

公共管理学经典教材原版影印丛书

# Introduction to Public Administration A Book of Readings

## 公共行政导论：文献选读

■ *J. Steven Ott* J. 史蒂文·奥特

■ *E. W. Russell* E. W. 罗素



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# 丛书总序

周志忍

自 20 世纪 80 年代恢复以来,行政管理学在我国经历了十多年的摸索和积累期,世纪之交终于呈现出飞跃式发展的态势:行政管理学博士点相继设立,公共管理获得一级学科的地位,公共管理专业硕士学位(MPA)教育开始启动且发展迅猛,开设行政管理本科专业的大专院校达到 130 家,公共事业管理本科专业则突破了 300 家,加上党校、行政学院公共管理教研机构的大量设立,说公共管理是 21 世纪初我国发展最迅猛的学科并不夸张。

学科飞跃式发展的另一重要标志是新领域的开拓和知识的积累及其快速更新。国家自然科学基金委员会对与宏观管理相关的 117 种外文期刊进行的文献计量研究表明:“公共管理理论与方法是 1994—2004 年间国外关注最多的领域。其中,有关公共管理基本理论与方法的论文数占到了全部论文总量的 44.6%。”对中国期刊网 77 种核心期刊的文献计量学分析的结果显示,“自 1994 年至 2003 年的十年间,关于公共管理基本理论与方法方面的论文增长迅速,从 1994 年的 554 篇,上升到 2003 年的 1934 篇,增幅达到 3 倍以上”。但在总量上仅占全部论文总量的 4.59%,与国外的同类研究相比呈现出明显的差距(国家自然科学基金会管理科学部:《宏观管理与政策学科“十一五”发展战略研究报告》)。

系统了解和追踪国外的新理论和新方法,并在批判的基础上加以消化和吸收,是学科知识积累和更新的重要环节之一。进入 21 世纪后,我国对西方公共管理著作的翻译出版结束了零星分散的状态,呈现出系统化和细分化同时并进的势头。中国人民大学出版社的《公共行政与公共管理经典译丛》和《公共政策经典译丛》,华夏出版社的《政治学与行政管理学译丛》,上海三联书店的《制度分析与公共政策译丛》,中国青年出版社的《公共管理译丛》等,都对学科发展和政府管理现代化产生了积极的影响。北京大学出版社《公共管理学经典教材原版影印丛书》的出版值得庆贺!

原版书的系列化出版对学科发展的意义至少有以下方面:(1)有助于研究者外语能力的普遍提高。长期以来,阅读外文图书对我国学者来说近乎一种特权,纵有毅力和热情,但难以承受的价格、少得可怜的存本或繁琐的借阅程序令人望而却步。影印原版书无疑有助于克服这一障碍。(2)推动翻译出版的规范化和翻译质量的持续提高。许多学者谈到这样的经历:阅读译文时怎么也不明白的东西,翻阅原著就清楚了。这固然和不同语言之间的“通约度”有关,也不能否认翻译质量的参差不齐。在原版书“稀缺”的情况下,翻译质量的同行评价和监督机制会因为“信息不对称”而失灵,

影印原版书在这方面将大有裨益。(3)在知识发展日新月异的时代,影印原版书具有出版周期短的优势,可以把国外的最新成果及时展示给国内学界。

外文图书引进出版虽然不是一个垄断性市场,但新进入者会面临别样的风险和尴尬。这有点像一个开放的采摘果园,先入者有的图便利先摘取低枝上的果实,有的则把靓丽之果尽入囊中,也有的以口味、特色为择取标准,几轮采摘之后,选择余地就相当有限了。从目前情况看,国内外文图书的引进出版呈现出复杂状态,少量著作的中文译本和原版影印本同时发行,大量著作仅有中文译本。与此相应,北京大学出版社第一批影印丛书包括了几类:(1)仅有中文译本而没有原版影印本的图书;(2)已有中文译本但原文有新版的著作,如尼古拉斯·亨利的《公共行政与公共事务》第九版;(3)国内市场尚未引进,但同样具有影响力的著作。从涉及的领域来看,第一批影印丛书覆盖了公共行政、公共政策、公共组织管理、预算与财务管理、公共部门人力资源管理等领域。图书的选择既考虑了影响力,又给相关领域的经典文献荟萃以特别的关注。

