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PUBLIC ADMINISTRATION AND PUBLIC MANAGEMENT ORIGINAL TEXTBOOK SERIES


公共管理英文版教材系列  
高等学校公共管理类双语教学推荐教材

# Public Administration and Public Affairs

## 公共行政与公共事务

TENTH EDITION [美] Nicholas Henry (尼古拉斯·亨利) 著  
(第十版)

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· 北京 ·

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## 出版说明

21 世纪，我国的公共管理学呈现良好的发展势头，在教育界、理论界、实务界等社会各界的共同努力下，公共管理专业教育正逐渐与世界同步。为了全面深入地反映国外公共行政与公共管理的发展脉络，系统完整地介绍国外公共行政与公共管理专业的经典著作和最新研究成果，让国内读者直接阅读原汁原味的英文原著，提高教学研究和实际工作水平，中国人民大学出版社引进了公共管理英文版系列教材，影印出版。

本系列教材所选书目均系国外公共行政与公共管理领域最权威的专家所著的经典著作，是国外知名大学正在使用的权威教科书，综合反映了当前本领域的理论发展现状与实际操作水平。本系列教材注重理论与实践紧密结合，对于系统培养学生思考和解决实际问题的能力大有裨益。同时，所选教材行文流畅，简洁易懂，便于阅读。

为了使读者对每本教材有一个整体了解，把握该书在公共行政与公共管理学中的地位与价值，我们特别邀请专家对每本书撰写了导读，并把目录翻译成中文，供读者阅读时参考。同时，中国人民大学出版社将于近期陆续推出本系列教材的中文版。

需要特别提及的是，我们出版这套系列教材，并不表明我们赞成这些著作中的每一个观点。这些著作都基于西方特定的行政生态，是西方公共行政与公共管理理论与实践发展的产物，读者在阅读时不应忘记“取其精华，去其糟粕”的原则。

当前，我国的高等教育改革取得了突破性的进展，其中一项切实的举措即是规定有条件的高校实行双语教学，教育部对此也有具体的要求。贯彻这一精神，满足我国高等教育国际化发展的需要，提高学生阅读专业英语资料的能力，也是我们影印出版这套公共管理教材的初衷。

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# Preface

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Public administration. The words conjure nightmares of green eyeshades; faceless, pitiless, and powerful bureaucrats; and a misdirected, perhaps misanthropic, governmental juggernaut crushing all who question it.

Public affairs. The phrase connotes visions of fearless and free debate; ennobling social missions; and the surging sweep of civic life.

For both public administration and public affairs, the reality lies somewhere in between. Public administration always has been and always will be the grubbing, tedious execution of public policies, but it also always has been and always will be an endeavor of high drama and colossal consequences. Public affairs always has been and always will be the ultimate and finest expression of democracy, but it also always has been and always will be a demeaning chore of cutting sleazy deals and micromanaging corrupt and rapacious special interests.

We entitle this book *Public Administration and Public Affairs*, because it examines the realities underlying the stereotypes that are brought out by both phrases. *Public Administration and Public Affairs* is, at root, about the public interest. It explains both the means used to fulfill the public interest and the human panoply that is the public interest.

The tenth edition of a book is always worthy of note, if, for no other reason, because its editions

have entered into the double digits. With this edition, *Public Administration and Public Affairs* enters that happy realm. We think that it has done so principally because it simply keeps up with the tumultuous world of public administration and public affairs (a variation, perhaps, of Woody Allen's observation that much of success is due to simply showing up), and it reports that tumult in a reasonably engaging manner.

Over the preceding three decades or so, *Public Administration and Public Affairs*, despite its clear orientation toward U.S. readers, has been translated and published in Chinese, Japanese, Romanian, and portions of it in Spanish. There is also an Indian edition and other national editions in English.

We relate this polyglot publishing history to demonstrate that, with accelerating appreciation, public administration is seen around the globe as central to "good government," and good government is seen by the world's people as central to the good life. As with its preceding editions, the tenth edition of *Public Administration and Public Affairs* portrays a discipline and a profession that are increasingly recognized by all citizens in all nations as vital to their lives, their liberty, and their pursuit of happiness.

Readers of past editions of this book will notice far more heads and subheads in the tenth

edition. We think that they help clarify discussions and organize concepts more crisply.

