

SIXTH EDITION

**PUBLIC
ADMINISTRATION
AND
PUBLIC AFFAIRS**

NICHOLAS HENRY

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*PUBLIC
ADMINISTRATION
AND
PUBLIC AFFAIRS*

Nicholas Henry
Georgia Southern University



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To Muriel

PREFACE

This edition of *Public Administration and Public Affairs* is notable in part because it marks the book's twentieth anniversary (in 1995, to be precise) as what my publisher tells me is a leading text in the field. I am pleased, because *Public Administration and Public Affairs* is my first book and still stands as my favorite among those that I have written. Some of it has appeared as articles in various journals and compendia, parts of it have been published in Spanish, and it has been published in its entirety in Japanese (Bunshindo Publishers, Tokyo). I would like to think that it has made a mark on my field of study, as only books which are written with a definite perspective can make a mark. *Public Administration and Public Affairs* has always had a particular point of view on matters managerial, and the sixth edition is no exception.

Among the new or significantly expanded discussions contained in the sixth edition are

- the differences between administrators in the public sector and administrators in the private sector;
- the mental process of making decisions;
- patterns of power in the organizational hierarchy;
- organizational socialization;
- the kinds of people in organizations who are the most effective in getting organizations to change in significant ways;
- how public organizations deal with a declining environment;
- the power bases of leadership;
- the impact of national cultures on organizational behavior;
- geographic information systems;
- the federal experience with Inspectors General;
- Total Quality Management in the public sector;
- the implications of the Government Performance and Results Act of 1993, performance evaluation and productivity measurement;
- the effects of deficit spending in the United States;
- recent developments in budgetary thinking at all levels of government in the United States, including Target Base Budgeting and cutback management;
- changing federal policies toward whistleblowers;
- the recent court decisions regarding affirmative action and the Civil Rights Act of 1991;
- sexual harassment in the public sector;
- the changing demographics of the American workforce;
- the new and smaller world of public employee unions;
- strategic planning and decision making in the public sector;
- the "revolving door" in federal procurement practices, and the growing roles of lobbyists for both domestic and foreign interests in the federal government;

- privatization in state and local governments, including perceptions of the business community in contracting with governments;
- the expanding significance of volunteers in delivering government services;
- the management of government corporations;
- the implications of “reinventing government” and “entrepreneurial government”;
- the impact of federal mandates and money on policy formulation in states and communities;
- a history of the public productivity movement in the United States;
- new and far-reaching proposals for sorting out intergovernmental relations;
- the problematic place of counties in the American governmental context;
- the hasty withdrawal of federal dollars from state and local budgets;
- new findings on the practice of ethical public administration in state and local governments.

Also given new treatment in the sixth edition are the extensive appendices that have made *Public Administration and Public Affairs* a useful reference work to both students and practitioners since its initial publication in 1975. Appendix A is a compendium of annotated information sources in public administration and related fields. Not only are bibliographies, dictionaries, directories, encyclopedias, and guides in public administration explained but also are comparable works in political science, management, American government, law, statistics, and the social sciences. Library of Congress call numbers for each work are listed, a feature which should ease library searches.

Similarly, Appendix B, which is an expanded list of selected journals relevant to public admin-

istration, also features Library of Congress call numbers as well as brief explanations of the journals listed. Appendix C lists selected academic, professional, and public interest organizations, with descriptions and addresses, and Appendix D provides the correct form of address for public officials.

Appendix E is also updated and explains what kinds of jobs are available in the public sector, and the salaries that one might expect for all levels of government for various administrative positions. It offers a sample résumé that reflects the latest thinking in résumé writing, and which is designed to assist one in putting his or her best foot forward in applying for jobs in the public sector.

An attempt has been made in the sixth edition to eliminate the more miasmatic detail that accretes in a volume after two decades of writing and rewriting it, and a special effort has been made to provide one-sentence definitions of terms used in the text. When these definitions are provided, the term being defined is italicized.

Public Administration and Public Affairs reflects the continuing evolution and growing self-confidence of the field. The developments in the fields that the sixth edition reports are developments that reflect a field maturing, growing more intellectually powerful, and making greater contributions to the society that supports it. Writing the sixth edition of *Public Administration and Public Affairs*, has been, as with the case in previous editions, a happy exercise.

N. H.
Statesboro, Georgia

ACKNOWLEDGMENTS

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 further noted that they taught me most of what I know about public administration, politics, and how to survive in a bureaucracy. I still owe my teachers that intellectual debt, and one that I continue to acknowledge. Although it has been quite a while since I sat in their classrooms, their impact has waxed, not waned, over the years. This is especially true for Jack T. Johnson, who continues to advise me on matters managerial, even if by long distance.