着眼未来,期望公共管理原版书的影印出版不断开拓发展,形成品牌并最终发挥系统效应。目前国内外文图书引进出版的复杂状态,无疑为原版书的影印出版增加了困难。在避免重复的前提下形成有序的原版书系列,显然还有许多艰苦细致的工作要做。但毫无疑问,原版书影印如果没有实现系列化,所期望的对学科发展的意义就会大打折扣。更重要的是,期待北京大学出版社充分利用自己的资源优势,在原版书系列影印的基础上深度挖掘,独辟蹊径,在公共管理领域开辟出一片新天地。这不仅是一种追求,更是一份责任。

2005年10月25日

# PREFACE

*Introduction to Public Administration: A Book of Readings* introduces students to the complexities of administering government organizations that engage in a surprisingly wide array of activities and provide an enormous range of services mostly for the purpose of improving the quality of life in the United States—or preventing its deterioration. Instead of writing a textbook about public administration, however, we decided to have the “masters” tell the public administration story in their own words. There are already enough very good introductory public administration textbooks available on the market today. (See References at the end of this Preface for a partial listing.)

The primary purpose for *Introduction to Public Administration* is to constitute a complete course package when used as a supplement to any solid public administration textbook. Because of the approach we used in designing the book and selecting readings, however, it also could stand on its own in public administration courses at the upper-division undergraduate or graduate level.

Our tasks as book editors were:

1. create a clear vision of what this collection of readings would accomplish;
2. select previously published articles and chapters that “tell the story” well;
3. edit-down reprinted readings to make them more readable and to help students focus in on the central ideas that make the reading worth including; and
4. write introductory essays that provide “frameworks” for the topic that is the focus of each chapter.

We believe that we have selected some of the most insightful, interesting, and useful articles and book chapters that can be found about the nature, scope, structures, functions, problems, and challenges facing public administration at the turn of the twenty-first century. We hope that you agree.

Each chapter addresses an important set of long-standing, historic, functions, structures, or issues from a variety of contemporary perspectives. “This is . . . a time when public administrators must face the future. Change is coming too rapidly to stand in the present and face toward the past.”<sup>1</sup> Thus, we address “standard” public administration topics but in the context of the turn of the millenium. The essays that

open each of the 15 chapters introduce the important issues, put major controversies in context, highlight unresolved debates, and explain what students should be looking for as they read the reprinted articles.

The summary of chapter titles and the authors and dates of reprinted readings below reveals the scope, depth, and currency of the book's coverage—and its compatibility with many of the textbooks that are widely used in introductory public administration courses today. (A complete listing of authors and titles is in the Table of Contents.)

## **Chapter**

- 1 Defining Public Administration**  
Woodrow Wilson (1887), Frank Marini (1998), Camilla Stivers (1998)
- 2 The Practice of Public Administration**  
David H. Rosenbloom (1986), Andrew Gray and Bill Jenkins (1995), Fred W. Riggs (1998)
- 3 The Cultural and Political Environment of Public Administration and Policy-Making**  
Charles E. Lindblom (1959), P. M. Jackson (1990), Kenneth J. Meier (1997)
- 4 Reinventing the Machinery of Government**  
John J. DiIulio, Jr. (1995), B. Guy Peters (1996), Graeme Hodge (2000)
- 5 Intergovernmental Relations**  
Dale Krane (1993), David B. Walker (1995), Janet E. Kodras (1997)
- 6 Management and Organization Theory**  
Michael Barzelay (1992); Henry Mintzberg (1996); Harold F. Gortner, Julianne Mahler, and Jeanne Bell Nicholson (1997)
- 7 Organizational Behavior**  
John Paterson (1983), Marvin R. Weisbord (1987)
- 8 Managerialism and Performance Management**  
Arie Halachmi and Marc Holzer (1993), Marc Holzer and Kathe Callahan (1998), Steven Cohen and William Eimicke (1998)
- 9 Strategic Planning and Management in Public Administration**  
Henry Mintzberg (1994), John M. Bryson (1995), Mark H. Moore (1995)
- 10 Leadership and Accountability**  
Barbara S. Romzek and Melvin J. Dubnick (1987), Larry D. Terry (1995), Norma M. Riccucci (1995)
- 11 Personnel Management**  
Mark W. Huddleston and William W. Boyer (1996), Rex L. Facer II (1998), Richard C. Kearney and Steven W. Hays (1998)
- 12 Social Equity**  
H. George Frederickson (1990), Gregory B. Lewis (1997), James D. Slack (1997)
- 13 Public Budgeting**  
Aaron Wildavsky (1978), Philip G. Joyce (1996), James J. Gosling (1997)
- 14 Evaluation and Measuring Productivity**  
Susan C. Paddock (1998), Evan M. Berman (1998), City of Charlotte, NC. (1999)
- 15 Honor and Ethics**  
James B. Bowman and Russell L. Williams (1997), Guy B. Adams and Danny L. Balfour (1998)



