to carry out office work. In other words Systems comprises of various interconnected routines.

Definition of System

According to **Milton Reitzfeld** “Success in business, government and non-profit venture is determined by the maximum utilization of people, information and resources. Such utilities can be achieved only through the development, installation and supervision of appropriate systems and procedure”.

According to **Terry**, “A system is a network of procedures which are integrated and designed to carry out the major activity”.

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According to **Littlefield**, A system may be defined as, “a ground of interrelated and interdependent parts operating in sequence according to a predetermined plan in order to achieve a goal or a series of goals”

Principles of Office Systems

Every office has its own systems. The systems are not identical in all offices. They vary with the type and size of business. However, whatever system is evolved, it should ensure maximum efficiency. Following are some of the important principles of office systems.

1. Good flow of work without bottlenecks should be ensured.
2. Unnecessary duplication of work and records should be avoided.
3. Movement of staff should be kept to a minimum.
4. Unnecessary writing would be avoided.
5. Best use of specialization should be made.
6. The amount of paper work should be the absolute minimum.
7. The principle of management by exception should be used.
8. Only a few exceptions to the functional procedure should be allowed.
9. Unnecessary checking should be avoided.
10. Possibilities to make best use of machines should be provided.
11. The system should be simple and easy to understand.

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3.2 MEANING OF PROCEDURE

The term procedure denotes a planned sequence of operations for handling recurring business transactions uniformly and consistently. Procedure is a routine, which has been planned in advance in order to handle recurring business operations uniformly step by step. It is a guide to management as to who should do, what, how, and when.

Some Organizations have a written record of systems and procedures; it may be in book form or loose-leaf form.

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3.2.1 Definition

According to **Charles O. Liberty** “Office procedures are a series of clerical acts organized under supervision to accomplish the purpose of the office”.

Zane K. Quible has given the following definitions of system, procedure and method.

System: *Interrelated procedure necessary to achieve a well defined goal.*

Procedure: *Related method necessary to complete a work process.*

Method: *Specific clerical or mechanical operations or activities.*

To illustrate the system concept, a system designed for purchasing office supplies (purchasing system) is presented as:

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Procedure-1: Select Sources of Supply

Methods

- A. Fill out quotation form.
- B. Send forms to prospective vendors
- C. Obtain quotations from vendors.
- D. Catalogue respective quotations

Procedure-2: Order Supplies

Methods

- A. Fill out purchase order
- B. Send purchase order to vendor

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Procedure-3: Receive Supplies

Methods

- A. Check order to verify quantity and acceptability
- B. Deliver supplies to appropriate departments.
- C. Notify accounts payable.

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3.2.2 Importance of Systems and Procedures

1. In the system concept a uniform procedure is followed for similar transaction, so it helps to reduce errors and waste motion of machine operations.
2. The cost of performing routine office work is reduced.
3. Responsibility can be easily fixed.
4. Good office system and procedure helps in smooth running of office and help to reduce delay in work.
5. It helps for speedy despatch of work.
6. Systems & Procedure include internal checking; they assist in the prevention of fraud and have control on work.
7. Good system helps to maintain better Co-ordination between departments.
8. Helps the management to train the staff.
9. A good system will reduce the chance of error and improve the efficiency of the organization.
10. A good system will give instructions to employees what has to be done, when and where and gives information on the organization supporting various systems.

3.2.3 Benefits and Limitations of Systems and Procedures

- I. **Benefits of Systems and Procedures:** Following are the benefits which may be obtained if suitable systems and procedure are derived in an office:
 1. Errors in the smooth flow of office work can be easily eliminated.
 2. Uniformity can be achieved and the duplication of various routines can be avoided.
 3. Systems and routines help in training office personnel in the efficient performance of their work without supervisors.
 4. Responsibility can be fixed for each employee.
 5. Unnecessary operations are eliminated and so wastage of any nature can be controlled.
 6. Office personnel can perform their jobs independently and with confidence.
 7. Systems ensure better control of work. The possibility of fraud is eliminated.

8. Work efficiency in the office increases and unnecessary forms are eliminated. It reduces the cost of office operations.
 9. Better co-ordination is possible through the introduction of a system.
- II. Limitations of Systems and Procedures:** An office system does not work by itself. There are some limitations to its applications:
1. The efficiency of the system depends on planning. If the planning is not done properly the whole systems would fail.
 2. Strict adherence to a system makes it inflexible and it may not work smoothly.
 3. The system may not be useful when changes take place.
 4. The efficiency of the system should be evaluated and decided by making a cost-benefit analysis of it. If the cost is more we cannot use that system.

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3.3 FILING-MEANING, IMPORTANCE AND ESSENTIALS

It is necessary for an organization to produce and handle a great deal of information for its survival and growth. But all this information which generate during the course of business may not be important to preserve for future use.

Record means any information generated or received in the course of conducting business, which should be maintained to meet the financial, legal, historical or administrative needs of an organization in future. A record may be any document that has been used to make key business decision. Some common examples of record in business are – financial reports, income tax returns, statistical compilations, company bylaws, minutes of meeting, business plans, employment agreements, letter of credits etc. Further, a record may be in the form of paper, computer printout, magnetic or optical disk, microfilm, audio recording or any other way by which information could be stored.

Filing is the process of arranging and storing records in neat, orderly and efficient manner so that they can be located easily and quickly when they are required.

Usually, in every office, all relevant papers like notes, correspondence, reports on a given subject are stored in one file so that they are available for use at any point of time in future. Every executive expects from his/her secretary to present quickly required records at the time of need. Therefore, record management is an important task to

be undertaken by every secretary. In order to file records efficiently, a secretary should follow standard rules and procedures of filing. Also for a responsible secretary, it is important to review the papers to be filed every day or once a week and file them appropriately.

Importance of Filing: The records formulate memory of an organization. Records not only provide a history of the business but they also provide a foundation for future decisions.

The information contained in the records forms the basis of all business activities. Whether to place an order, make a payment, get a loan or any another function of business, office records is the origin of all activities.

Decisions for the future course of business are taken keeping in view the past performance, policies and strategies of the organization as per the records and the available up to the date information. The sooner the desired information is available, the more quickly it can be put to use where it will do the most good. A business decision can be as good as the fact or information on which it is based. On the contrary, mismanagement of important records may lead the organization to the business loss, litigation, fines and even regulatory investigations. Therefore, records play an important role in the effective and efficient functioning of an organization.

The factors which make records important are listed below:

1. The records act as memory unit of an organization and hence provide history of any business.
2. Records constitute the database for the Managerial Information System. Here, they provide necessary information for future planning and policy formulation of a business.
3. Important decisions for the smooth functioning of a business originate from records.
4. Records provide the basis for compliance of legal and statutory requirements.
5. Status of the business, i.e., financial health, societal status, comparison with competitors, etc. can be ascertained with the help of business records in the form of various statements and reports.
6. Records help in handling customers and correspondence carefully to maintain the goodwill of an organization.

3.3.1 Essentials of a Good Filing System

There are various methods of filing and no filing system is ideal and complete in all respects for every office. A filing system chosen must meet specific requirements of the office. Whichever filing system is adopted by an office, it should be simple so that it may be understood by everybody in the office even in the absence of a filing clerk. A good filing system should have the following characteristics:

1. **Compactness** - Filing system should be compact which means that it should not take unnecessary space.
2. **Economical** - Filing system should be economical in terms of time, space, money and operation which mean that the cost of installation of filing equipment should be as low as possible.
3. **Flexibility** - Filing system should be flexible so that it can be expanded or contracted in case of need.
4. **Easy Location** - The record should be placed at that place where it should be easily located when required for reference without any delay.
5. **Safety** - Filing system should be such that proper safety of records is ensured from dust, water, fire, theft, insects, etc.

3.3.2 Classification of Filing - Alphabetical, Numerical, Geographical, Subject, Chronological

When we plan to maintain a particular type of record in a file for future use, we have to classify the same and give a suitable title or heading depending on the subject or section to which it belongs. Classification of Filing means the process of selecting headings under which records are grouped or classified on the basis of common characteristics before filing them.

The main purpose of classification of records is to locate any one document from among all the documents stored in the office without loss of time and at minimum cost. Proper classification of a file at a proper place helps to retrieve the same quickly and it will not be difficult to find it out later. The classification can be followed by sub-divisions, depending on the nature of subject matter. There are different kinds of classification methods which may be adopted in an organization. Commonly used methods of classifications of files are:

- I. Alphabetical Classification II. Numerical Classification

III. Geographical Classification IV. Subject based Classification

V. Chronological Classification

I. Alphabetical System of Classification: This is the most popular system of record management. As it is the basis of most of the other systems of classification, it is very important to understand this system.

In this system, all the records are kept in strict alphabetical order. Dictionaries, contact list in mobiles and telephone directories are good examples of this system. In order to maintain alphabetical classification of files, following rules need to be followed:

Rule 1: File by name in terms of the first letter, e.g.:

- Amit & Co.
- Bhushan & Bhushan
- Garg Enterprises
- Triveni Electronics

Rule 2: If the first letters are the same, file in terms of the second letter, e.g.:

- Clarence
- Colours
- Cyndee
- Cyril

Rule 3: File in terms of surnames, e.g.:

- Arora G.
- Diwan A.K.
- Taneja V.R.
- Yusuf R.K.

Rule 4: If surnames are the same, file in terms of the initial, e.g.:

- Anil J.S.
- Anil J.U.
- Anil R.S.
- Anil T.M.

Rule 5: When there are two surnames, files according to the first surname, e.g.:

- Chopra & Khosla
- Khurana & Chhabra
- Mehta & Gosain
- Verma & Sharma

Advantages of Alphabetical Method of Classification

- It is easy to understand and simple to operate.
- It contains self-indexing. No need for separate index.
- It reduces the chances of misfiling of documents.
- It can be expanded to any length.
- It provides ready reference and a quick check.

Disadvantages of Alphabetical Method of Classification

- i) There may be difficulty in forecasting the space required for different letters of alphabets.
- ii) There may be congestion of files under a particular name.
- iii) The method of filing leads to confusion and congestion if there is a common name or surname.

II. Numerical System of Classification: Here, a unique number is allotted to a file and the file is placed in the filing system in numerical order. Whenever, a new file is opened, it is allotted a new number. This is a simple and logical method quite suitable for organizations dealing with large number of customers or clients, especially where the work is growing. This system is supported by an index from which the file number is obtained.

Many a times, every section/department is given a definite number and then different files under each section/department are given additional numbers by allotting a decimal or slash to differentiate.

For example, Sales Department is given 001; Stores Department is given 002, etc. Now say files maintained by Sales are given internal numbers for various cadres, say Sales Manager as 1, Sales Supervisor as 2, Salesmen as 3, and so on. Further, the files are given sub classification on the basis of their names like.

Employees with names starting with A-B

Employees with names starting with C-D

Employees with names starting with E-F and so on

Therefore, in this system, we have to prepare index cards and the file numbers are written on them and arranged in alphabetical order in a drawer. Whenever a particular file is needed, the secretary has to consult the index card to retrieve the file.

Advantages of Numerical Method of Classification

- i) It has the feature of expansion which means whenever a new file is placed next to the last existing one, it is allocated a next number. Thus, with this method, filing system can be expanded to any length.
- ii) The file numbers can be used as a reference number in correspondence.
- iii) It facilitates accuracy in terms of filing of papers.

- iv) It is simple to understand and easy to operate.
- v) Chances of misfiling of papers are less.

Disadvantages of Numerical Method of Classification

- i) We need more care to avoid errors arising out of transposition of figures.
- ii) A separate index is required.
- iii) One has to first consult an index to locate any file.

III. Geographical System of Classification: The method is suitable for an organization which has its business spread in different geographical regions. In this system, the files are grouped on country, states, towns or district basis, according to the area of operation.

Further, geographical groups of records are usually arranged alphabetically. If numerical system is used, a separate name and location index is prepared giving the name of the party and its geographical place. In geographical system of filing, the whole area may be divided into different zones. There may be north zone, south zone, east and west zone. The areas allocated under each zone are to be clearly defined. Then, zones may be further divided into states. For example:

North Zones: Haryana, Himachal Pradesh, Punjab, Uttar Pradesh, Uttarakhand.

South Zone: Andhra Pradesh, Karnataka, Kerala, Orissa, Tamil Nadu.

After that, each state may be classified on district-wise or town-wise in an alphabetical manner:

District Wise: Haryana: Ambala District, Karnal District, Rohtak District.

Town Wise: Punjab: Amritsar, Hoshiarpur, Jalandhar, and Ludhiana.