Past users will also find a trove of new material. In fact, the tenth edition is the most thoroughly revised edition yet. Some of the new, seriously revised, or significantly expanded discussions in this edition are listed, in rough order of their appearance, as follows:

- The resurrection of the “Good Government” movement.
- Vernon, California: A case of unconstrained public administration.
- Americans’ experiences with their public administrators.
- Knowledge management, and the importance of the bureaucrat in assuring that public policy is made with full and accurate information.
- The introduction of a new paradigm of public administration: Paradigm 6, Governance. After more than three decades of new editions, this is the first time that a new paradigm has been added.
- The decline of government as the employer of choice for public administrators, and the rise of the independent sector.
- The rise of networked public administration.
- Motivator factors in organizations.
- The moral significance of organizations in society.
- “Who Must Be Sacrificed?” in organizations.
- “Social Tests” for organizations.
- An expanded treatment of organizational intelligence.
- New case studies of organizational dynamics, including examples drawn from the American experience in Iraq.
- New case studies of “groupthink” in organizational decision making.
- How public organizations change and adapt.
- Dramatic new figures illustrating the splintered accountability, bureaucratization, and red tape that are endemic to the public sector.
- A new section on the “stopping power” of the bureaucrat.
- The irony and the failure of governmental reorganization.
- The differing behavior of boards of directors in the public, private, and nonprofit sectors.
- The penetrating impact of the environment on the public agency.
- Why governments resist change.
- The unique behavior of nonprofit organizations.
- Differences in leadership behavior, and the different meanings of successful leadership, in the public and private sectors.
- New insights and examples on the problems of privacy *versus* policy in public information systems.
- What happens when data matching fails? The case of a child predator.
- The USA Patriot Act of 2002, the Real ID Act of 2005, and privacy officers.
- New trends in computer hacking and databank security.
- Governments’ progress and failure in the management of information technology.
- The pervasive and beneficial impact of electronic government.
- A significantly expanded treatment of political corruption, including new examples drawn from the New York City schools, Alabama local government, the Pentagon, and school districts.
- The useful role that performance measures and program evaluations play in detecting corruption, and their limited usefulness in eradicating corruption.
- The New Public Management as public administration’s latest iteration of the historic public productivity movement.
- Governments’ response to Hurricane Katrina as a compelling example of why the New Public Management is needed and relevant.
- Performance measurement and public program evaluation.
- A major and important addition is that of public finance, which provides wholly new and extensive material on the price that Americans are willing to pay for their governments; governments’ use of general and special funds; the income, sales, property, and other taxes; other sources of governmental revenues; what policy areas that each level of government spends its money on; tax reform; Social Security and Medicare; the future of Social Security; inter-governmental revenue and own source revenue; the role of the federal government in the national economy; supply side economics; fiscal and monetary policies; and federal tax cuts, borrowing, deficits, debt, and surpluses.
- New examples of how agencies acquire budgets from legislatures.
- The deepening crisis in the traditional merit system, and governments’ slow abandonment of the merit principle.
- The reform of public human resource management.

- Public pay and job security in comparison to the private sector.
- Political executives and the newly understood and vital role that governmental experience plays in agency performance.
- The politicization of the Federal Emergency Management Agency, and its collapse during Hurricane Katrina.
- Governments' move toward pay for performance.
- The latest Supreme Court rulings on affirmative action.
- Facts about cultural and sexual bias in testing.
- The progress of public employees of color, women, and older or disabled Americans in securing jobs and promotions in governments.
- Strategic planning and scenario planning in governments.
- The selling of public assets.
- Trends in federal privatization, including new directions set by the Federal Activities Inventory Act, the rise of competitive sourcing and federal service contracts, and new information about federal privatization personnel.
- Lobbyland: The rise of lobbying, special interests, revolving doors, and big money.
- New cases in federal contracting incompetence, including contractors in Iraq, among other examples.
- New privatization developments in the states.
- Twenty-year trends of local governments contracting with private companies, nonprofit organizations, and other governments to implement public policy.
- Characteristics of local governments that privatize services.
- Business is not necessarily better: The case for competition in improving governmental performance.
- Public authorities and special districts, their differences and similarities.
- Public enterprises, government corporations, government-sponsored enterprises, and other quasi governments.
- Financial fears and government-sponsored enterprises
- The independent sector and its role in governance.
- The ups and downs of federal fiscal support for states and communities.
- The flypaper effect of intergovernmental grants.
- Interstate compacts, multistate legal action, and uniform state laws.
- Characteristics of local governments that enter into intergovernmental agreements.
- An expansion, due to popular demand, of the box, entitled "A Load of Local Governments" in Chapter 8, providing even more figures and factoids about counties, municipalities, townships, school districts, and special districts.
- The rise of ethics in the public sector.
- Ethics and the effective organization.
- The affects of philosophy on public policy.

