

THE CRAFT OF PUBLIC ADMINISTRATION



THE CRAFT OF PUBLIC ADMINISTRATION

EIGHTH EDITION

George Berkley • University of Massachusetts

John Rouse • Ball State University



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PREFACE

FOUR PEDAGOGICAL SEGMENTS

The Craft of Public Administration is not just a textbook; it is a pedagogical gathering of pertinent yet limited literature, assembled to inform and interest college students in the dynamics of the public, or government, sector in the United States. The literature is limited because we choose not to write a book that is "everything one wants to know about public administration but is afraid to ask." Local, state, regional, and federal governments are too overwhelming and farreaching to attempt a dictionary approach to the field. To comprehend projected federal government spending of more than \$1.87 trillion in 2002 (state and local government spending not included), the literature of public administration is divided into four pedagogical segments:

- federalism (craft of public administration, relationships to economic development, political and bureaucratic culture, the structure of politics, partisan, policy, and systems politics, equality, efficiency, synergy, formal organization, human relations). Chapters 1 through 4 focus upon the structure of American politics, or issues of U.S. federalism. Chapter 1 concerns "The Administrative Craft"; Chapter 2 deals with "The Ecology of the Administrative Craft"; Chapter 3 investigates "The Anatomy of Public Organization"; Chapter 4 studies "The Physiology of Organization."
- public personnel administration (people, patronage, merit, equal opportunity, affirmative action, job classifications, labor relations, leadership, charisma, communication, technology). Chapters 5 through 8 address matters of public personnel administration. Chapter 5 explores "People and Personnel";

Chapter 6 reviews "Public Sector Labor-Management Relations"; Chapter 7 develops the role of "Leadership"; Chapter 8 relates the importance of "Communication" in government bureaucracies.

- budgets (taxing, appropriations, spending, productivity, efficiency, effectiveness, motivation, privatization of government functions, planning, program evaluation). Chapters 9 and 10 examine priorities of taxing, budgeting, spending, productivity, and program evaluation. Chapter 9 addresses "Taxing, Budgeting, and Spending" and points out how partisan, policy, and systems politics impact the likelihood of higher taxes but fewer government programs and services. Chapter 10 probes "The Productivity Challenge" and outlines the pressures for government employees to do more with less resources.
- regulations (administrative law, administrative controls, administrative law judges, ethics, discretion, rules, procedures, administrative responsibility, administrative state, clientele relations). Chapters 11 and 12 explain administrative law, clientele relations, and government regulations. Chapter 11 outlines issues of "Administrative Law and Control" and describes the impact of administrative growth on democratic ideals, outlines traditional and contemporary cornerstones of American administrative law, notes the expanding role of administrative law judges, and probes how much law and control is enough. Chapter 12 develops the impacts of "Government Regulations and Regulatory Behaviors" and illustrates how economic, social, and subsidiary regulations are affected by administrative rules and rule-making.

The narrative and case studies allow students to learn from analyzing the literature in conjunction with specific illustrations. Case studies force us to think about how the general (literature) affects the particular (case study) and how specific illustrations amend our perceptions of public administration literature. Examination of case study facts brings out the dynamic nature of the literature.

Public administration constitutes the "chemistry" of the United States. The two key principles that have come to embody the American ideal, equality and efficiency, are likewise the crucial determinants of how well the public, or government, sector functions in the United States. Democratic capitalism does not flourish if public infrastructures, such as schools, highways, institutions of public safety, and similar taxpayer funded government operations are devalued and rendered ineffective.

Public sector functions, programs, and activities represent the "bottom line" expectations that society guarantees citizens. The domestic and military spending priorities of the 1980s have forced public administration as a field to be more accountable, adjust to economic realities, and evolve in unforseen ways. The field is dynamic. The efficacy of *The Craft of Public Administration* depends upon people *effectively* relating to other people in the exchange of partisan, policy, and systems politics.