After that, individual classification for different customers may be adopted.

Advantages of Geographical Method of Classification

- i) The system helps in quick location of the files in an organization which has its business spread in many geographical regions.
- ii) It is simple to understand and study comparative progress made in different regions in terms of sales or any other parameter.

Disadvantages of Geographical Method of Classification

- i) Without proper knowledge of geography of an area before filing records, this system is useless.
- ii) It must be combined with other methods, viz, alphabetical, numerical, etc., to file records.

Geographical filing is suitable when records are scattered in a diversified area and review of the activities of different regions is to be made on continuous basis.

IV. Subject-wise System of Classification: Under this system of classification, records are first sorted out on the basis of the subject matter they contain, and then are filed accordingly. All letters, documents and papers relating to a particular subject are brought together in one file even though they are received from different parties or geographical locations. In a particular subject file, papers are to be filed in some definite order, i.e., either alphabetically or chronologically.

An organization in which subject matter is of greater importance than the parties/persons/places, subject system of classification is adopted.

Advantages of Subject wise Method of Classification

- i) There is convenience of reference, if the subject is known.
- ii) In this system, there is possibility of unlimited expansion.
- iii) It proves useful whenever it is desired to combine different documents on a single subject.

Disadvantages of Subject wise Method of Classification

- i) There may be difficulty in filing of papers on the basis of subject matter as the filing clerk has to study and decide about the nature of the record. Sometimes, it is not an easy task to divide the papers on the basis of subject and giving the titles to the concerned files as most of the papers are inter-related.
- ii) We cannot file miscellaneous papers according to this system.
- iii) We always need an index for this type of classification system.

This system is suitable for offices where a number of projects are in progress at one point of time and each project is important irrespective of the party/client.

- V. Chronological System of Classification:** It means arranging all records and files in date order. Here, files are maintained in order of time, i.e., according to the year, month and date. The most recent (current date) papers are kept at the top of the file and the older papers are kept at the back. This system is important because often it is the most recent correspondence that is usually needed and employed in filing invoices and other vouchers associated with the payments.

In this system, the maintenance of files could be done in any of the classification system but the records inside the file are to be arranged in chronological order so that they can be retrieved at the earliest. This system is helpful for follow up actions. Further, files for daily appointments, conferences and other important business engagements should always be maintained in chronological order.

Advantages of Chronological Method of Classification

- i) It is simple to understand and operate.
- ii) Retrieval of records is easy if dates are known and also good for overall classification i.e., if correspondence to be maintained of different years.

Disadvantages of Chronological Method of Classification

- i) This method is useful only for small business enterprises.
- ii) It may not be suitable at times as incoming letters and their outgoing replies are to be kept separately if both belong to different dates.
- iii) Difficult to trace a record if dates are not known.

The choice of the appropriate method depends upon the nature of the business, and the policies of the management. It is very difficult to choose any one method of maintaining files. No method can be termed as the best. Different combination of these can be considered for maintaining files.

Selection of an appropriate method also depends upon the size of the filing system. Other things to be kept in mind are convenience, simplicity, degree of expansion, speed of reference and accuracy.

3.3.3 Methods of filing- Horizontal and Vertical

Filing method means how files are physically arranged. It may differ according to the nature and size of records which are to be arranged. However, the purpose for keeping files is that records are easily retrievable at the time of need. It is also important to ensure their safety

from theft, fire, dust and other calamities. The methods of filing can be grouped as:

- Horizontal Filing
- Vertical filling

Horizontal Filing: In this method, the papers are filed into the filing folders which are kept one upon another on the shelves of the racks or almirahs, parallel to the ground or horizontal way. For easy maintenance, shallow drawer cabinets or deep drawers fitted with desks are used. However, the main difficulty in this system is when a file lying at the bottom is required, all the files above are to be taken out first and then only the lower file can be taken.

Vertical Filing: The most preferred and scientific method of arrangements of files is the vertical filing system. Under this system, files are kept vertically in specially made drawers, one behind another so that the side label is always in the front. It is very easy to find a file, to take or put in, without disturbing other files. It is very flexible and classification of files becomes easy.

I. Filing Equipment: For storage of records, we need to have various equipment which is discussed in brief.

Cabinets: Though there are many kinds and sizes of file cabinets that are available in market, the cabinet size is determined by the size of the records to be stored. Usually, five or four-drawer cabinets should be used whenever possible because they contain more filing space and occupy the same floor space. The drawer or cabinet should be just a little larger than the material. It is a waste of money, space and material to use a cabinet larger than needed. Legal-size cabinets should be used only when the greater portion of the material to be filed is larger than 8 ½ by 11 inches (A4 size).

Commonly used types of filing cabinets for storing paper records are:

- Vertical Filing Cabinets
- Lateral Filing Cabinets
- Open Shelf Cabinets

Principles for selecting a suitable cabinet to meet your requirements are:

- 1) **Space Available:** As office space is expensive, it is important to note that one should always try to select filing cabinets which make the best use of office space. Further at the time of measurement of the filing cabinets, space that is needed to pull out a drawer and to stand in front of the cabinet should also be included.

- 2) **Storage Needs:** Storage space of the organization can be known on the basis of present requirement in addition to making provision for future expansion plans. For the purpose of present requirements, active records are taken into consideration. Then the future need is assessed by looking at how fast the volume of files grows each year. For example, if it is expected that the volume of active files will grow by ten percent per year over the next five years, the organization will need 40 percent more storage space than it has now. On the safer side, it will be better to include an extra 14 percent more storage space for contingencies.
- 3) **Security Needs:** Certain records require a higher degree of security than the normal records. These records should be stored in locked cabinets. Secure and fire safe cabinets are more expensive, so they should only be purchased to meet a specific need.
- 4) **Costs:** As budget is an important consideration, cost of the equipment should match with the finance available as per earmarked budget by an organization for this specific purpose. A comparison of prices should be made so that costs of filing equipment could be compared for equal amount of file storage space.
- 5) **Operational Costs:** Expenditure on storage cabinets is one time but the on-going operational cost, if any, also needs to be considered.
- 6) **Physical Format of Records:** Special records like maps, drawings, videos, films, microfilm and diskettes may require special storage equipment.
- 7) **Retrieval Efficiency:** Retrieval efficiency is the most important aspect of record management. It should be given a thought that how many people will be using the cabinets, and how they will retrieve records from it. Open shelf filing cabinets lets a large number of people access the files at the same time.

Vertical, lateral, and mobile cabinets work best if only one or two people are accessing the files at the same time. Moreover, physical abilities of employees should also be taken into consideration. For example, a person in a wheelchair may not be able to reach for files that are in the top drawer of a tall cabinet.

3.3.4 E-Filing

One of the major problems of all filing systems is of storage space, especially for documents that are no longer frequently used. Earlier, Microfilming was the ideal solution to the storage problems for firms

that could afford it. Microfilming is a photographic process whereby documents can be photographed and reduced to a much smaller size. Instead of files, there are just small rolls of films to store. The original documents can then be destroyed. When a document is needed, the microfilm can be viewed on a scanner where the negative is enlarged and projected on to a display screen. One microfilm allows for very compact storage of books and documents. However, with the advent of computers, electronic filing has almost replaced microfilming.

1. **Electronic Filing (E-Filing):** Computers have proved to be a boon to office managers and office workers. Creation of documents, sharing of information, communication and record management, all these have become easy with the help of computers. The stage of paperless office has arrived as there is no unforeseen fear of loss of records by virus or other electronic threats. Therefore, users now just manage records electronically and there is no need to create a print out of the records. However, few organizations are still managing records in both electronic and as well as paper format. Paper records are scanned and images are stored electronically. Whenever required, electronic records may be printed and saved manually.

Multiple files can be stored in a folder. All sensitive files can be protected with the help of password. It takes flash of a second to retrieve a stored file. The ease with which a file can be retrieved has prompted the organizations now-a-days to replace physical filing with e-filing and, thus, move to a paperless era.

Options for Saving your Electronic Files

There are many ways to store your e-files. Some of the ways are:

- USB Flash Drive
- Hard Disk
- Save to desktop & send as an email attachment
- Sign up for free online file storage
- Sign up for free online word processor and spread sheets
- Save with the help of bookmarks/favourites online

A USB Flash Drive holds as much as 100 or 1,000 times as a single floppy disk drive. They are referred to by many names including “keychain drive,” “pen drive”, “flash drive”, etc.

They can hold Microsoft Word files, Excel spread sheet files, digital images, music/video files and more. In most cases, personal computer

assigns the letter - e: to a USB drive. Opening of files from or saving files to the USB drive is also very easy. You may need to type e: in the “File Name:” cell and then hit the “enter” key on your keyboard to force Windows to “see” the USB Flash Drive.

When you are ready to remove your USB drive, click the “Safely Remove Hardware” icon on the Window toolbar in the lower right corner of the screen. When the power light on your drive turns off, you can remove it from the PC. If the “Safely Remove Hardware” icon is not available or it is not working, make sure all of your files are closed (power light on your drive should not be blinking) before removing your drive.

2. **Free Online File Storage:** There are a number of free internet services you may use to store files on a remote server that can be accessed using an Internet browser from any computer that has access to the Web. Using these services generally requires you to set up a free account.

In general, free file storage services provide storage up to a certain limit and may also restrict the size of individual files that may be uploaded. Some free services are meant to store files for just a few days. However, it is important to read complete instructions and policies carefully before taking up online service.

If you are storing critical files such as a resume, it is wise to have it stored in more than one place. For example, you might have it stored online and also on a USB or hard disk.

To best manage electronic records, following points should be taken care of:

- i. Electronic or Digital records are just as valid and important as paper records, and are subject to same formalities and legal and fiscal requirements.
- ii. These records also require the same treatment for retention as is required for their paper equivalents. Therefore, they should not be retained longer than the approved retention policy of the concerned organization.
- iii. Where possible, departmental file plans used for paper records may serve as a basis for the classification of electronic records, Departmental computers should have similar directory structures, and allow for documents to be classified within the established record series.

- iv. All official digital records can be moved off from individual workstations, and onto a document repository server that is shared by the department.
- v. As per the requirements of an organization, it should be decided which records need to be stored in paper format or electronic format. Double record management for same records should be avoided. If paper equivalents are required, retention period of digital records may be reduced or vice versa.
- vi. No analogous hard copy equivalent to the computer records need to be maintained. It is especially essential that policies be developed and documented for their eventual disposition. A plan should also be put in place to ensure that this disposition is carried out on schedule.
- vii. It should be ensured that duplicates and drafts are disposed along with their master documents.
- viii. Printing or saving an e-mail message to disk makes it a document which requires the same record management treatment as is required in case of other records. Therefore, one should be judicious in the use and retention of electronic mail.
- ix. Saving electronic documents on magnetic media such as floppy disks or data tapes is not advisable for long term retention. Magnetic media is usually unstable, and loses its signal very quickly. Records stored on these media are likely to be unreadable when they are needed at a later date.
- x. Records in electronic formats may quickly become unusable due to changing hardware and software standards. For instance, a document saved in an early version of a program may be unreadable when that program is upgraded to a new version. If electronic documents require retention beyond three years, a strategy must be in place to migrate that data forward.
- xi. It should be ensured that the protection of electronic document backup is not optional but quite essential. IT tools help users classify, manage, retain and dispose their digital records with the same care and attention as we have provided for paper files. The time has come when a lot of emphasis is given on the management of electronic records within the office environment.

3.3.5 Weeding out or Destruction of Old Records

Weeding out or destruction of old records means destroying the unwanted papers or documents or files after completing the record period to make a space for future documents. All dead records should be destroyed as per organizational policies. A destruction certificate may be prepared giving the date on which the record was destroyed. A Paper Shredder is a mechanical device used to cut paper into either strips or fine particles to destroy private, confidential or otherwise sensitive documents.

3.3.6 Indexing

Index is a ready guide to the location of the file required. As an aid to filing, indexing can be described as a process of providing a ready reference list of records to locate particular documents at the time of need. It is important to know here that files maintained in alphabetical order are self-indexed and do not require the additional tool of indexing for the purpose of easy retrieval or location but in all other systems, indexing is a must for ready reference and early retrieval.

Importance of Indexing

An index is an essential aid to the filing system. Its importance can be understood from the following benefits:

- i) It facilitates easy location of papers and records whenever needed.
- ii) It provides easy cross-referencing and cross-checking, which ultimately improves the efficiency of office staff, thereby saving time and energy.