*Nicholas Henry  
Savannah, Georgia*

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## Acknowledgments

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In the first edition of this book, I stated that I owed an intellectual debt to at least three of my teachers, Lynton Keith Caldwell, Jack T. Johnson, and York Y. Wilbern. I still owe my teachers an intellectual debt. Although it has been some time since I sat in their classrooms, their impact has waxed, not waned, over the years.

The earliest of these unique teachers, Jack Johnson, passed away some time ago. His impact on me was formative, and his advice and friendship are deeply missed.

I have since added a fourth person to this small circle: Frank J. Sackton. Professor Sackton (also Lieutenant General Sackton, retired) introduced me to the classroom of the practical world during the dozen years that I spent at Arizona State University. It was a rare education indeed, and one that I shall always treasure.

I am indebted to my editor at Prentice Hall, Rob DeGeorge, for his insightful advice and unflagging

help, and to my production editor, Sowmya Balaraman, for her sharp eyes.

I also am indebted to my colleagues, students, and the book's reviewers who have had such a constructive influence on the continuing evolution of *Public Administration and Public Affairs*.

The following reviewers provided valuable suggestions: Mary Ellen Balchunis-Harris, LaSalle University; and Naim Kapucu, University of Central Florida.

As always, my wife, Muriel, and my children, Adrienne and Miles, and their spouses, Kevin and Anna, provided the deepest level of support. The book is for them, my mother and departed father, and, much to my gratification, my grandchildren, Callum, Margaret, and Charlotte, but this edition is dedicated my late father. This one's for you, Pop.

*Nicholas Henry*



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# Part I

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## Paradigms of Public Administration

Bureaucracy is in our bones. Prehistoric evidence unearthed at archeological digs suggests that the rudiments of a bureaucratic social order were in place 19,000 years ago.<sup>1</sup> Bureaucracy predates, by many millennia, *Homo sapiens*'s earliest experiments with democracy, the emergence of the globe's great religions, and the dawn of civilization itself. Bureaucracy may not be basic to the human condition, but it is basic to human society.

Not everyone agrees that bureaucracy and government are basic to society. The primary critique of government and its bureaucrats amounts to a distortion of Thomas Jefferson's famous dictum that the best government is the least government. This criticism holds that the very best government is no government at all, and that the worst government is any government whatsoever. Government, in sum, is inherently bad. As one prominent and powerful antigovernment ideologue put it, "I don't want to abolish government. I want to reduce it to the size where I can drag it into the bathroom and drown it in the bathtub."<sup>2</sup>

Certainly, there are some bad governments that do bad things, and the examples of pervasive governmental corruption and callousness are countless. Consider the Cameroonian cops who stopped a traveler forty-seven times during a 300-mile journey to demand bribes.<sup>3</sup> Or, in India, farmers who must pay *baksheesh* to their local governments' accountants to gain a clear title to their farms, or the rickshaw drivers who routinely sacrifice a sixth of their meager earnings to extortionist police.<sup>4</sup> Or the 15 percent of Americans who sometimes go hungry because they cannot afford food,<sup>5</sup> a proportion that is—in the richest economy on earth, one that controls over a third of the world's wealth<sup>6</sup>—larger than those in Canada, Japan, and Western Europe.<sup>7</sup>

But it is inescapable that there are also some good governments that do good things. Moreover, those good things that good governments do are fundamental to human dignity, security, and happiness.

The planet's people have long been united in their view that "good government" (an admittedly musty notion, but one that warrants renewal) is crucial to a good life. A massive and ongoing study, begun in the late 1970s, of citizens in seventy-two countries on six continents finds that "the basic ideas of democracy are virtually universally accepted around the world," regardless of culture, and that these ideas are "viewed as the only game in town," even by the residents of dictatorships.<sup>8</sup>