Five themes that are of paramount importance to public administration in the twenty-first century are addressed directly in the reprinted readings and also are woven into chapter introductions wherever they are appropriate:

- globalization,
- impacts of information technology,
- the movement of decisions to lower levels of government (“devolution”) and down through government hierarchies (“empowerment”),
- delivery of government services by private sector organizations (“diffusion” to non-profit and for-profit organizations), and
- the opportunities and challenges of diversity.

In order to impress upon students that “globalization” of public administration is more than a vague notion, for example, five of the reprinted readings address issues that are equally salient in Australia, New Zealand, Canada and Great Britain as well as the U.S. The message of globalization, however, is reinforced by the fact that the authors of these articles are citizens of these countries.<sup>2</sup>

The chapter titles and the cross-cutting themes should make two of our strongest assumptions about public administration quite evident:

- Public administration is much more than the application of business administration tools to the management of government agencies. “No, an introduction to public administration must in at least two ways go beyond an inventory of management techniques. It must, first, place these techniques in the context of the public sector . . . . Second, an introduction must make crystal clear the highly political environment of American public administration.”<sup>3</sup>
- In public administration, values and ethics are central to everything. “There is something very special about public administration: your work in public organizations is distinguished by its pursuit of democratic values, and this concern affects nearly everything you do as a public manager.”<sup>4</sup> Ethical issues are an aspect of daily life in public administration. “Indeed every act of every public servant, at whatever level of government or in any related organization, has an important ethical dimension.”<sup>5</sup>

## Criteria for Selection

Finding enough “good” readings to include in *Introduction to Public Administration* was not a difficult task. Our problem was deciding which of many excellent readings would best help students understand and appreciate contemporary public administration. Several criteria were used to make decisions about which readings to include in this book.

The first “test” that any reading had to pass was “yes” answers to two questions:

- Does the reading provide a reason or reasons why public administration exists in its current form, and/or why public organizations engage in (or refrain from engaging in) particular types of activities?



- Should the serious student of public administration be expected to be able to identify and understand the authors' central themes—the crux of their arguments?

Second, each reading had to make a statement that has had a noticeable impact on the field of public administration. This criterion does not eliminate controversial readings—quite the contrary. This criterion simply requires that a reading must make a statement that cannot be ignored.

Third, the reading had to fit the vision and scope of this book. It had to address issues or ideas that are of long-standing importance to the field of public administration but from a contemporary perspective.

Finally, the article or chapter had to be readable. Students who have already had reason to peruse the literature of public administration will appreciate the importance of this criterion.