Types of Indexing

- Page indexing
- Card indexing
- **The Page Indexing:** It is an old system of indexing. Here index is prepared on papers. This index consists of a page for each letter of the alphabet, fitted with a tab showing the letter and on each page the names are written beginning with the letter and quoting the relevant page numbers. This type of indexing can be in the form of:
 - i. **Bound Book Index:** In this form of index, a bound book or a register is divided into various sections. Each section is allotted an alphabet. Names of the parties and the persons starting from a particular alphabet are written in the concerned section. At the outer margin of the page letter groups are shown by cut outs so that the initial letters of all the sections are visible at a glance. All entries relating to a particular letter of the alphabet are arranged in

the same section or pages reserved for the same letter of the alphabet in a strict alphabetical order. The best example of this type of index is printed telephone directory.

This method of indexing has following advantages

- i. This system is very simple and easy to grasp.
- ii. It does not involve high cost.
- iii. It is good for maintaining records for a longer period.
- iv. Since the pages are bound, fear of loss and disarrangement is not there.

Some of the disadvantages of this system are

- i. It is not flexible. When name of a new party comes which should be placed before an existing name, there may not be sufficient space for it. If an old party's name or record is to be deleted, his name still remains in the index register occupying some space unnecessarily.
- ii. Much time is lost to prepare it and to consult it.
- iii. If one man is busy seeing it, another man cannot consult it simultaneously.
- iv. It cannot show the function of the party unless separate index books are maintained for separate subjects.
- ii. **Loose Leaf Index:** In this type of index, the pages on which the index is prepared are not bound. Here the pages are fitted on to a metal hinges and screwed. Thus, wherever required some pages can be taken out and/or additional pages can be inserted.

This method of indexing has following advantages

- i. This method is very much flexible. The number of sheets can be added or removed as per the requirement. Thus, loose-leaf binders have complete flexibility and can be expanded without disturbing the order or sequence of records.



- ii. The records sheets can be classified in any manner and there can be self-indexing. The sheets can also be rearranged at any time in a new order.
- iii. Tabled index or guide sheets can be inserted at reasonably spaced intervals to facilitate quick location of any sheet.
- iv. The speed of reference and the facilities of making entries in loose-leaf books are so favourable that there is considerable economy of time and labour.

The only disadvantage of this system is that loose leaves can be removed intentionally and there is fear of loss and mishandling.

- **Card Indexing:** Card indexing is the most popular method of indexing. These are commonly used as they overcome the difficulty of an ordinary page index. It consists of a number of cards of a standard size, each concerned with one item of index.

The heading is written on the top edge of the card and the remaining space is used to indicate the place where the corresponding record is kept. The lower portion of a card also carries certain essential information. Cards may be arranged in alphabetical or numerical order and are kept in drawers or boxes specially meant for these. These drawers are divided into sections with 'sticking up tabs'. Sometimes the cards are filed on a rotary deck or on a wheel.

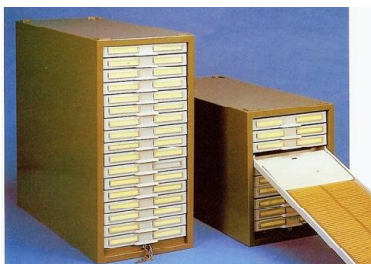
The advantages of card indexing system are as follows

- i. As the cards are serially arranged, it takes very little time to find out a card and to locate the file.
- ii. It is extremely flexible. When a new party comes, the relevant card is prepared and placed at the proper place.
- iii. It can be expanded to any extent.
- iv. It gives some additional services. On the back side of the card, important useful information about the file can be maintained.
- v. By using different coloured cards, they can be grouped according to subjects or regions.
- vi. A mark can be made on the card by fixing a clip, whenever the file of a party has been taken out from the filing rack.
- vii. It can be operated by more than one person simultaneously.
- viii. The system is quite cheap to install and operate. The equipment required includes card and drawers of desired size.

The disadvantages of this system are

- i. All cards cannot be seen at a glance. So it may be time consuming for the filing clerk to locate a particular card out of all.
- ii. The cards may get spoiled because of frequent handling and, therefore, have to be replaced.
- iii. There is a danger of separate cards being lost or manipulated.

However, as the merits of this system overcome its disadvantages, it is widely used in offices including libraries.



- i. **Visible Card Index:** In this system, the cards are laid flat in transparent covers in a metal frame or a shallow tray. Each card is so fitted into a metal hinge that it overlaps the one before it, the name and address on it being visible without touching another card. The trays or frames may be fitted horizontally into cabinets or attached vertically to metal stands. The hinges enable the operator to read on each card, either on back or front, without removing it from its place.

A modern method of visible card indexing is operated with the help of special wheel in which cards are attached to metal rods surrounding a wheel set on a tub or stand. The wheel rotates and can be spun around or held in any position by a brake. It can hold between 1,000 and 4,000 cards.



The advantages of Visible Card Indexing system are

- i. It is a compact index as the number of cards which can be kept in a tray or cabinet (or fixed on wheels, frames, etc., as in card wheel or strip index) is much larger than in other types of index.
- ii. As the main reference (name or subject title) is visible, any card can be instantly located and entries can be quickly made.

The disadvantages of this system are

- i. The requisite type of equipment for visible card index is very costly in comparison to the non-visible card indexing system.
- ii. It is not so easy to understand and operate.
- ii. **Strip Index** : The strip index is type of visible indexing which can be used when entries in an index are limited to a few lines (names, addresses, reference, etc.). It consists, of a frame into which strips of stiff paper can be fitted in any required order. Each strip is devoted to one item. Frames can be either fixed on the wall, held in a book form, or arranged on a rotary stand which can be turned round to look at any part of the index.



3.3.7 Filing Procedure

Let us study filing procedure which is usually used in organizations in case of physical record management.

Step-1: Receiving of a document: A letter or document which has been received through the physical mail is first recorded in Mail Inward Register. Then the same is stamped with 'dating and stamping machine'.

Step-2: Dealing with the Mail: After that, the letter/document is sent to the person that has to deal with it.

Step-3: Follow up Action: It is to be ensured that the action has been taken on the letter/document as required.

Step-4: Collecting Documents to be filed: All relevant documents and copy of the replies must be collected in a filing tray.

Step-5: Sorting: Bulky tags, pins and paper clips are removed from the documents and the same are sorted into convenient batches for filing. Always remember to sort and file by date order.

Step-6: Filing: File regularly so that you are never left with a huge pile of loose documents.

Step-7: Indexing: Carefully refer to index. Each document must be examined to decide under which heading it should be filed.

Step-8: Cross-referencing: In case a document is to be filed in more than one heading/file, put cross reference cards.

Step-9: Storage: The following points to be taken care of while storing documents in files and cabinets:

- a) Use File Trays to keep documents that are waiting to be filed and not on the open shelves.
- b) Sorted batch of papers should be as per the classification method used in the organization.
- c) To avoid inconvenience, open one cabinet drawer at a time and shut it before opening the next.
- d) Insert documents into the file, in date order, placing the latest document on top.
- e) Return the file to the cabinet and remove the guide card, if inserted.
- f) Avoid bulky folders.
- g) Replace the file covers when these are worn or torn off with new ones.
- h) Avoid filing drawers or cabinets to become too bulky or heavy.
- i) Lock up all confidential documents.

In order to observe good housekeeping, a Secretary should leave the table tidy at the end of the day and place all waste papers in rubbish bins. As a secretary, it is your duty to provide the executive all the necessary information and documents as and when required without any waste of time.

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3.4 NOTICE

The persons entitled to attend a meeting must be informed of the time, place, date and business of the meeting in proper time.

The communication informing the persons entitled to attend the meeting about time, place, date and business of the meeting is called the 'notice'.

To make the meeting valid, the notice must be served by the right person by the right means to all the persons entitled to attend the meeting. Usually, the notice is drafted and issued by the Secretary under the instruction of the Director of the company. A notice, in order to be valid, must be signed by the proper authority.

The requisites of the meeting can be classified into the following classes:

1. The notice must specify the exact date, time and place of the meeting.
2. The notice must state the nature of business to be transacted at the meeting. A complete agenda is appended to the notice.
3. The notice should be served to all members entitled to attend the meeting.
4. The notice must be clear and unconditional.
5. Proper length of notice must be given in accordance with the rules of the organisation.

Notice of the first Board Meeting of company with a complete agenda.

Students Helpline Publishing Company

1 College Street, Hyderabad 38

Dated 1st July 2020

13

Notice: This is to inform that the first meeting of the Board of Directors of the company will be held at its registered office at MLRIT, Hyderabad 38, on Tuesday, 22nd July 2020 at 3.P.M.

Your presence is solicited.

D. Roy

Director

Agenda:

1. Election of the Chairman.
- 13 2. Adoption of the Memorandum of Association, Articles of Association and Certificate of Incorporation of the Company.
- 13 3. Appointment of the first Directors of the Company.
- 13 4. Appointment of the Chairman of the Board.
5. Appointment of the Managing Director.
6. Appointment of the Secretary with retrospective effect.
7. Appointment of the Bankers of the Company and Auditors.
8. Fixation of the date of the next Board meeting.
9. Any other business.

Notice for an Annual General Meeting of Chinsurah Cooperative Credit Society

Chinsurah Cooperative Credit Society Ltd.

Regd. Office: 6 Netaji Subhas Road

P.O. Chinsurah, Dist. Hooghly, 712103

Notice

1st July 2019

13 Notice is hereby given that the 10th Annual General Meeting of the Society will be held on 20th July 2019 at 3. P.M. at the registered office of the Secretary at 6 Netaji Subhas Rd, Chinsurah, to transact the following business.

S. N. Sen

Secretary

Agenda:

- 13 1. To confirm the proceedings of the last meeting.
2. To consider the adoption of the Secretary's Report.
- 13 3. To consider the adoption of the Audited Accounts of the year ended 31st March 1992.
4. To consider the question of declaring dividend.
5. To elect the directors.
6. To adopt the budget for 1992-93.

7. To fix up the borrowing power of the Society.
8. To consider any other business with the permission of the Chair.

Notice of the Board meeting other than the first

Roychowdhury Chemicals Ltd.

Regd. Office, 10 Netaji Subhas Road

Calcutta 700 001

2nd February 2021

To

Mohan

Director

326, Surneni Nilayam

Dear Sir,

The 11th meeting of the Board of Directors of Roychowdhury Chemicals Ltd. will be held at the Registered Office of the Company at 10 Netaji Subhas Rd. Calcutta 700001, on Monday, 25 February 2021 at 3 P.M.

Your presence is solicited.

Yours faithfully

Tapan Roychowdhury

Secretary

Agenda:

1. Confirmation of the minutes of the 10th Board Meeting.
2. Approval of share transfer.
3. Production of financial statements and declaration of interim dividend.
4. Consideration of opening a new branch at Bhubaneswar.
5. Fixation of the date of the next Board Meeting.
6. Any other business with the permission of the Chair.

Notice of the Statutory Meeting of a Public Company

Raj and Raj Co. Ltd.

Regd. Office, 2 Netaji Subhas Road

Calcutta 700 001

1 February 1998

Notice

Pursuant to Section 165 of the Companies Act, 1965, Notice is hereby given that the Statutory Meet-ing of the Company will be held at the Registered Office of the Company on Monday 1 March 1998 at 3 P.M.

A copy of the Statutory Report is annexed herewith.

By order of the Board

B. Das

Secretary

Agenda:

1. Consideration and adoption of the Statutory Report.
2. Inspection of the list of Members.
3. Discussion on any matter related to the formation of the company.

Note: A member entitled to attend and vote is entitled to appoint a proxy to attend and vote in case of poll only instead of himself and the proxy need to be a member of the company.

A proxy form is attached herewith.

3.5 CIRCULAR

Circular letters are used to communicate the same message to a large number of customers and suppliers. If they are written in an attractive style and in an interesting manner it will be effective for business communication.

When a business-man wants to give publicity to a cause or a campaign they go for circular letters. Through such letters the readers are provided with facts and figures about the firm. The circular letters aim to create the interest in the contents and thereby win the confidence of the readers.

Circular letters are normally used when opening of a new branch, change of premises, introduce a new article, reduction of sales, admission, retirement and death of a partner and change in the constitu-tion of the firm.

While drafting a circular the following points should be kept in mind:

1. The circular letter must be drafted carefully.
2. They must be informative.
3. They must not be ambiguous.
4. The circulars must be courteous in tone and pleasing in form.
5. While drafting a circular letter the purpose of the same should be kept in mind.
6. The circular letter must be concise.

Purposes: The circular letters are issued for many purposes.