The attempts of the Clinton administration to reduce the number of government jobs is recognized. The actions and reactions of Democrat *Bill Clinton*, as president in charge of the federal bureaucracy, and Republican *Denny Hastert*, as speaker of the House of Representatives, bring to life the "chemistry" of equality

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and efficiency and of public and private relations in the United States. Professors Berkley and Rouse encourage feedback from professors and students on the effectiveness of *The Craft of Public Administration*. Your contributions will make future editions of this text reflect the dynamic "chemistry" of U.S. life as it is played out in everyday relations between the "equality" of government programs and services and the "efficiency" of private opportunities.

CONFLICTS OF VALUES

The dynamics of public administration cannot be removed from the increasing diversity—and disparity—of American life and its many value systems. The development, implementation, and evaluation of public administration programs and services reflect not only a diversity of values but conflicts in values. As we study federalism, personnel, budgeting, and regulations, we do so realizing conflicts in values—and economic disparity—dominate our thinking of how government should function.

What conflicts in values should we keep in mind as we engage the dynamics of public administration?

- Individualism versus Collectivism. Individualism is represented by private initiative, personal choice, self-sufficiency, pursuit of materialism, and the private-enterprise economic system. The responsibility of individuals to themselves contrasts with responsibility of the individual to society. Collectivism is represented by government, the nation, states, government bureaucracies, public goods, and the "common good." Public administration consists of public goods, which are widely distributed to citizens. Governments implement public programs for the many, not the few.
- Materialism versus Spiritualism. Materialism, as a doctrine, espouses that
 comfort, pleasure, and wealth are the only or highest goals or values.
 Achievement of the "good life" is what many believe the American dream is
 about. The good life perhaps includes a home, yard, automobile, appliances,
 and the necessities that go with climbing ladders of economic success.
 Materialism incorporates the consumer society of shop and buy. American
 elections are contested primarily on economic, or materialistic values, not
 spiritual values. Spiritualism finds its origins in religious or moral thoughts.
 Materialism remains dominant in United States society, but spiritual values
 are not dismissed. Material well-being permits governments to offer programs
 to citizens for private use. Despite materialistic demands, moral authorities, or
 traditionalists, struggle against modernization and its manifestations.
- Modernization versus Traditionalism. Modernism sympathizes with modern ideas. Modern thinkers conform to present-day practices, standards, and tastes. Modernization designates certain contemporary tendencies. Traditionalism honors stories, beliefs, customs, conventions, and proverbs observed by generations throughout the ages. Conflicts over the functions of governments confront modernization and traditionalism. Modernization may mean

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"progressive" change. Modernization implies opposition to traditional values. Modernization has lead to industrialization and secularization. Traditionalism may be best defined as the desire to maintain values, customs, mores, and living patterns that have been established over time. Computer technology, feminist workforce values, video games, and government administrative systems may also reflect modernization. If governments emphasize modernization, they may be in conflict with traditional groups in their society. Modern public administration reflects modernization, but values espoused by Max Weber and other theorists are traditional, classic, and timeless.

- Centralization versus Decentralization. There are approximately 80,000 units of
 public administration systems, or governments, in the United States. The most
 prevalent ones, of course, are the 50 American states. Counties, cities,
 townships, and special districts incorporate an administrative system that is
 fragmented and decentralized. The government in Washington may propose,
 but the people in the boonies dispose.
- If authority is concentrated, advocates of centralization argue, more efficient decision-making and policy-implementation can be achieved. Decisions can be reached quickly. Policy can be implemented with fewer people at cross-purposes. Decentralization philosophy claims to be more democratic, and responsive, as it brings more people into decision-making and policy-implementing processes. The possibility of a decision-making error is minimized.
- Moral Value versus Opposed Moral Value. In a country as large as the United States
 there are a wide range of values. Individualism and collectivism; materialism
 and spiritualism; modernization and traditionalism; and the legitimacy of
 opposed moral values impact public administration programs and units.¹

The many dimensions of American public administration occur within these frameworks of philosophical thought.