## Acknowledgments

We wish that we could acknowledge everyone who contributed ideas, insights, support, challenges, and constructive criticisms during the creation and development of this volume. Space and propriety, however, require that we limit our statements of appreciation to individuals who played central roles in shaping our vision and preliminary ideas into a cohesive anthology. Professors Colin Clark, Deputy Dean, Faculty of Business and Law, Victoria University of Technology; Albert Hyde, the Brookings Institution; Frederick Lane, City University of New York; Jay Shafritz, University of Pittsburgh; Richard Green, University of Wyoming; and F. Ted Hebert and James H. Gosling, University of Utah. We also are deeply appreciative of the numerous and varied contributions made by Jared C. Bennett, University of Utah and Lisa A. Dicke, Texas Tech University. Jared helped in our searches for suitable articles to reprint, wrote drafts of two chapter essays, helped review proofs, and aided in the production of the manuscript in countless ways. We also enthusiastically thank John Tripotseris, Andrea Hill, and others on the reference staff at the Victoria University of Technology library and the State Library of Victoria for their cheerful and skillful help. And, finally, we thank the reviewers of this collection while it was in manuscript form: John C. Bretting at University of Texas-San Antonio; Patricia Fredrickson at Boise State University; William Gangi at St. John's University; Michael Hail at University of North Carolina-Greensboro; Peggy Jackson at Golden Gate University; M.A. Peterson at Washburn University; Douglas Shumaron at Miami University of Ohio; and Zachary Smith at Northern Arizona University.

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## Notes

1. Cooper, Phillip, J., Linda P. Brady, Olivia Hidalgo-Hardeman, Albert Hyde, Katherine C. Naff, J. Steven Ott, and Harvey White. (1998). *Public Administration for the Twenty-First Century*. Fort Worth, TX: Harcourt Brace, p. x.
2. See these readings that are reprinted in this book: Andrew Gray and Bill Jenkins, "From Public Administration to Public Management: Reassessing a Revolution?"; P.M. Jackson, "Public Choice and Public Sector Management"; and, John Paterson, "Bureaucratic Reform by Cultural Revolution."
3. Starling, Grover. (1998). *Managing the Public Sector* (5th ed.). Fort Worth, TX: Harcourt Brace, p. ix.
4. Denhardt, Robert B., and Joseph W. Grubbs. (1999). *Public Administration: An Action Orientation* (3rd ed.). Fort Worth, TX: Harcourt Brace, p. 1
5. Denhardt, Robert B. (1999). *Public Administration: An Action Orientation* (3rd ed.). Fort Worth, TX: Harcourt Brace, p. x.

# A PARTIAL LISTING OF VERY GOOD TEXTBOOKS IN PUBLIC ADMINISTRATION

- Balanoff, Howard. (1996). *Public Administration* (4th ed.). Guilford, Conn.: Dushkin.
- Cooper, Phillip J., Linda P. Brady, Olivia Hidalgo-Hardeman, Albert C. Hyde, Katherine C. Naff, J. Steven Ott, and Harvey White. (1998). *Public Administration For the Twenty-First Century*. Ft. Worth, TX: Harcourt Brace.
- Denhardt, Robert B., & Joseph W. Grubbs. (1999). *Public Administration: An Action Orientation* (3rd ed.). Ft. Worth, TX: Harcourt Brace.
- Fesler, James W., and Donald F. Kettl. (1996). *The Politics of the Administrative Process* (2nd ed.). New York: Chatham House.
- Gordon, George J., and Michael E. Milakovich. (1998). *Public Administration in America* (6th ed.). New York: St. Martin's.
- Henry, Nicholas. (1998). *Public Administration and Public Affairs* (7th ed.). Upper Saddle River, NJ: Prentice-Hall.
- Rosenbloom, David H. (1998). *Public Administration: Understanding Management, Politics, and Law in the Public Sector* (4th ed.). New York: McGraw Hill.
- Shafritz, Jay M., and E. William Russell. (2000). *Introducing Public Administration* (2nd ed.). New York: Addison Wesley Longman.
- Starling, Grover. (1998). *Managing the Public Sector* (5th ed.). Ft. Worth, TX: Harcourt Brace.
- Stillman, Richard J. (2000). *Public Administration: Concepts and Cases* (7th ed.). Boston, Mass.: Houghton Mifflin.