Generally, a circular letter conveys the following types of information:

1. Establishment or transfer of a business.
2. Opening of a new branch.
3. Change of premises.
4. Taking over a business or closing down a business.
5. Dissolution or amalgamation of business.
6. Appointment, discharge or retirement of an important employee.
7. Admission or death of a partner.
8. Issue of bonus shares.
9. Offer of right shares to shareholders.

Draft a circular letter to customers and dealers announcing the opening of a new branch

Bata Shoe Company
23 Chowringhee Road

Calcutta 700 019

Circular No N/B/6 March 15 2019

Dear Sirs

We have the pleasure to announce the opening of our new branch at 10, Zonal Central, Durgapur, West Bengal, in order to cope with the increasing demand for our products in that area. Mr. S. M. Bhattacharya has been appointed the Branch Manager. The new branch will start operation from 20 March 2019.

With your cooperation and patronage, we have been able to supply different types of shoes to cater various types of customers for the last 60 years.

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We hope you will extend your patronage to our new branch and we assure you of our best attention at all times.

Yours faithfully

S. N. Basak

Sales Manager

3

Draft a circular letter to customers and dealers announcing of a new showroom

Khadi Gramoudyog Ltd.

37 Chittaranjan Avenue

Calcutta 700 020

2nd January 2018

Dear Sirs

We have the pleasure in announcing the opening of a new showroom for our products at 57 College Street, Calcutta 700013, to meet the growing demand of our Central Calcutta customers. The showroom will be inaugurated on 1st February 2018.

The site for the new showroom at College Street is excellent as it is very convenient to the customers residing in College Street area and North Calcutta.

Mr. S. M. Bose, who was Assistant Sales Manager in our main showroom, has been appointed the Manager of our new showroom at College Street branch.

We hope you will kindly extend the same patronage to our new showroom as you extended to our main stores.

Yours faithfully

S. C. Patel

Director

3.6 PREPARATION OF NOTICE, AGENDA AND MINUTES OF MEETING

7

Some of the major components of a business meeting are :

1. Notice of Meeting,
2. Agenda of Meeting and
3. Minutes of the Meeting.

1. Notice of a Meeting: When a meeting is to be convened, a notice is required to be sent to all who are to attend it.

It should satisfy these conditions:

1. It should be under proper authority
2. It should state the name of the organisation
3. It should state the day, date, time, and place. Also, sometimes, how to reach the place.
4. It should be well in advance. Some require seven days' notice, some 48 hours'.
5. It should state the purpose and, if possible, the agenda
6. It should carry the date of circulation and convener's/secretary's signature.
7. It should go to all persons required at the meet
8. It should mention the TA/DA etc. payable and the arrangements for this.

In practice, it is necessary to ensure that the notice has reached in time. This may be done telephonically. Dispatch section and post are prone to delays.

We often find that between the date of a letter from a major public organisation and the post mark on the letter, there is a gap of 10-12 days. A notice that should reach seven days before a meet should not reach seven days after the meet.

3

Specimen Notice

Seven Hills Housing Cooperative Society, Sundar Nagar, New Delhi

Notice of Meeting

11th September 2011

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The 44th meeting of the Executive Committee will be held at 8.00p.m. on Sunday, 22nd September 2011 in Sankar Auditorium. The agenda is given below.

44.01 Minutes of the previous meeting

44.02 Appointment of a new watchman

44.03 Celebration of Kojajiri

44.04 Donations for flood relief

44.05 Permission to sell flat

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44.06 Defaulting members

44.07 Purchase of a generator

44.08 Any other matter with the permission of the Chair.

You are requested to attend the meet.

Rajnath Mistry

Executive Secretary

cc: To all members

Itwari Kirana Dealers Association

Resham Oil, Nagpur

Notice of Meeting

To: All members

Notice is hereby given that the Annual General Meeting of the members; of IKDA is scheduled to be held on 1st November, 2011 at 4.40 p.m. at Hotel India Sun, Central Avenue to consider the following business:

- To receive and adopt the income and Expenditure Account, Balance Sheet, and Report of the Auditors for the year ended Diwali 2011.
- To elect President, Vice President, Honorary Secretary, Treasurer and Executive Committee Members for the current year.
- To prepare a representation to the NMC; about the actions of the Anti-Encroachment Squad.
- To discuss any other matter for which at least SEVEN day's advance notice is given and which is approved by the Chair.

By order of the Executive Committee

Nagpur

Arun Maira

20th October 2011

Honorary Secretary

3

2. **Agenda:** As stated earlier, an agenda is the list of items to be considered at a meeting. It is also called business or order of business. It comes from the Latin word *agendum* (singular) which means 'a thing to be done.' But *agenda* (the Latin plural) is used as a singular noun.

It is the route map of the meeting. The specimen notices above already contain a hint of how it is written. The agenda may be a part of the notice or may be attached as an annexure. The convenor/secretary prepares it in consultation with the chairperson and gets his approval.

The items of agenda should cover all that is necessary to be considered at that time. Meetings take time and effort to arrange; hence the agenda has to be well thought out.

The items may be devised from:

- (a) Previous minutes
- (b) Suggestions received
- (c) Actions and events since last meeting
- (d) Correspondence of the organisation

The agenda contains routine items as well as special ones.

Here are some guidelines for listing the items:

1. Apologies from absent members (need not be written previously).
2. Condolences if any (may or may not be written previously).
3. Reading and approval of minutes of the last meet.
4. Matters arising out of previous meet's minutes (this need not always be mentioned).
5. Urgent and non-controversial items.
6. Matters requiring closer discussion and debates.
7. Any new, on-the-spot items with the approval of the chairman.
8. Date of the next meet.

The last item in a meeting is a vote of thanks to the chairman but this need to be mentioned. The items are mentioned briefly or elaborately according to the practice or need.

The style used is as follows:

- (i) Appointment of auditors
- (ii) Induction of new members
- (iii) Reading of minutes
- (iv) Felicitating so-and-so on the award of Padmashri to him/her

OR

- (i) To read and approve the minutes of the previous meet.
- (ii) To consider the advertisement draft.
- (iii) To organize a blood donation camp.
- (iv) To appoint sub-committees for sports competition and music competition.

The agenda should be manageable within the time at disposal. Some clubs have a time limit for the duration of a meeting (e.g. 90 minutes), which automatically dictates the scope of discussion.

Specimen Agendas

Suyash Cooperative Society

Pune

Agenda for the 44th Meeting dated 1.9.2011

1. To confirm minutes of the 43th meeting (1.8.2.11), copy enclosed.
2. To sanction loans to eligible applicants (copies of applications to follow).
3. To review the working of the Canteen Committee.
4. Any other matter with the approval of the Chair.
5. Next meeting.

3. **Minutes of the Meeting:** The minutes of a meeting are the record of the discussions/decisions therein. They have an official status; they are useful in law, and in some cases required by law to be written. Minutes are final when they are approved by the members of the group to which they relate, generally in the next meeting, and signed by the chairperson.

Even if there are emotional moments in a meet, the minutes are written in an unemotional manner, are cool, factual, impersonal, and impartial. Moreover, such are the demands of time on most people that the minutes should be concise, boiled down to the essentials.

Only some organizations' require that they record the detailed discussions as well (i.e. who said what and what were the reactions... until the decision was reached). Normally, the body of the minute's records.

- (a) The motions and amendments thereto.
- (b) The proposer and seconded of motions.
- (c) The details of voting, if any.
- (d) Recommendations.
- (e) Decisions/ resolutions.
- (f) Tasks assigned to individuals, sub-committees.

The overall minutes should give:

1. The name of the organisation/ unit.
2. Day, date, time and place.
3. Number in order (e.g. 33rd meeting of...).
4. Names of chairperson and secretary.
5. Names of members present
6. Names of the absent
7. Attendees by special invitation, e.g. auditor, caterer, etc.
8. Record of the transactions (on the guidelines given above)
9. Signature of secretary and, after approval, that of the chairman.

Tips for writing minutes: The minutes are written generally by the secretary from the notes taken during the meet. He/she can use the agenda as the framework for writing them and use short forms, shorthand etc. to take quick and accurate notes. He may have to ask members to repeat their words to get them right.

He should note down all the particulars needed for the fair copy of minutes. The items of the minutes can be written under short headings such as are used in the agenda.

(As for reading them, some committees circulate them in advance and take them as read. Otherwise the reader should read them loudly, clearly, and quickly.)

Style wise, they use one of these constructions

- a. It was resolved that the minutes of the previous meeting be approved.
- b. It was decided that a sub-committee be set up to consider
- c. Resolved that a blood donation camp be held on 15th August. (The verb is used in the subjunctive mood: “be done, be appointed”, etc.)

Alternatively, the description is given in the past tense

1. Minutes of last meet: The secretary read out the minutes of the meet dated... and they were approved.
2. Donation received: The chairman informed that he had received a donation of Rs. 50,000 from ex-member Mr. Gopal Rathi.

At the time of approval, the chairman asks, “Do you accept the minutes as they stand?” OR “Any matters arising out of the minutes?”

Your ability to write good minutes can earn you a prize position in an organisation. Also, if you hold a position and do not know how to write minutes, you may face embarrassment.

Speciman Minutes

1. Archana Literary Society, New Delhi Minutes of Meeting dated 1st August 1999	
Place and Time of Meeting	Residence of President Dr. Mansha Khan at A-12 Connaught Circus, 3.10 p.m.
Roll call	Members present: Dr. Mansha Khan (Chairman) Mrs. Padma Raut Col. Devrajan (Secretary) Ms. Dilnawaz Kantawala Mr. Bharatendu Jain Mr. Prabhat Kumar Khatri Mr. Amrit Bose Mrs. Amrita Bose
Members absent:	Dr. Rajan Chhabra
Approval of Minutes of the Meeting	The minutes of the meeting dated 25th Last June were read by the secretary and confirmed.
Treasurer's Report	The treasurer Mr. B. Jain, circulated his report of the earnings and outgoing of the fete held on 10 th July, which was accepted.
Briefing for All-India Poetry Meet	The President Dr Mansha Khan briefed the members about their roles in the forthcoming All India Fort on 26th January 2000.
Induction of New Members	The membership application of four applicants Mr. D. K. Dawani Ms. Snehlata Sharma Mr. L.K. Gosai and Mrs. Geeta Harivanshi were accepted. The application of Prof. F. F. Guha was held in abeyance owing to invalid recommendation.

35

Sub-committee for Publication Unit	A. sub-committee of three members Mr. Devrajan Mr. Amrit Bose was set up for launching a publication unit.
Date of Next Meeting	The next meeting was scheduled for 15 th September.
	Col. Devrajan Secretary

Specimen Minutes

35

2. SBI Zonal Office Employees' Welfare Organisation Anrangabad

Minutes of Executive Committee Meeting

3

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Meeting no.: 15 Time: 9.15 a.m.
Date: Sunday, 1 January 2011 Place: Staff Welfare Hall
Present: ABC (Chairman) NOP
DEF (Secretary) QRS
GHI TUV
KLM
Absent: None

Sr. no.	Item
1.	Meeting called to order at 9.20 a.m.
2.	Minutes of the 14th meeting dated 20th November 2006 read and accepted.
3.	DEF proposed and TUV seconded and ABC was renominated chairman for the year 2011 unanimously.
4.	Sankrantri get-together decided to be held on 15th January. Sub-committee to be headed by NOP, with GHI and QRS as members.
5.	Meditation camp decided to be organised in the first week of February under the guidance of Swami Swarajanand. DEF to head the organising.
6.	Next meeting to be held on 31th January.
7.	Meeting ended at 10.05 a.m. with a vote of thanks to the Chair.

3.7 PRESS NOTE

A Press Note is a policy document responsible for facilitating foreign investment, technology flows, and monitoring industrial development in liberalised India. One of the chief functions of the DIPP is to formulate and regulate FDI Policy. To exercise this function, it issues Press Notes that enshrine the policy regulating the manner and form of FDI into India. These are issued on an ad-hoc basis, when DIPP aspires to amend existing policy. Once issued, they acquire the force of law.

As per the Government of India (Allocation of Business) Rules, 1961, in exercise of powers conferred on the President under Article 77(3) of the Constitution, DIPP is constitutionally empowered to frame executive policies on “Direct Foreign and non-resident investment in industrial and service projects”.

3.7.1 Press Notes have the Force of Law

Though Press Notes have the force of law, they do not go through the legislative process, nor are they placed before Parliament. Article 245 of the Constitution states that Parliament has the authority to make laws for the whole or any part of India. Press Notes, however, are non-legislative state actions or Executive actions. The question that arises is whether an admittedly legislative act (such as regulating sectoral FDI limits) may be perpetuated purely by Executive orders, such as a Press Note, and whether there is any constitutional/ legal requirement to have the same ratified by Parliament.