- In a society that emphasizes individual freedoms, how does the "body politic" organize collective priorities for public services made available to individuals?
- How do material values effect the development of public programs?
- If public administration programs result in modernistic values, what role does traditionalism play?

Centralization and decentralization values are realized daily as more than 80,000 units of government collaborate in the craft of American public administration. Partisan, policy, and system politics are distinctive in programs and services of the national government, states, counties, cities, townships, and other special districts. And one moral value opposed by another or other moral values?

- Should government/s be involved?
- What level of government should accomplish the tasks?
- How should the collective society pay for these programs and services?
- How strong is the private economy, which must be taxed to provide public programs and services?

¹Daniel S. Papp, Contemporary International Relations: Frameworks for Understanding, 3d ed. (New York: Macmillan Publishing Co., 1991), 578–593.

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Consumerism is part of the materialistic culture. From the productivity of
materialism comes taxation, or revenues for public programs and services.
 Should collective programs and services be implemented by private means or
through government agencies?

The Craft of Public Administration, in its zillions of substantive and procedural facets, is manifest in such conflicts of values.

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As principal author of the eighth edition of *The Craft of Public Administration*, I wish to express my thanks and appreciation to:

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- thousands of Ball State University graduate and undergraduate students, past and present, who continually force me to think and rethink the dynamics of the public sector in the United States;
- the generous taxpayers of the State of Indiana, my employer, for access to a
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 politics with the rich and varied literature of public administration; and
- Barbara Maves, my wife, and for many years, executive director of a government-funded, not-for-profit east central Indiana health-care agency, which daily confronts the challenges of the craft of public administration.

These contributions in many ways enhanced my research and writing of this edition of *The Craft of Public Administration*.

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1

THE ADMINISTRATIVE CRAFT

CHAPTER HIGHLIGHTS

THE HEART OF THE MATTER
FIRST ENCOUNTERS OF THE BUREAUCRATIC KIND
ART, SCIENCE, OR CRAFT?
PARTISAN POLITICS, POLICY POLITICS, AND SYSTEM POLITICS
LEGALISM

THE CRAFT AND THE AMERICAN POLITICAL SYSTEM BEHAVIORS, INSTITUTIONS, PROCESSES, AND POLICIES

2 Chapter 1

The words *public administration* express a concept that at first glance may seem abstract and nondescript. However, a closer look at the phrase helps take away the ambiguity.

Public means the citizens of a given area—the people of a town, county, state, or country. If an issue is considered in the public domain, information and discussion about that issue are open to, or shared by, the people and can be known to all. The word *public* also refers to activities administered by the state in the name of the entire community.

Public administrators serve the people. Organized collectives of citizens constitute a variety of public communities in the United States. These publicly organized communities include national, state, and local governments. They include townships, state recreation areas, and public utilities. They include school, sanitary, and water districts. There are also public libraries, public parks, public defenders (police, fire, legal), public roadways, and public servants. In the event of war, citizens may be called upon to make the ultimate sacrifice to their national community—their lives. However, in peacetime, Americans are required only to pay taxes and obey the laws. When April 15th rolls around, citizens have a definitive economic opportunity to be patriotic by meeting their financial obligation to society. The one thing all public programs have in common is they are financed by taxpayers, most of whom want a voice in how those dollars are spent. The breakdown of government employees is 14.8 percent federal, 24.2 percent state, and 61.0 percent local. In 1996, there were 2,895,000 federal, 4,719,000 state, and 11,906,000 local government employees in the United States, or a total of 18,236,000 government employees.1

How big is government? Annual expenditures (1996) for all levels of government are approximately the following: federal, \$1,600 billion; state; \$850 billion; and local, \$750 billion. In 1996, the nation's gross domestic product (GDP) was approximately \$7,000 billion. Government spends about half what the nation "earns" each year. Is this amount excessive? A comparison of the percentage of GDP spent by the U.S. government with that of other countries indicates that the size of the U.S. government is, in proportion to its economy, smaller than that of nearly any other industrialized nation.²