# CONTENTS

<i>Preface</i>	<i>vii</i>
<b>1 DEFINING PUBLIC ADMINISTRATION</b>	<b>1</b>
<hr/>	
1. <b>Public Administration</b> <i>Frank Marini (1998)</i>	7
2. <b>The Study of Administration</b> <i>Woodrow Wilson (1887)</i>	14
3. <b>Feminist Theory of Public Administration</b> <i>Camilla Stivers (1998)</i>	26
<b>2 THE PRACTICE OF PUBLIC ADMINISTRATION</b>	<b>30</b>
<hr/>	
4. <b>The Rise of the American Administrative State</b> <i>David H. Rosenbloom (1986)</i>	34
5. <b>From Public Administration to Public Management: Reassessing a Revolution</b> <i>Andrew Gray and Bill Jenkins (1995)</i>	37
6. <b>Public Administration in America: Why our Uniqueness is Exceptional and Important</b> <i>Fred W. Riggs (1998)</i>	58

### **3 DECISION-MAKING IN PUBLIC ADMINISTRATION 68**

---

- 7. **The Science of Muddling Through** 71  
*Charles E. Lindblom (1959)*
- 8. **Public Choice and Public Sector Management** 83  
*P. M. Jackson (1990)*
- 9. **Bureaucracy and Democracy: The Case for  
More Bureaucracy and Less Democracy** 95  
*Kenneth J. Meier (1997)*

### **4 REINVENTING THE MACHINERY OF GOVERNMENT 105**

---

- 10. **Changing States, Governance, and the Public Service** 109  
*B. Guy Peters (1996)*
- 11. **Learning to get the Balance in Privatization** 128  
*Graeme A. Hodge (2000)*
- 12. **Works Better and Costs Less? Sweet and  
Sour Perspectives on the NPR** 144  
*John J. DiIulio, Jr. (1995)*

### **5 INTERGOVERNMENTAL RELATIONS 150**

---

- 13. **American Federalism, State Governments and Public  
Policy: Weaving Together Loose Theoretical Threads** 155  
*Dale Krane (1993)*
- 14. **The Rebirth of Federalism: Slouching toward Washington** 161  
*David B. Walker (1995)*
- 15. **Restructuring the State: Devolution, Privatization,  
and the Geographic Redistribution of  
Power and Capacity in Governance** 179  
*Janet E. Kodras (1997)*

### **6 MANAGEMENT AND ORGANIZATION THEORY 191**

---

- 16. **Beyond the Bureaucratic Paradigm** 199  
*Michael Barzelay (1992)*

17.	<b>The Pivotal Controversies</b> <i>Harold F. Gortner, Julianne Mahler, and Jeanne Bell Nicholson (1997)</i>	218
18.	<b>Managing Government—Governing Management</b> <i>Henry Mintzberg (1996)</i>	236
<b>7</b>	<b>ORGANIZATIONAL BEHAVIOR</b>	<b>248</b>
19.	<b>Bureaucratic Reform by Cultural Revolution</b> <i>John Paterson (1983)</i>	253
20.	<b>Transforming Teamwork: Work Relationships in a Fast-Changing World</b> <i>Marvin R. Weisbord (1987)</i>	265
<b>8</b>	<b>MANAGERIALISM AND PERFORMANCE MANAGEMENT</b>	<b>271</b>
21.	<b>Government at Work: Best Practices and Model Programs</b> <i>Marc Holzer and Kathe Callahan (1998)</i>	278
22.	<b>Understanding and Applying Innovation Strategies in the Public Sector</b> <i>Steven Cohen and William Eimicke (1998)</i>	286
23.	<b>Towards a Competitive Public Administration</b> <i>Arie Halachmi and Marc Holzer (1993)</i>	293
<b>9</b>	<b>STRATEGIC PLANNING AND MANAGEMENT IN PUBLIC ADMINISTRATION</b>	<b>309</b>
24.	<b>Why Strategic Planning in Public and Nonprofit Organizations is More Important Than Ever</b> <i>John M. Bryson (1995)</i>	314
25.	<b>The Fall and Rise of Strategic Planning</b> <i>Henry Mintzberg (1994)</i>	324
26.	<b>Defining Public Value</b> <i>Mark H. Moore (1995)</i>	333