All non-legislative state actions, e.g. Press Notes, that operate as laws must usually fall into one of these two categories: (i) Delegated Legislation; or (ii) Executive Action.

Delegated legislation contemplates administrative actions in furtherance of a statute and is an internationally accepted mode of law making. It draws legitimacy from an underlying parent legislation, wherein the Legislature delegates its law-making power to the Executive. Delegated legislations are not formulated by the sovereign, and therefore are dependent on an enabling statute or authority for continued existence. The Legislature may accordingly empower the Executive to carry out statutory functions, which may be considered as ‘legislative’ powers.

However, applying this principle to DIPP’s Press Notes we find that:

The power to issue Press Notes flows directly from the sovereign (since Press Notes are issued by India’s highest authority, the Central Government (CG), or the sovereign)

It is not dependant on any superior authority for its existence (such as the Legislature). Not being dependant on a statute, and for the abovementioned reasons, Press Notes cannot be considered as delegated legislation.

Executive Action contemplates actions taken by the CG in its sovereign authority. Article 73 of the Constitution states, in part, that subject to the provisions of the Constitution, the Executive power of the Union shall extend to matters with respect to which Parliament has law making powers, implying that CG can validly take Executive action in all areas where Parliament's legislative power extends.

It has been established that absent any legal provisions to the contrary and vide Article 73, the CG does not require any legislative sanction or authority for exercising Executive power. In *Ram Jawaya Kapur v. State of Punjab*[1], the Supreme Court (SC) stated that while the Executive has no authority to act against the provisions of a law, it is not a corollary that to enable the Executive to function, relating to any matter within the scope of its authority, there must be a law which specifically authorises such action.

Executive functions comprise both determination of the policy and its execution. Thus, the CG, acting through the DIPP, does not require any law to authorise its Executive action, be it determining or executing FDI policy. Further, since Article 73 is itself subject to the provisions of the Constitution, and in the absence of such a restriction of exercise of the Executive's policy making functions, it cannot be said that the DIPP's functions are ultra vires the Constitution.

The Government Issue Press Notes for all its Executive Actions

The principle of jurisdiction is that Executive action may extend to all areas where Parliament's legislative power extends, except in matters of occupied field i.e., where prior legislation over the subject matter exists; and the Executive action violates such legislation. In such a case, the existing legislation will prevail and the Executive action will be struck down.

While there are specific entries in the Union List (i.e., matters wherein Parliament has the power to legislate and to which the Executive power of the Union extends), there is no express entry on FDI when dealing with foreign exchange and the Reserve Bank of India (RBI). Consequently, the same falls within the purview of residuary Entry 97 of the Union List and therefore, the Parliament will have the power to

legislate on the same and the Union's executive power will extend thereto.

Currently, FDI is not an occupied field, except for certain overlaps with provisions under the Foreign Exchange Management Act, 1999 (FEMA). Accordingly, the Union is competent to regulate FDI Policy through Executive orders such as Press Notes or the extant consolidated FDI Policy so long as they do not conflict with the statutory provisions under FEMA.

4

3.7.2 Press Notes are Subject to Judicial Review

As Executive actions have the force of law, they are subject to the same tests to which a law is, such as reasonableness, arbitrariness, violation of fundamental rights and the doctrine of ultra vires.

All Executive actions are subject to judicial review but on limited grounds. The SC in *M.P Oil Extraction v. State of Jammu and Kashmir*[2] held that the courts, while exercising their power of judicial review of Executive actions, must be cognizant of the 'doctrine of separation of powers'. That means they must avoid overstepping their judicial limits but may interfere where the policy is absolutely capricious, arbitrary, not informed by reason or based on mere ipse dixit[3], which offends the fundamental right of equality under Article 14 of the Constitution.

It would be difficult however to challenge the validity of Press Notes merely on the ground that though legislative in effect, they are not ratified by Parliament. Article 73 of the Constitution admits no such argument.

In this context it is important to refer to the observations of the SC in *M. L. Sharma v. Union of India*[4] wherein the validity of FDI Policy on multi-brand retail trading was challenged under Article 32. The SC held that in relation to policy matters, courts cannot interfere unless the same is "unconstitutional or contrary to the statutory provisions or arbitrary or irrational or in abuse of power."

3.8 MAINTENANCE OF FILES AND RECORDS

10

While the records are active within your office, they must be filed appropriately using the file classification plan and maintained on a day-to-day basis until the file is closed. All records should be managed together using the same file plan regardless of format (paper, electronic, other media).

Although the terminology for paper and electronic records may differ, they should be managed in the same way. In paper format, documents are stored in file folders; in electronic formats, single documents are referred to as files and are grouped into electronic folders.

1. **Recordkeeping Systems:** There are three types of recordkeeping systems in common use: paper files, shared drives and customized software systems. These are not always mutually exclusive as offices frequently retain some records in paper, for example, while managing other documents entirely within shared drives. Each system has its advantages and disadvantages.

Paper filing systems have been used traditionally in office environments and are still used in environments where offices receive a lot of incoming paper documents or where the original format must be retained in order to ensure the integrity of the document (e.g. where a signature is required). However, the rationale for managing paper systems is decreasing as more records are created digitally, transactions occur online, and laws of evidence are amended. Furthermore, paper filing systems do not provide the same level of searchability as electronic systems.

Nevertheless, paper files tend to be fairly well managed because they occupy office space, and so their maintenance is usually assigned to an administrative staff member who ensures the files are moved out of the office or destroyed as appropriate.

Shared drives have become a common method for organizing and storing records in the modern office environment where paper filing systems no longer exist. The advantage of shared drives is that records which are “born digital” can remain in electronic format and are easily retrievable at the desktop. The disadvantage to shared drive filing systems is that their maintenance is often not assigned to a staff member so they become dumping grounds for all sorts of records. As well, shared drives may not be able to handle the management of certain kinds of records, such as databases, or email from certain systems (see Special Issues - Email). Where shared drives are used, it is important that a staff member be given responsibility for managing the drive, including ensuring folders are named properly, and that retention and disposition rules are implemented.

Electronic records management systems are specialized software applications designed to classify records and manage them through their

life cycle. Their advantage is that they combine powerful search and retrieval capabilities with the ability to manage records and information across the institution both paper and electronic. They are designed to manage secure access to documents, handle version control, track use of documents, and automatically implement retention and disposition rules. Furthermore, they maintain important recordkeeping metadata to ensure the integrity and authenticity of official records. The disadvantage to such systems is that they require a financial investment and usually some customization. Where they exist, such systems tend to be well-managed as their maintenance must be assigned to a responsible employee.

8

2. **Official Format:** Many records are created in both electronic and paper form. In order to avoid duplication, units should decide in which format to keep the official copy. The decision must be applied consistently for each file class and should be noted in the file plan.

8

3. **Keeping Track of Files and Folders:** The file plan will reflect the file classes used within the unit. Units should also keep a listing of files opened and closed that fall within each of the file classes. It is useful to create such a list so that the unit:

- Knows what files have already been created (more important for paper filing systems where the physical file folders are likely stored in a separate file room or in multiple offices).
- Can search for files that have been sent to storage (again, more useful in a paper environment).
- Can quickly prepare a listing of files when it comes time to implement the retention and disposition.

The list can take any format: table, spreadsheet, database. It is useful to include the following information for each file:

- File Class Code (from the CRS).
- File Title.
- Date Range.
- Contents/Description (optional).
- File Number (optional).
- Location (optional).
- Status (open or closed) (optional).
- Keywords/Names (optional).

8

4. **Opening Files and Folders:** Before opening a new paper file or electronic folder, use the file listing to ensure that a similar file doesn't already exist. Also, ensure that it will contain University records; transitory records should not be filed.

Each paper file or electronic folder should be labelled with the file class code. This is important because the file class code corresponds to a specific retention and disposition rule.

Titles should be assigned to each file or folder. The title should accurately reflect the contents. Avoid using vague titles such as "Miscellaneous". Units should decide on the format of file titles (spaces, capitals, date) and consistently apply the same conventions for all their paper and electronic records. See Tip Sheet 6 on Naming Conventions for Electronic Files and Folders.

For paper files, labels can be generated from the file listing using only the fields necessary to identify the file. At a minimum, these should include: file plan code, file title, and date. For electronic folders, the file class can serve as the primary folder (directory) level, with sub-folders (sub-directories) underneath reflecting the file titles.

NOTE: It is a good practice to open a new file when a folder becomes too large to handle. When a new volume is opened, bring forward active records to ensure continuity.

8

5. **Using Documents and Files:** Throughout their lifecycle, records will be used for operational and administrative purposes. Units should develop their own protocols around the versioning of documents, and the manner in which documents will be checked out for use. For paper filing systems, a charge-out card system is often used to ensure that files do not go missing. Electronic records management systems can be configured to provide this charge-out function as well. For documents on shared drives, it is important that documents used and updated are given version numbers or some other indication of any changes made (see Tip Sheet 6 on Naming Conventions for Electronic Files and Folders).

It is important to ensure that confidential records are managed in a way that ensures confidential information is not disclosed inappropriately (see Tip Sheet 2 on Confidential Records).

8

6. **Closing Files and Folders:** A file can be considered closed when no more records are to be added to it. The closure of a file can be triggered in a number of ways: by date, by event, or at the discretion

of the unit. Normally the retention period begins when a file is closed.

Date: many files are closed based on a year – calendar, fiscal or academic. At the beginning of the year, a new file is opened and the retention period begins for the closed file.

Event: a file may be closed based on an identifiable event. For example, a file might be closed when a contract expires, an employee leaves, or at the end of a dean's term.

Continuous: files which do not have a definitive date or event triggering their closure are considered to be open 'continuously'. The decision on when to close such a file is up to the unit, but often such files are closed when an issue is resolved or when the file is no longer of operational use.

8

7. **Creating an Office RIM Protocol:** Each unit should assign responsibility to a staff member for overseeing the records and information management (RIM) activities within the office.

It is recommended that each unit create its own RIM protocol, a written document setting out responsibilities and operational procedures for managing the unit's records and information.

3.8.1 Improve Records Management in Any Office

In most offices only about 25% of the paper is program record materials that need to be managed in the office. That means that 75% of the paper mountain we face falls into one of the following categories:

- Administrative records used to carry out routine operations.
- Older program records that can be stored offsite.
- Working files used by staff to carry out their assigned duties.
- Reference materials.

The trick to good records management is identifying which of the files in your office belong to each category, and managing them appropriately. Here are 10 suggestions for improving records management in your office. By applying any or all of them, you will decrease the amount of paper in your office, increase the amount of available space, and improve staff efficiency. The key idea is to understand what portion of the paper in your office really needs to be managed.

1. Segregate your paper into four categories: records for which your program is responsible, administrative records, working files, and reference materials.
2. Set up a "records center" or official file station for your major program files. Make someone responsible for each major program file your office maintains, and send those persons to records management training.
3. Apply your records schedules. Most programs keep more records longer than they need to. Hold regular cleanup days to encourage staff to retire older records to the Federal Records Center or recycle them as the schedule specifies.
4. Draft lists of documents that need to be included in the official program files and those that don't need to be retained. Coordinate this list with your records manager and counsel as necessary.
5. Cut off your program and administrative files at the end of each year. Start new files and bring forward only the material that is still active. This will simplify retiring inactive records later.
6. File records by type and by disposition rather than filing everything together. For example, file final reports which have a long retention and active life separately from drafts which have a short retention. Separate controlled correspondence from general correspondence, and so on.
7. Use the Agency's file codes to help you organize your files. Arranging them in this manner will assist with the year-end cleanup process.
8. When you create a new type of record or file, develop a disposition for it in conjunction with the records management program. This will allow you to plan how long you need to retain records.
9. When you automate, be sure to include records management considerations and responsibilities in your mission needs analysis.
10. Set up a central reference file for documents that are needed by the staff on an occasional basis, rather than having each staff member retain a copy.

3.9 MAINTENANCE OF INVENTORY RECORDS

Part of maintaining an efficient office is ensuring that everyone has access to the tools they need. While it can be difficult to decide which

tools an office can most benefit from, one resource that the entire office uses is office supplies. But when everyone needs access to the same supply room, how do you prevent it from being abused?