The pressure from U.S. taxpayers is to reduce personnel and expenses for services. (There is correspondingly less demand to reduce services to citizens.) Since most services are delivered by local governments and their employees, the reduction of personnel and expenses must come at the local level of operations, less so at the state level, and much less so at the centers of federal government operations. So, as we study *public administration*, the abstract, nondescript, colorless images of public bureaucracies will fade away. They will be replaced by more concrete concerns about the development, evaluation, and implementation of how we spend our tax dollars. Such decisions are usually political decisions. A major function of politics is to allocate importance to numerous and often conflicting values in society. Public administration is the process of implementing those diverse values in our complex and ever-changing society and therefore plays a vital role in the daily lives of all citizens.

A NEW SPIRIT OF COMMUNITY

William Jefferson Clinton, taking the presidential oath of office for a second term on January 20, 1997, issued an urgent call to end political and racial disharmony in America and outlined a vision for a smaller, more compassionate government to provide "a new spirit of community."

Source: Ann Scales, "Clinton Speaks of his Dream," Boston Globe, 21 January 1997, p. A1.

Table 1–1 Total Tax Receipts as Percent of Gross Domestic Product

e E	Nation	Percent	
	Denmark	51.6	
	Sweden	51.0	
	Finland	47.3	
	Czech Republic	47.3	
	Belgium	46.6	
	Netherlands	45.9	
	Luxembourg	45.0	
	France	44.1	
	Poland	43.2	
	Austria	42.8	
	Greece	42.5	
	Italy	41.7	
	Norway	41.2	
	Hungary	41.0	
	Germany	39.3	
	Ireland	37.5	
	New Zealand	37.0	
	Canada	36.1	
	Spain	35.8	
	United Kingdom	34.1	
	Switzerland	33.9	
	Portugal	33.0	
	Iceland	30.9	
	Australia	29.9	
	Japan	27.8	
	United States	27.6	
	Turkey	22.2	
	Mexico	18.8	

Source: OECD (1997, 46-47).

4 Chapter 1

THE HEART OF THE MATTER

In a classic textbook, Herbert Simon, Donald Smithburg, and Victor Thompson define *administration* simply but graphically in this opening sentence: "When two men cooperate to roll a stone that neither could have moved alone, the rudiments of administration have appeared." That illustrates much about what administration is and what it is not. The first and foremost ingredient of administration is *people*. A stone by itself on a hill is not involved in any form of administration. If that stone rolls down the hill by some act of nature, administration is not involved. People have to be present before administration can take place.

The second ingredient of administration is *action*. Two people looking at the stone are not, in that act alone, involved in administration. They must take some action regarding the stone before administration can enter the picture. There is no such thing as inactive administration (although many who have dealt with administrative agencies sometimes believe otherwise).

The third ingredient is *interaction*. If one person moves the stone, administration does not occur. At least two people must combine their efforts to move the stone for the activity to involve administration. The essence of administration is *people relating to people*.

People interacting with people to accomplish tasks—this is what administration is about, although not all activity involving human interaction can bear the label "administration." The line that separates administration from other types of human interaction often becomes blurred. For example, a biology class lecture is not, in itself, a form of administration. The students are there to obtain a product and the professor is there to dispense that product. Consequently, the students, as learners, are no more engaged in an administrative relationship with their teacher than department store customers are with a sales clerk.

If the professor and students undertake a joint project, however, such as investigating pollution levels in a nearby river and reporting the results to the state legislature, the relationship changes. Now they are *mutually* involved in an endeavor, and their joint activity is an essential part of all administration. This joint activity need not be voluntary. A young man may be drafted against his will into the army. He may be sent, even more unwillingly, to a foreign base. Yet, in performing whatever role he is assigned, he is participating in administration. Like it or not, he is involved with others in the common effort to maintain the nation's security.

To sum up, administration is a process involving human beings jointly engaged in working toward common goals. Administration thus covers many, if not most, of the more exciting activities that take place in human society.