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, Jennie Katsaros, who has been unflinching in her support; and to the reviewers for their comments:

Paula D. McClain, University of Virginia; Lawton Bennett, University of Texas at Tyler; David S. Calihan, Longwood College; April Hejka-Ekins, California State University at Stanislaus.

Ginger Malphrus, the chief word processor in the Office of the President at Georgia Southern University, did a superb job in producing the significantly revised manuscript for the sixth edition, and I am genuinely grateful. Marilyn Leon, Jo Ann Marsh, Ruth Ann Rogers, and Angie Waters of my immediate staff warrant high accolades for keeping my administrative days on track and the President's Office in order. I am indebted to my colleagues, students, and those anonymous reviewers who have had such a constructive impact on the continuing evolution of *Public Administration and Public Affairs*.

As always, my wife Muriel, and my children, Adrienne and Miles, provided the deepest level of support. The book is for them.

NH
Statesboro, Georgia

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PART ONE

PARADIGMS OF PUBLIC ADMINISTRATION

Bureaucracy and democracy are antithetical. The former is hierarchical, elitist, specializing, and informed; the latter is communal, pluralist, generalizing, and ill-informed if not ignorant. With the usual quantum of exceptions, these are the realities of the civic culture in advanced industrial democracies such as the United States.

Reconciling these realities is not a task for the timorous. Yet, such a reconciliation is essential if societies are to continue to be advanced, industrial, and democratic. The nexus of where democratic mass and technological elite meet—where this reconciliation occurs (or fails to occur) in the most central and deepest terms—is in the public bureaucracy.

The place of the public bureaucracy in a democracy, and the role that public administrators play in a democracy, is what Part One is about. These descriptions are brushed in broad strokes, although we do become more detailed when we review the intellectual evolution of public administration as an area of study. This review is important because how public administrators see themselves and their proper field of action in a democracy is a perspective that is formed more in the halls of academe than in the corridors of power. Hence, we devote some pages to the history of ideas in public administration.

So, welcome to *Public Administration and Public Affairs*, welcome to Part One, and welcome to one of the most exciting and rewarding career possibilities that is available today.

CHAPTER 1

BIG DEMOCRACY, BIG BUREAUCRACY

Consider the dilemmas of two presidents in dealing with the government bureaucracy.

More than three decades ago, President John F. Kennedy was pestered by his brother, Attorney General Robert Kennedy, over the fact that there was a large sign directing drivers to the Central Intelligence Agency's Langley, Virginia, headquarters. The Attorney General saw this sign every day that he commuted to work, and grew increasingly irked; he believed that its presence was in violation of federal policy by advertising the address of the supersecret spy agency. After listening to the intensifying complaints of his brother, President Kennedy ordered an aide to have the sign removed, who in turn, directed the Interior Department to remove it. Nothing happened. A few days later, the president repeated his order. Again, nothing happened. Aggravated by both the bureaucracy and his brother's persistence, the president personally called the official in charge of signs: "This is Jack Kennedy. It's eleven o'clock in the morning. I want that sign down by the time the attorney general goes home tonight, and I'm holding you personally responsible." The sign was removed and the president had learned a lesson: "I now understand that for a president to get something done in this country, he's got to say it three times."¹

Such an understanding of supposed bureaucratic inertia is held, in fact, by most presidents. But quite the opposite can occur. Consider the experience of President Jimmy Carter. President Carter's daughter, Amy, was having difficulty one Friday afternoon on a homework problem about the industrial revolution. Amy asked her mother for help, who asked an aide if she knew the answer. The aide called the Labor Department for assistance. Labor was pleased to oblige. On Sunday, a truck pulled up to the White House with Amy's answer: a massive computer printout, costing several hundred thousands of dollars and requiring a special team of analysts to work overtime. The department thought it was responding to an order from the president. Amy received a "C" for her homework assignment.²

GOVERNMENT AND THE HOSTILE AMERICAN

These episodes, trivial in and of themselves, symbolize the problem of public bureaucracy. It is not that government is too lethargic or too efficient, too futile or too effective: The public bureaucracy is, in the view of some, simply unre-

sponsive to the directives of the citizenry and its elected executives.

This viewpoint is reflected in various polls. The people's trust in government has declined precipitously from around 80 percent in the late 1950s to levels ranging from as low as 17 percent to as high as 23 percent in the 1980s, depending upon the type of government (*i.e.*, the executive branch of the federal government, state government, or local government).³ By the early 1990s, roughly half of Americans believed that waste in government would grow, and that government was not working as well as it used to.⁴