Managing Office Supplies: Office supplies are easy to use and easier to run out of. Paper, pens, inks, toners, staples, tape, paper clips, and more are all important, but can become a hassle if they aren't monitored. Also, your employees may take too many office supplies at once, which can lead to over-ordering and overspending.

Workplace flexibility can increase these issues. How should you regulate supply use when some employees work remotely for some or all of the week?

Looking for better ways to manage your office supplies? See our strategies below:

1. **Limit Access to Supplies:** Start by improving the organization system you already have. How do you currently keep track of supplies? Open supply rooms, while great in theory, are often poor in practice because they don't limit which or how many supplies employees can take.

There are three ways to limit access. First, you can appoint someone to be the gatekeeper. This person is in charge of the supply room; if employees need office supplies, then they must go through the gatekeeper to get them. This is the most effective method for maintaining inventory, but it may be inefficient for offices that don't have someone who can absorb a gatekeeper's responsibilities.

Second, you can limit access to a select group of employees. By installing a keypad or putting a lock on the supply room door, you can still control the flow of office supplies. The group of employees you select should be the only individuals who know the keypad code or who have a copy of the supply room key. They can then distribute office supplies to employees as is necessary.

Finally, you can create a log for employees to use and keep it in an open supply room. Employees should write down which supplies they take, how many they take, and when they take them every time they leave the supply room. While this may be the easiest of the three options, it is also the least effective because it relies on the honor system. Employees may forget to fill it out, which can cause confusion and bring the office back to square one. Choose the option that is best for your office based on how often you use office supplies and whether or not your office is already experiencing a misuse of supplies.

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2. **Organize what you already have:** Once you have decided how to limit access to office supplies, it's time to organize your supply room. Make it easy for employees to find the supplies they need by grouping similar items together (for example, put paper clips and thumbtacks on the same shelf). Place the most frequently used items on shelves at eye level and place less popular items higher up. If something isn't being used, toss it and make a note not to order more in the future.

Keep the supply room as neat as possible. Encourage employees to put extra supplies back where they found them. If you have a larger supply room, you may want to post a list that explains where different supplies can be found. Organizing your supply room this way will also make maintaining an inventory much easier.

3. **Use it up first, then buy more:** Prevent over-ordering by encouraging employees to use up what the office already has before they break into new supplies. After a certain amount of time, paper will turn yellow, inks and toners will dry out, and pens will stop working, so use up what's already available first. This also prevents the office from wasting money by throwing out supplies that were never opened but grew too old to use. You'll reduce waste and the office's carbon footprint and you may even help out the planet a little, too.

4. **Strategize when to reorder supplies:** Many office supply companies offer a discount when companies order in bulk. To get the most out of your company's dollars, you want to order the most supplies your office will need right when you run out of them. The ultimate goal is to avoid an excessive order (see tip above), but to place one that is large enough to merit a bulk discount.

Keep track of which supplies your office uses the most and how long it takes to receive a shipment of those supplies. You should combine these numbers to find a time when the office will be low on supplies but not so low that it will run out before the next shipment arrives. It's a careful science, but one that will pay off in the long run.

Consider setting up an automated reorder process with some or all of your supply companies. This way, you will always receive a shipment in time and you won't forget to place an order in the future.

5. **Keep an inventory log:** Keeping an inventory log is the best way to ensure that you always know how many supplies the office

has. If you are unsure where to start, try downloading a free office supply inventory template from one of the many available online. This one is great to start with, and you can adjust it to fit your office's needs.

But an inventory log only works if it is regularly updated. Be sure to periodically perform inventory checks so you can revise your log and remain aware of which supplies may be running low. A good rule of thumb is to always have enough office supplies on hand to keep your workplace running for one week.

3.9.1 Maintaining Inventory Records

The following sections detail the activities that keep Inventory up-to-date and provide status and auditing information. The activities are:

- Adjusting Stock Levels.
 - Recording the Receipt of Goods.
 - Transferring Stock Between Inventory Locations.
 - Ordering Stock.
 - Checking Stock Levels.
 - Inspecting Stock History.
1. **Adjusting Stock Levels:** The Stock Levels tab is important for managing stock quantities. It lists all the product variations and the possible stockpoints.

Details	Display	Inventory Detail	Suppliers	Barcodes	Sell Prices	Stock Levels	Stock History	Reservations
Adjust... Count... Receipt... Transfer... Order... Receipt Order...								
Location	Code	Variations	In Stock	Reserved	Required	On Order		
Box Office	CTTLG	Large - Grey	0	0	0	0		
Box Office	CTTLK	Large - Black	0	0	0	0		
Box Office	CTTMG	Medium - Grey	0	0	0	0		
Box Office	CTTMK	Medium - Black	0	0	0	0		
Box Office	CTTSG	Small - Grey	0	0	0	0		
Box Office	CTTSK	Small - Black	0	0	0	0		
Gift Shop	CTTLG	Large - Grey	0	0	0	0		
Gift Shop	CTTLK	Large - Black	0	0	0	0		
Gift Shop	CTTMG	Medium - Grey	0	0	0	0		
Gift Shop	CTTMK	Medium - Black	0	0	0	0		
Gift Shop	CTTSG	Small - Grey	0	0	0	0		
Gift Shop	CTTSK	Small - Black	0	0	0	0		
Storeroom	CTTLG	Large - Grey	0	0	0	0		
Storeroom	CTTLK	Large - Black	0	0	0	0		
Total			0	0	0	0		

When you are first setting up Inventory and have existing stock to enter, or if you need to correct stock levels for a reason such as stock being written off, you will need to adjust the quantity of stock in Inventory. Select an entry in the table and click the Adjust... button.

Details Display Inventory Detail Suppliers Barcodes Sell Prices Stock Levels Stock History Reservations

Adjust... Count... Receipt... Transfer... Order... Receipt Order...

Location	Code	Variations	In Stock	Reserved	Required	On Order
Box Office	CTTLG	Large - Grey	0	0	0	0
Box Office	CTTLK	Large - Black	0	0	0	0
Box Office	CTTMG	Medium - Grey	0	0	0	0
Box Office	CTTLK	Medium - Black	0	0	0	0

In the Adjustment field, enter the correction that is required. If Inventory has fewer items on record than are actually on hand, enter a positive number to make the right correction. If Inventory has more items on record than are available for sale, enter a negative number to correct the Inventory record. When entering existing stock levels when setting up Inventory, this means we enter the number of items on hand.

There is a Reason field with options to select. The options are customised in Administration at Setup > Inventory > Transaction Reasons. Examples could include Initial Stock and Write-offs. Depending on how the transaction reason has been specified, you may also be required to enter a comment further explaining the stock adjustment. For example, if Write-offs requires a comment when selected, "shop soiled" might be entered to explain the correction.

Stock Adjustment

Product: CTTLG - Comedy-Tragedy Tee - Large - Grey

Location: Box Office

Current Stock: 0

Unit Cost: 0.00

Adjustment: 15 (+ve to increase / -ve to decrease)

Reason: Initial Stock

Changed By: PBS

OK Cancel

Another occasion when stock counts need to be corrected is during a stocktake. Instead of hand-calculating the necessary stock adjustments and using the Adjust... button described above, select a product variation and location and click the Count... button.

Enter the New Count for the product variant, and select a Reason from the list. The options are customised in Administration at Setp > Inventory > Transaction Reasons. An example reason might be Stocktake. Depending on how the transaction reason has been specified, you may also be required to enter a comment.

Details	Display	Inventory Detail	Suppliers	Barcodes	Sell Prices	Stock Levels	Stock History	Reservations
Adjust...	Count...	Receipt...	Transfer...	Order...	Receipt Order...			
Location	Code	Variations	In Stock	Reserved	Required	On Order		
Box Office	CTTLG	Large - Grey	15	0	0	0		
Box Office	CTTLK	Large - Black	0	0	0	0		
Box Office	CTTMG	Medium - Grey	0	0	0	0		
Box Office	CTTMK	Medium - Black	0	0	0	0		
Box Office	CTTSG	Small - Grey	0	0	0	0		
Box Office	CTTSK	Small - Black	0	0	0	0		
Gift Shop	CTTLG	Large - Grey	0	0	0	0		

Recording the Receipt of Goods: When shipments arrive from a supplier, enter the shipment quantities into Inventory. Click the Receipt... button.

Details	Display	Inventory Detail	Suppliers	Barcodes	Sell Prices	Stock Levels	Stock History	Reservations
Adjust...	Count...	Receipt...	Transfer...	Order...	Receipt Order...			
Location	Code	Variations	In Stock	Reserved	Required	On Order		
Box Office	CTTSG	Small - Grey	0	0	0	0		
Box Office	CTTSK	Small - Black	0	0	0	0		
Gift Shop	CTTLG	Large - Grey	0	0	0	0		
Gift Shop	CTTLK	Large - Black	0	0	0	0		
Gift Shop	CTTMG	Medium - Grey	0	0	0	0		
Gift Shop	CTTMK	Medium - Black	0	0	0	0		
Gift Shop	CTTSG	Small - Grey	0	0	0	0		
Gift Shop	CTTSK	Small - Black	0	0	0	0		
Storeroom	CTTLG	Large - Grey	0	0	0	0		
Storeroom	CTTLK	Large - Black	15	0	0	0		
Storeroom	CTTMG	Medium - Grey	15	0	0	0		
Storeroom	CTTMK	Medium - Black	15	0	0	0		
Storeroom	CTTSG	Small - Grey	0	0	0	0		
Storeroom	CTTSK	Small - Black	0	0	0	0		

In the Stock Receipt window, select the Supplier of the shipment from the list of options. Enter the shipment Reference from the consignment slip, correct the Unit Cost if necessary, and enter the Qty to Receipt. Make sure you enter the number of product items, not the number of shipping units. If three packets of t-shirts arrive, and each

packet holds five t-shirts, the consignment slip may specify 3 packets, but Inventory needs to be told about 15 t-shirts being entered into the system. In this case, 15 would be the correct number to enter.

Stock Receipt

Product:

CTTSG - Comedy-Tragedy Tee - Small - Grey

Location:

Storeroom

Current Stock:

0

Reserved:

0

Backordered:

0

Supplier:

Tee Shirts 'R' Us

Reference:

LIS00334

Unit Cost:

12.47

Qty To Receipt:

15

Changed By:

PBS

OK

Cancel

Transferring Stock Between Inventory Locations

Transferring stock between inventory locations is necessary when moving stock from storage to sale locations, or when one sale location requires an item in stock at another sale location. Select a product variation at the location you are moving products from, and click the Transfer... button.

Details Display Inventory Detail Suppliers Barcodes Sell Prices Stock Levels Stock History Reservations						
Adjust... Count... Receipt... Transfer... Order... Receipt Order...						
Location	Code	Variations	In Stock	Reserved	Required	On Order
Box Office	CTTLG	Large - Grey	15	0	0	0
Box Office	CTTLK	Large - Black	0	0	0	0
Box Office	CTTMG	Medium - Grey	0	0	0	0
Box Office	CTTMK	Medium - Black	0	0	0	0

Select the To Location that will be the destination for the transferred items, and the quantity of Stock To Move.

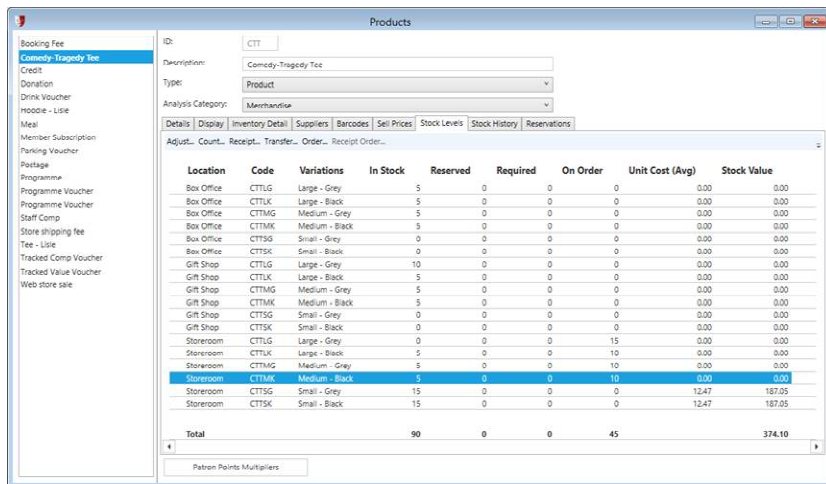
Ordering Stock: When your inventory reports inform you that stock levels have reached or fallen below the Reorder point, find the product and in the Stock Levels tab, select the Order... button.