## **10 LEADERSHIP AND ACCOUNTABILITY 352**

---

27. **Leadership of Public Bureaucracies:  
The Administrator as Conservator** 359  
*Larry D. Terry (1995)*
28. **Unsung Heroes: Federal Execucrats Making a Difference** 367  
*Norma M. Riccucci (1995)*
29. **Accountability in the Public Sector:  
Lessons from the Challenger Tragedy** 379  
*Barbara S. Romzek and Melvin J. Dubnick (1987)*

## **11 PERSONNEL MANAGEMENT 397**

---

30. **Whither the Senior Executive Service?** 404  
*Mark W. Huddleston and William W. Boyer (1996)*
31. **Reinventing Government, The New Public Management  
and Civil Service Systems in International Perspective** 415  
*Richard C. Kearney and Steven W. Hays (1998)*
32. **Reinventing Public Administration:  
Reform in the Georgia Civil Service** 426  
*Rex L. Facer II (1998)*

## **12 SOCIAL EQUITY 435**

---

33. **Public Administration and Social Equity** 443  
*H. George Frederickson (1990)*
34. **Lifting the Ban on Gays in the Civil Service: Federal Policy  
Toward Gay and Lesbian Employees since the Cold War** 455  
*Gregory B. Lewis (1997)*
35. **From Affirmative Action to Full Spectrum  
Diversity in the American Workplace** 469  
*James D. Slack (1997)*



## **13 PUBLIC BUDGETING 479**

---

36. **A Budget for All Seasons? Why the Traditional Budget Lasts** 484  
*Aaron Wildavsky (1978)*
37. **Congressional Budget Reform: The Unanticipated Implications for Federal Policy making** 497  
*Philip G. Joyce (1996)*
38. **Budgetary Decision Making** 507  
*James J. Gosling (1997)*

## **14 EVALUATION AND MEASURING PRODUCTIVITY 523**

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39. **Evaluation** 528  
*Susan C. Paddock (1998)*
40. **Measuring Productivity** 536  
*Evan M. Berman (1998)*
41. **Balanced Scorecard** 549  
*City of Charlotte, N.C. (1999)*

## **15 HONOR AND ETHICS 555**

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42. **Ethics in Government: From a Winter of Despair to a Spring of Hope** 561  
*James B. Bowman and Russell L. Williams (1997)*
43. **The Dynamics of Evil and Administrative Evil** 572  
*Guy B. Adams and Danny L. Balfour (1998)*

*Credits* 584

# DEFINING PUBLIC ADMINISTRATION

There is no single, generally-accepted, definition of *public administration*, and perhaps there never will be.<sup>1</sup> In this chapter, we explain why this is so, and while the absence of a single definition may be frustrating, it at least partially reflects healthy “growing pains” of a young, complex, and thus highly interesting field of academic study and practice.

*Public administration* may be defined as *all processes, organizations, and individuals . . . associated with carrying out laws and other rules adopted or issued by legislatures, executives, and courts.*<sup>2</sup> (Emphasis in original.)

Public administration is so vast that there is no way to encompass it all with only one definition.<sup>3</sup>

Public administration, like many human endeavors, is difficult to define. . . . In part, this is because public administration covers such a vast amount of activity. . . . It was pointed out some time ago that any one-paragraph or even one-sentence definition of public administration is bound to prove temporarily mind-paralyzing.<sup>4</sup>

To define a subject is to fix its boundaries or, if those turn out to be fuzzy, to identify its essence, its core character. But for public administration this has proved so intractable a problem that its scholarly study is said to be suffering a “crisis of identity.”<sup>5</sup>

All of us who teach public administration have our own sense of what *it* is, and most of us would agree about many aspects of a definition. “Public administration does involve *activity*, it is concerned with *politics* and *policy-making*, it tends to be concentrated in the *executive* branch of government, it does differ from private [business] administration, and it is concerned with *implementing the law.*”<sup>6</sup> On the other hand, we also disagree spiritedly about where the “boundaries” of public administration lie and about the relative importance of various dimensions of public administration.

To an extent the absence of agreement about what public administration is (and is not) represents a mild case of “identity crisis” that all relatively young