An important point, however, is worth noting in these depressing statistics: Much of the decline in public confidence in government, as well as many other institutions of society, seems to be less a loss of faith in the institutions themselves, and more a distrust of the leadership of those institutions. For example, the Gallup Poll, which has measured public confidence in institutions since 1973, found that the confidence in institutions in the mid-eighties was 50 percent to 70 percent higher than was public confidence in the leadership of those institutions, and, while faith in leadership has fallen dramatically, the levels of confidence in the institutions which those leaders head have remained relatively unchanged since 1973.⁵ Over half of Americans believe that the country's elected leaders are not paying attention to the long-range needs of the country, and almost half think that elected leaders do not care about "people like you," and are too influenced by special interest groups.⁶ As two observers put it, "In the past, American ideals of appropriate leader behavior have been fairly high and constant despite frequent disillusionments. This may be changing. . . . [perhaps] the American mentality is reaching a point in a couple of decades that it took the French mentality several centuries to cultivate."⁷

The American disaffection with the leaders of government that is held by those who are governed, however, appears to be more complex and to run deeper than merely a cynicism *à la français*. Americans reject involvement in public life if they perceive it as "politics," but they are extraordinarily engaged in the civic culture if they see themselves as solving common problems.⁸

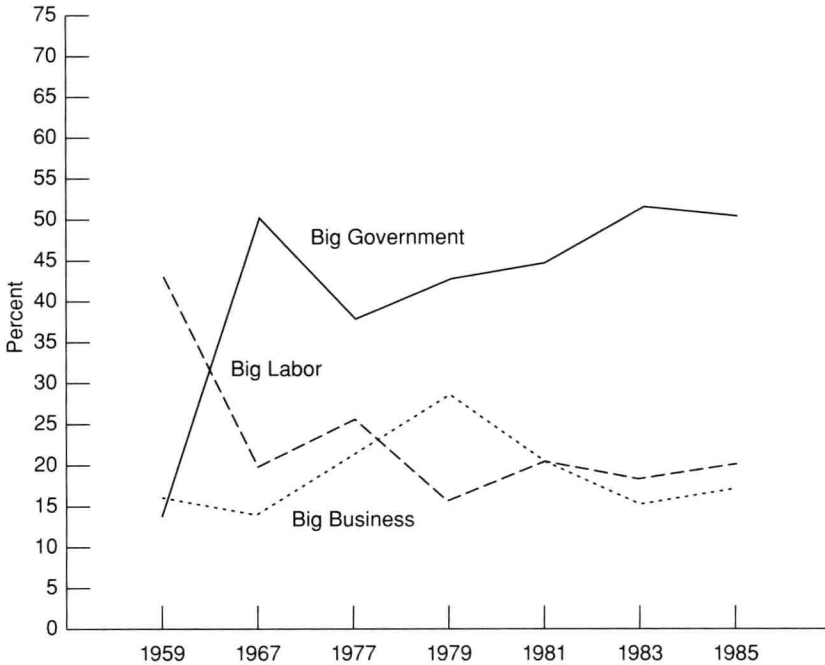
When do Americans define (and detest) public life as "politics"? When they associate it with

politicians and lobbyists, issue avoidance, and special concessions to special interests. When do Americans define (and drive) public life as problem solving? When they connect it with community associations, neighbors, and problems that they feel they understand and which have been seriously addressed by civic leaders. Americans are angered when important public issues are exploited by politicians with sound bites, and trivialized by a shallow media. "When people sense that they do have a voice, they begin to sense that there is some possibility to make a difference."⁹

Interestingly, public administrators themselves reflect these currents, and seem to share a faith in the institution of government, but question its leadership. Gregory B. Lewis pulled the responses of government employees from a larger sample of respondents to surveys and compared the responses of the government employees to these surveys with those of the general population. He found that public employees have no more confidence in the people running governmental institutions than the average citizen, and are no less likely to have confidence in the people running other social institutions. The same pattern essentially held true for top public bureaucrats culled from the surveys, although this group held the leaders of the military, organized labor, and the medical community in significantly less esteem than did either all government employees or the general public.¹⁰

Figure 1-1 indicates this sinking level of trust that Americans have in government by comparing the threat perceived by Americans concerning the rise of Big Government relative to Big Labor and Big Business. Clearly, Big Government is far more worrisome to the average American than either of the other two institutions.

Fiscal reality has reflected these trends in popular opinion, and this is particularly true at the grassroots levels of government. Although California's notorious Proposition 13 of 1978, voted in by a two-to-one popular margin and which slashed property taxes in the state, became the symbol of the revolt against government and taxes in the popular mind, it is clear that the real revolt had begun years earlier. Between 1942 and 1976, the public sector at the state and local levels was a high-growth industry. For thirty-four years, state and local spending burgeoned at

FIGURE 1-1 The Public's Perception of the "Biggest Threat to the Country in the Future," Selected Years, 1959-1985

Source: Data derived from George Gallup, *The Gallup Poll: Public Opinion, 1983* (Wilmington, Del.: Scholarly Resources, 1984), pp. 127-128, and 1987, p. 25.

a rate almost three times faster than that of the economy. But after 1976, combined state and local spending in real terms began a decline that has yet to be reversed. (The decline began in 1974 for local governments, and in 1976 for state governments.)