In the Stock Order window, enter the same details as you are entering into the purchase order to the supplier. Select the Supplier you are using from the list, enter the order Reference number or code, correct the Unit Cost if this has changed, and specify the Quantity being ordered.

Submission ID ~~trn:oid::3618145108380~~

Checking Stock Levels

To check stock levels, open the Products window in Administration by opening Setup > Sales > Products. Open the Stock Levels tab.

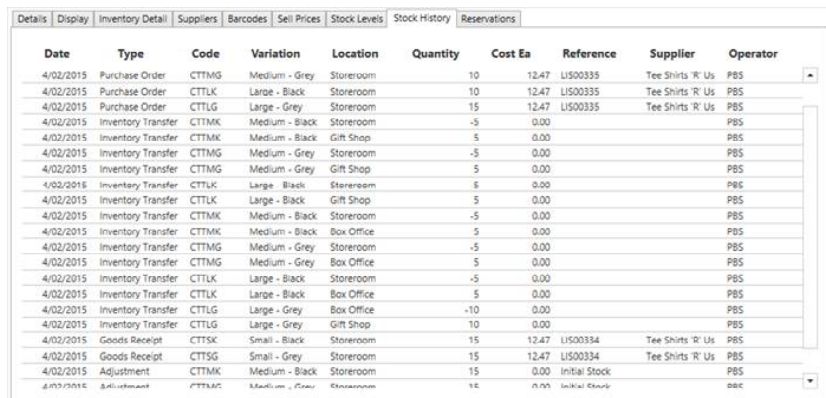


Location	Code	Variations	In Stock	Reserved	Required	On Order	Unit Cost (Avg)	Stock Value
Box Office	CTTLG	Large - Grey	5	0	0	0	0.00	0.00
Box Office	CTTLK	Large - Black	5	0	0	0	0.00	0.00
Box Office	CTTMG	Medium - Grey	5	0	0	0	0.00	0.00
Box Office	CTTMK	Medium - Black	5	0	0	0	0.00	0.00
Box Office	CTTSG	Small - Grey	0	0	0	0	0.00	0.00
Box Office	CTTSK	Small - Black	0	0	0	0	0.00	0.00
Gift Shop	CTTLG	Large - Grey	10	0	0	0	0.00	0.00
Gift Shop	CTTLK	Large - Black	5	0	0	0	0.00	0.00
Gift Shop	CTTMG	Medium - Grey	5	0	0	0	0.00	0.00
Gift Shop	CTTMK	Medium - Black	5	0	0	0	0.00	0.00
Gift Shop	CTTSG	Small - Grey	0	0	0	0	0.00	0.00
Gift Shop	CTTSK	Small - Black	0	0	0	0	0.00	0.00
Storeroom	CTTLG	Large - Grey	0	0	0	15	0.00	0.00
Storeroom	CTTLK	Large - Black	5	0	0	10	0.00	0.00
Storeroom	CTTMG	Medium - Grey	5	0	0	10	0.00	0.00
Storeroom	CTTMK	Medium - Black	5	0	0	10	0.00	0.00
Storeroom	CTTSG	Small - Grey	15	0	0	0	12.47	187.05
Storeroom	CTTSK	Small - Black	15	0	0	0	12.47	187.05
Total			90	0	0	45		374.10

Click a column header to change the column the table is sorted by. Clicking again will reverse the sort order.

Inspecting Stock History

To see an audit trail of Inventory transactions for any product, open the Products window in Administration by opening Setup > Sales > Products. Open the Stock History tab. The Stock History tab will display a list of all the adjustments, corrections, orders, and sales for each product variation and location.



Date	Type	Code	Variation	Location	Quantity	Cost Ea	Reference	Supplier	Operator
4/02/2015	Purchase Order	CTTMG	Medium - Grey	Storeroom	10	12.47	L1500335	Tee Shirts 'R' Us	PBS
4/02/2015	Purchase Order	CTTLK	Large - Black	Storeroom	10	12.47	L1500335	Tee Shirts 'R' Us	PBS
4/02/2015	Purchase Order	CTTLG	Large - Grey	Storeroom	15	12.47	L1500335	Tee Shirts 'R' Us	PBS
4/02/2015	Inventory Transfer	CTTMK	Medium - Black	Storeroom	-5	0.00			PBS
4/02/2015	Inventory Transfer	CTTMK	Medium - Black	Gift Shop	5	0.00			PBS
4/02/2015	Inventory Transfer	CTTMG	Medium - Grey	Storeroom	-5	0.00			PBS
4/02/2015	Inventory Transfer	CTTMG	Medium - Grey	Gift Shop	5	0.00			PBS
4/02/2015	Inventory Transfer	CTTLK	Large - Black	Storeroom	5	0.00			PBS
4/02/2015	Inventory Transfer	CTTLK	Large - Black	Gift Shop	5	0.00			PBS
4/02/2015	Inventory Transfer	CTTMK	Medium - Black	Storeroom	-5	0.00			PBS
4/02/2015	Inventory Transfer	CTTMK	Medium - Black	Box Office	5	0.00			PBS
4/02/2015	Inventory Transfer	CTTMG	Medium - Grey	Storeroom	-5	0.00			PBS
4/02/2015	Inventory Transfer	CTTMG	Medium - Grey	Box Office	5	0.00			PBS
4/02/2015	Inventory Transfer	CTTLK	Large - Black	Storeroom	-5	0.00			PBS
4/02/2015	Inventory Transfer	CTTLK	Large - Black	Box Office	5	0.00			PBS
4/02/2015	Inventory Transfer	CTTLG	Large - Grey	Box Office	10	0.00			PBS
4/02/2015	Inventory Transfer	CTTLG	Large - Grey	Gift Shop	10	0.00			PBS
4/02/2015	Goods Receipt	CTTSK	Small - Black	Storeroom	15	12.47	L1500334	Tee Shirts 'R' Us	PBS
4/02/2015	Goods Receipt	CTTSG	Small - Grey	Storeroom	15	12.47	L1500334	Tee Shirts 'R' Us	PBS
4/02/2015	Adjustment	CTTMK	Medium - Black	Storeroom	15	0.00	Initial Stock		PBS
4/02/2015	Adjustment	CTTLK	Large - Black	Storeroom	15	0.00	Initial Stock		PBS

Click a column header to change the column the table is sorted by. Clicking again will reverse the sort order.

3.10 MAINTENACE OF HUMAN RESOURCE

It's a good idea for an employer to maintain a personnel file for each employee. Documentation of employment history, records of contribution and achievement, disciplinary notices, promotions, performance development plans, and much more, belong in a personnel file. Responsible, careful employers keep more than one personnel file, too, as each type of file has content that is appropriate for their purpose.

The employer has good reasons to keep several personnel files—some legal and some for employment best practices purposes. Documentation is needed so the employer has an accurate view of an employee's employment history. Documentation supports the employer's decisions and may protect the employer in a lawsuit—preserved correctly.

Different Guidelines Are Associated With Different Personnel File Types

Because several types of personnel files are recommended, different rules and guidelines are associated with each type of personnel file for where they are kept and who has access.

For example, most organizations do not allow the employee's manager to access the overall personnel file. They expect the managers to keep relevant documentation in their own management employee file which is not the official personnel file.

- Each type of personnel file has a different reason for existing and different contents, based on that reason.
- Each type of personnel file is stored differently.
- Access to a personnel file is restricted to certain employees in most organizations. Many organizations restrict personnel file access to Human Resources staff only. Different personnel file types also have different access guidelines.
- Employee access to his or her personnel file is allowed, but most employers set up guidelines for employee access with a personnel file access policy in the employee handbook. (Various states and jurisdictions have different rules, so stay up-to-date on the requirements for your location.)
- The Human Resources department owns and is responsible for employee personnel files.

Recommended Personnel Files

Here are the types of personnel files recommended and what you need to know about working with them.

1. **Employee Personnel File:** This is the main personnel file an employer maintains for each employee. The personnel file stores the employment history of each employee. This is what you need to know about an employee personnel file.
2. **Medical File:** The employee medical file has serious legal restrictions that the employer must know and heed. Here is what you need to know about the confidentiality and contents of an employee medical file.
3. **Payroll File:** Employee access to the employee payroll file is less restrictive than access to either the medical or the personnel file. The payroll file holds information about salary, benefits selection, pay rate changes, garnishments, and other legal documentation that affects an employee's paycheck. Various accounting and Human Resources staff access the information in the payroll file.
4. **I-9 Forms File for Employees:** Because of the access rights of various government agencies, you follow best practice by maintaining a separate file for all employee I-9 forms. You do not want government agencies poking around in your main employee personnel file. Find out more about storing I-9 forms.
5. **Personnel File Access Policy for Employees:** You want to enable each employee to know what is in his or her personnel file, but you need to control the integrity, completeness, and thoroughness of the file. Maintaining employee and employer confidentiality and limited access are ensured with a personnel file access policy.
6. **What Not to Include in an Employee Personnel File:** Looking for guidelines about content that should never be included in an employee personnel file? Here are my best recommendations about the content that you want to maintain either in a separate, informal location or not retain at all. Retention of unneeded and purely opinionated documentation can hurt you.
7. **Documentation:** The word, documentation, crops up frequently in the world of employment and Human Resources. But, the meaning of documentation and why you might want to document particular employment events is thoroughly covered in this article,

"The Importance of Documentation in Human Resources." Take a look because proper documentation is essential for accurate employment files.

3.10.1 Benefits of Cloud- Based Document Storage

One of the benefits of a cloud-based total workforce management system is the ability to store documents electronically. This allows for convenient online access, and it also frees up office space, securely preserves information, and helps organizations ensure compliance with federal, state and local laws.

A total workforce management system can track expiration dates and provide dashboard alerts year-round, allowing HR professionals to quickly see which employees require updated forms (for example, form I-9). This helps organizations proactively maintain compliance and avoid penalties.

3.10.2 Important practices for Personnel Files

It is essential to maintain employees' personnel files and keep them up to date. In addition to being a good business practice, keeping good records - whether electronically, on paper, or a combination of the two - can help protect organizations in case of an audit or legal action.

Personnel files should contain only employment-related information, such as documents about qualifications and job performance. Do not include information of a personal nature (private life, medical records, political views, etc.).

I-9 forms, which verify an employee's eligibility to work in the United States, can either be stored separately in printed form, or electronically in a cloud-based document storage system like APS. If storing electronically, it is important to make sure the proper storage protocols (who has access, audit trails to track any changes, etc.) are followed. In the event that United States Citizen and Immigration Services inspects these forms, you can keep the rest of your employees' personnel files private. Examples of documents to keep in an employee's personnel file:

- Employee's resume and job application.
- Contract and offer of employment.
- Job description.
- Benefits information.

- Forms (W-4s, W-2s, etc.).
- FMLA paperwork.
- Training and certification information.
- Performance reviews.
- Changes to employee's position or pay rate.
- Employee commendations and awards.
- Documentation about attendance problems, warnings and disciplinary actions.
- Exit interview, termination letter, etc., for former employees.
- Workers' compensation reports.
- Copy of driver's license for workers who drive on the job.
- Military paperwork for reservists.

Ensure that confidential information, such as employees' medical information or workers' compensation reports, are stored separately from general employment information.

3.11 MAINTENANCE OF FINANCIAL RECORD

Bookkeeping is a complicated system that reflects financial situation of your company. To commit the maintenance of accounting records to the specialists of audit is a wise decision of a manager who is interested in reaching success in his business.

From one side, you save valuable time that you might spend for finding a good bookkeeping specialist, from another side you don't have a risk to lose money in case you happen to employ an incompetent bookkeeper. But the main thing is that you receive a full package of services by the specialists of the highest qualification:

- Preparation, maintenance and storage of accounting records as well as tax and statistical returns;
- Express advising;
- Provision of up-to-date bookkeeping information necessary for taking managerial decisions;
- Insuring professional responsibility of a bookkeeper.

Audit offers a well-timed, professional and competent protection of your interests. Security of your business is our responsibility.

Books of accounts including vouchers and receipts are required to be maintained under different statutory laws Income Tax Act, Companies Act 2013 and GST Act. Books to be maintained, retention period and compulsion requirements are different under all the 3 laws.

Under Income Tax Act: If the sale/turnover/gross receipts from the business or profession is more than Rs. 25,00,000 or the income from business or profession is more than Rs. 2,50,000 in any of the 3 preceding years, then books of accounts will be compulsorily maintained.