The revolt continues. Twenty-two states have imposed taxation and expenditure limitations upon themselves since 1977. Forty-three states have imposed eighty-four taxation and expenditure limitations on their local governments, most of which limit local jurisdictions' capacity to collect property taxes—the traditional fiscal mainstay of counties and municipalities.¹¹

BIG GOVERNMENT: "THE INCREDIBLE BULK"

Americans, in short, have made it clear that they are fed up with something called "Big Government," or at least the leadership of "Big

Government." But is the cause of their frustration actual or illusory? Is American Government really all that huge? Yes, it is, although how huge depends to a degree on one's perspective. Despite grassroots efforts to rein in government, it nonetheless stands as the "incredible bulk." At all levels, government spending (but not, by any means, government revenues, at least not at the federal level) now exceeds \$1.9 trillion, and government expenditures account for almost 35 percent of the Gross Domestic Product.¹² The real tax burden on the middle class has increased by more than 90 percent since 1953.¹³ The number of full- and part-time public employees at all levels of government stands at close to 18 million, or one-fourth of the nation's civilian labor force. This figure does not include an estimated 3 million employees who work in the private sector, but who are paid entirely through federal contracts, and another 2 million military personnel.¹⁴

These are impressive figures. Even so, however, it is worth keeping in mind that American

governments appear to loom less large in the lives of their citizens than do their counterparts elsewhere. In 1989, the tax revenues collected by all American governments amounted to slightly over 30 percent of the Gross Domestic Product. But the tax revenues collected at all levels by the governments of the seventeen Western European democracies, Australia, Canada, Japan, New Zealand, and Turkey amounted to almost 39 percent of their respective GDPs, on the average¹⁵—a considerably higher take than in the United States.

Relatively speaking, perhaps, American governments do not amount to “Big Government.” But they do seem big in the eyes of most Americans. The surveys taken during the 1980s indicate that two-thirds of the general public believed that their own taxes were too high, and when asked whether they would favor more spending by government on eleven items dealing with foreign and domestic concerns, only five items were identified as policy areas worthy of greater public funding. (These areas were, in order of support, crime, education, health, drugs, and the environment; 65 percent to 61 percent of the general public thought that the government was spending too little on these areas.) The responses of public administrators to these questions were almost identical to those of the general public.¹⁶ Americans, in short, including public administrators themselves, clearly have reservations about how big American governments have grown.

In addition, Americans have a reputed disdain for “the bureaucrat.” Politicians run against bureaucrats and bureaucracy in an unending campaign for votes. One analysis of introductory college textbooks on American government found that over three-fourths of them portray public administrators as “government employees who stay on forever,” and two-thirds depicted government bureaucracy as “all powerful and out of control.”¹⁷ Do Americans really feel this way?

BUREAUCRATS AND THE APPROVING AMERICAN

Evidently not. When we scratch the surface, and examine the one-on-one relationships that citizens have with their bureaucrats, we find quite different results. For example, a national Harris

poll asked Americans if they had ever gone to a federal, state, or local agency to get “the government” to do something that was not related to routine matters, such as applying for drivers’ licenses or paying taxes. Among those who indicated that they had sought some kind of personal objective within the public bureaucracy about two-thirds stated that they had found their public bureaucrats to be helpful, and most were satisfied with the services that they received (46 percent, in fact, were highly satisfied with their treatment by federal civil servants).¹⁸ Table 1-1 indicates the results of the survey by levels of government and citizen satisfaction.

Another national poll conducted at approximately the same time was designed to probe more deeply about the level of satisfaction obtained by the average citizen when dealing with the government bureaucracy. These respondents were asked if they had ever gone to a government agency for help in several areas ranging from looking for a job to obtaining retirement benefits. Sixty-nine percent of these respondents pronounced themselves to be very satisfied or fairly well satisfied with the way the government

TABLE 1-1 Public Opinions on Helpfulness of and Satisfaction with Public Bureaucrats

Did you find the people you went to at (the federal/your state/your local) government helpful or not helpful?			
	<i>Federal</i>	<i>State</i>	<i>Local</i>
Helpful	73%	66%	64%
Not helpful	24	29	34
Not sure	3	5	2
Did you come away from that experience with (the federal/your state/your local) government highly satisfied, only somewhat satisfied, or not satisfied at all?			
	<i>Federal</i>	<i>State</i>	<i>Local</i>
Highly Satisfied	46%	39%	39%
Only somewhat satisfied	29	26	26
Not satisfied at all	24	34	35
Not sure	1	1	0

Source: Confidence and Concern: Citizens View American Government, A Survey of Public Attitudes by the Subcommittee on Intergovernmental Relations on the Committee on Government Operations, U.S. Senate (Washington, D.C.: U.S. Government Printing Office, 1973), p. 315.