Following professions are covered under this provision:

- Legal.
- Medical.
- Engineering.
- Architectural.
- Accountancy.
- Technical consultancy.
- Interior decoration.
- Authorised Representative (one who charges fees for representing someone before tribunal or any authority)
- Film artist (producer, editor, actor, director, music director, art director, dance director, cameraman, singer, lyricist, story writer, screenplay or dialogue writer and costume designers).
- **Company secretary:** Thus, if the above-mentioned professions have an income of more than Rs. 2,50,000 in any of the 3 preceding years, they need to maintain books of accounts. In case of a new profession also, if the income is expected to be more than Rs. 2,50,000, the professionals should maintain books.

Books of accounts as per Rule 6F

- Cash Book.
- Journal.
- Ledgers.
- Copies of bills or receipts.
- Daily cash register with details of patients, services rendered, fees received and date of receipt (persons carrying on medical profession).

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- Details of stock of drugs, medicines, and other consumables used (persons carrying on medical profession)

If the income isn't more than Rs. 2,50,000 in any of the 3 preceding years or not expected to be more than Rs. 2,50,000 in case of a new profession, then also books should be maintained. However, books, in this case, haven't been specified so any books can be maintained but it should be such that ATO can calculate the income.

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Books should be maintained for a period of 6 years from the end of the relevant year.

Under Companies Act: Every company has to maintain books of accounts, at the registered office or any office that board of directors may decide. If the company is maintaining books at an office other than the registered office, it has to intimate the same to RoC. The company can maintain the accounts electronically also.

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Books should be maintained for a period of 8 years from the end of the relevant financial year.

Books of accounts to be maintained

- Cash flow statement.
- Records of sales and purchases.
- Records of assets and liabilities.
- Items of cost.
- Deeds, vouchers, writing, documents, minutes, and registers whether in physical or electronic mode.

Under GST Act

- Every registered person has to maintain GST records at the principal place of business.

Records to be maintained:

- Production or manufacture of goods.
- Inward and outward supply of goods or services or both.
- Stock of goods.
- Input tax credit availed.
- Output tax payable and paid and,
- Other particulars as may be prescribed.

Books and records should be maintained for 6 years from the last date of filing of the annual return (31st December) for that year..

3.12 CONFIDENTIAL FILES

Government data information breaches have gained a lot of attention in the media lately, but the government isn't the only one at risk. Private and public companies are susceptible to data leaks as well. If it hasn't happened to you, it might be hard to imagine that it could.

The reality is, data leaks can impact any company. If your company's confidential records aren't properly secured, compromised data could have tremendous consequences.

The beginning of a new year is the perfect time to introduce new practices for safeguarding your most important records. Below, we're discussing five reasons why it's important to keep your confidential records safe. We also have recommendations on how to do that.

1. **Confidential Records Help You Stay Competitive in Your Industry:** No matter what industry you're in, staying relevant over competitors is an important element of business success. If your company has trade secrets or sensitive information that helps you stay competitive, you want to protect that at all costs.

A leak of confidential records could benefit a competitor by giving them a glimpse at your practices and helping them develop a strategy to respond to that. Protecting your sensitive information is the best way to ensure you keep whatever upper hand you have.

2. **Value Your Employee's Privacy:** Some data leaks expose sensitive and personal information about a company's employees. Falling victim to that kind of leak can create an unpleasant work environment. You want to prove to current and potential employees that you value their privacy by doing what you can to keep their information safe.
3. **Customers Expect Protection:** From credit card information to family data, customers provide a lot of private information to the companies and businesses they work with. This is especially true of patients who provide confidential information to their medical providers.

If confidential records with customer information were to be made public, the trust your customers have in your company would be severely

compromised. They may choose to take their business elsewhere, and will likely advise friends and family to do the same.

4. **Your Reputation Matters:** Even if you have an incredible reputation for customer service and satisfaction, one data leak is enough to change that in the public's mind. When it comes to bad news, the public tends to have a long memory. You don't want to be remembered for compromising their information. And you don't want one negative situation to overshadow the good work you've done.
5. **Protecting Data is Easy:** For whatever reason, some companies may choose not to protect their sensitive information because they believe doing so would be difficult and expensive. The truth is, record management and offsite shredding services make it easy for any business to secure sensitive data.

Is there a cost associated with it of course. But it may be far more expensive not to protect this information, especially if a leak does occur.

Ready to Start Protecting Your Confidential Records?

In today's increasingly technology-driven world, sensitive information stored online is vulnerable. Hackers or malicious software can do extreme damage, and ruin a company's reputation in the meantime. But these situations are avoidable.

Protecting your records protects your customers, your employees, and, ultimately the success of your business.

3.13 PUBLIC RELATIONS

A company must relate constructively to a large number of interested public. Public is any group that has an actual or potential interest in or has an impact on a company's ability to achieve its objectives. The public can facilitate or hamper a company's ability to achieve its objectives, Effective public relations can enhance the usefulness of promotion tools employed by the service company. Public relations involve a variety of programmes designed to promote a company or to protect the image or its individual products.

According to **Stanton** "*public relations is a management tool designed to favorably influence the attitude towards an organization, its products and its policies.*"

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The definition given by British Institute of Public Relations is *It is the planned and sustained effort to establish and maintain goodwill between an organization and the public.*

3

Publics are all groups of people and organizations which have an interest in the service company.

3

A wise company endeavors to maintain successful relations with its key public. Most companies operate a public relations department. This department maintains a goods communication channel with the public to develop good will.

Objectives of Public Relations

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Department of public relations aims to develop the positive image of the company, its products and policies.

It achieves following objectives for the organisation:

- (i) It facilitates smooth functioning of business and achievement of organisational objectives.
- (ii) It builds corporate image and creates a favourable impression and creditability of company's products.
- (iii) It helps in launch of new products and maintain interest and confidence in the existing products.
- (iv) It acts as a supplement to advertising in promoting existing and new products. Thus, it helps business and its associates to sell products easily.
- (v) It lowers the promotional cost as it has to simply maintain staff to develop and circulate information with media or manage events.

3.13.1 Functions of Public Relations Department (Promotion Tools in PR)

18

Public relations department monitors the attitude of the public in general in favor of the company. It sends out information and spreads communication to the public for building goodwill of the organization. The public relations department counsels the top management to adopt positive programmes. They eliminate questionable practices so that negative publicity does not arise against the company.

A Public Relations Departments perform the following functions:

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1. **Community Relations:** A business should be seen as a responsible citizen of the community it operates in. A comprehensive

community relation programme should focus on building a respectable image for the company in the community in the long run. Many organizations implement educational and health related programmes for improving quality of life of the community members. Such activities help to build their reputation along with benefiting the society.

2. **Employee Relations:** Employees are the most valuable assets of the company and the organization had to create employee goodwill for maintaining a loyal workforce. Loyal employees are more productive and interested in the well-being of the company.
3. **Customer Relations:** The most important component of external public is the customer. The customer is the reason behind the existence of the organization. Public relations informs the customer about introduction of new products or changes in existing ones. Public relations plays a crucial role in attracting the attention of the buyer towards the company's offerings and helps to differentiate the product from those of its competitors.
4. **Financial Relations:** A segment of the company's public consists of those individuals and institutions the company has financial dealings with. These include the shareholders, creditors, potential investors, banks, financial analysts, etc.

These parties have to be informed about the company's finances, plans for expansions, plans to raise share capital, etc. A well planned financial relations programme is necessary to improve the organization's image and increase the value of its stock.

5. **Political and Government Relations:** The Company has to function under the control of government rules and regulations. It has to forge proper relations with various government officials and political parties to ensure smooth functioning of the enterprise.
6. **Crisis Communication:** The role of public relations takes on vital significance during crisis situations like an accident, financial scams, bankruptcies, etc. It is the responsibility of the public relations to give the honest and accurate information to the concerned publics and assure them of remedial measures taken to control the crisis
7. **Press relations:** A PR department performs the function of Creation and dissemination of information to Press. This is known as publicity.

8. **Product Publicity:** The product information presented in the 'Paid space' of media is read or heard by a company's customers or prospects. The department publicizes the product through sponsoring efforts.
9. **Corporate Communication:** PR Departments promote the understanding of the company and its products and services. For this purpose, they undertake external and internal communication.
- 18 10. **Counseling:** Public Relations departments advise the top management on matters related to public issues. This also includes advising the company in the event of product mishap.
11. **In house Hournals:** Many service organizations such as hospitals, . health care, beauty parlor etc., publicize their own magazines which are circulated among customers. The role of PR Departments in developing- in house journals.is significant. Apart from in-house journals,. companies publish annual reports, brochures, articles, company's newsletter and audio-visual materials. Creating websites on the history of the company and its present developments also influence the target markets..
12. **Special Events:** PR Departments help organizations attract media attention by arranging newsworthy organizations. These special events are the backbone of service marketers.
13. **Public Service Activities:** PR Departments help companies build goodwill by contributing money and time to good causes. Large corporate ask executives to support community affairs.

3.13.2 Role of Public Relations in an Organisation

14 Public relations professionals shape an organization's image. They build the brand, spread the organization's message and minimize the effect of negative publicity. At a small company, the PR person may have to handle all the roles – cheerleader, media contact person, the deflector of criticism – themselves. At larger companies or big PR firms, staffers can have more specialized roles to handle different organizational needs.

- 20 20 i. **Manager or Technician:** One way to divide up roles is between communication technicians and communication managers. Communication technicians are PR writers. They turn out press releases, newsletters, website content, speeches, blogs and social media posts. Managers handle the bigger picture, assessing the PR goals to accomplish or the problems to solve and determining the PR strategy required.

ii. **Different Organizational Missions:** Another way to segment public relations is looking at what different roles accomplish for the organization:

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Crisis management deals with emergencies affecting the organization. They help establish policies for dealing with emergencies, such as who gets to communicate with the media, and how management shares information with employees.

Relationship management establishes strategies for building and maintaining relationships with important segments of the public such as customers and reporters. Image management professionals work to present the company as socially responsible, compassionate and involved in the community.

Resource management looks at the budget and resources for the organization's PR and figures out how to make the best use of it.

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An organization usually needs its PR team to fill more than one role. Managing relationships and shaping the company's image can generate a lot of goodwill. When a crisis or negative news breaks out, the PR role has to be the minimization of any damage or blowback from the events.

iii. **Different Skill Sets:** Different PR roles call for different skill sets. PR communication technicians have to be good writers. Their talent lies in writing messages with strong imagery and evocative language that steers listeners to the point the organization wants them to reach. These technicians execute the strategy drawn out by the managers.

Communications managers are more into the big picture. They don't have to be gifted writers themselves, but they set the goals for the people who are. Communications managers have a seat at the management table, discussing strategy, resource management and how to improve the company's image or build relationships given the resources at hand. Sometimes they watch for potential threats to the organization's success, and then craft a PR strategy to head the problem off.

The roles aren't bound by anything but ability and opportunity. A skilled technician may shift from image management to relationship management in different situations. If technicians have the right skills, they may eventually step up and become communications managers.

3.14 OUTCOMES

Once the chapter is completed you will know:

1

- Understand the term e-filing and also its importance.
- Explain about indexing and its relationship with filing.
- Recall different ways in which the indexing can be done.
- Enumerate the steps involved in filing process.
- Describe Circular and its purpose.
- Delineate Agenda of Meeting.
- Learn minutes and their contents.
- Define Public Relations.

3.15 REVIEW QUESTIONS

I. Short Answer Questions

1. What is notice?
2. Describe Circular and its purpose.
3. Delineate Agenda of Meeting.
4. What are minutes and their contents.
5. Define Press note.
6. Why does inventory records are maintained?
7. What type of files are maintained by Human resource?
8. Define PR.

II. Long Answer Questions

1. Define office Procedure and its importance.
2. Describe benefits and limitations of systems and procedures.
3. Define the term - Filing. Also discuss various essentials of an efficient filing system.
4. Name various methods of classification of filing.
5. Alphabetical filing is the basis of all other types of filing. Do you agree with the statement? Also explain its advantages and disadvantages.

1



6. What do you understand by chronological classification of filing? Also discuss its advantages and disadvantages.
7. What types of organizations should adopt geographical filing? Also discuss disadvantages of geographical filing.
8. "The simplest method of filing classification is by subject method". Do you agree with the statement? Explain the subject method of classification with the help of an example.
9. What are the horizontal and vertical methods of filing?
10. Explain the term indexing. Why is it important to have a proper indexing system in an organization?
11. What are the essential steps that should be followed for effective and efficient management of electronic records?
12. Discuss in brief Filing Procedure.
13. Why financial records are maintained?
14. What are the function and objectives of Public relations?
15. Discuss the role played by PR in an organisation.

