



PUBLIC ADMINISTRATION AND MANAGEMENT
A Primer for Masters

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This overview of public administration and management was excerpted from the unpublished Handbook for Special Masters (Master's Version). The companion Handbook for Special Masters (Judicial Version) was published in August 1983. That volume, when supplemented with this primer and The Law of Prisoners' Rights -- A Summary for Masters, provides the new master with a comprehensive overview of the practice of mastering in a correctional system.

This pamphlet was written by J. Michael Keating, Jr., who also contributed to and did the final editing on the Handbook.

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This somewhat oversimplified survey of public administration and management provides masters with a basic understanding of the theories and practices of public administration. Most masters will spend a part of their monitoring careers trying to promote a measure of efficiency in bureaucratic organizations whose problems may be due largely to bad management. In some systems and institutions, the will to reform simply exceeds the capacity to plan and implement change effectively.

However, this does not mean that sound administration and good management are unknown in corrections. Over the past two decades, correctional managers have undergone a remarkable metamorphosis. Where formerly few administrators received any exposure to formal management training, now business schools and academic criminal justice programs compete to attract and instruct correctional managers in basic principles of public administration. The contribution of the now-dismantled Law Enforcement Assistance Administration (LEAA) in underwriting, both directly and indirectly, the education of correctional personnel in public administration has been substantial. The result is steadily improving management of programs, institutions, and systems by a growing cadre of professional correctional managers.

Whatever the professional level of key personnel in institutions monitored by a master, the defendants will be looking to the master for meaningful review of their planning and budgeting efforts and sometimes even direct help in carrying out administrative tasks related to the remedial order. This means that masters must often deal with correctional personnel in matters requiring some understanding of the basic principles of public administration and a degree of familiarity with the theory and jargon of modern management techniques.

This primer, therefore, seeks to provide a brief overview of management theory and its application to public administration. It also includes a glossary of management and public administration terms in common use among correctional administrators and an annotated bibliography for masters who wish to pursue the subject further.

Public administration is a practical science or discipline that seeks to identify and apply principles and sound management in governmental agencies and institutions. Public administration became recognized as a distinct pursuit in the 1930s with the explosive growth of the federal government under the New Deal. General management theory, on the other hand, has its roots in the 19th Century and the industrial revolution.

The development of an organized and modern science of management in this country can be traced to Frederick W. Taylor, whose career in various Pennsylvania steel mills eventually resulted in an emerging primer on management in the first two and a half decades of this century. Taylor's theories provided a practical, penetrating analysis of everyday work with consequent recommendations for the division, organization, and control of labor that have played a key role in industry in much of the world.

Taylor's inductive and scientific approach to management recognized that the growing size and complexity of industry generated problems that could not be solved without systematic planning and organization of work efforts. In an increasingly competitive marketplace, control of waste, improved operating efficiency, and careful cost accounting became essential. The focus, then, of Taylor's "scientific" management was on improving the efficiency of work performance; the contributions of subsequent scientific management theorists have ranged from the time and motion studies of Lillian and Frank Gilbreth to the Gantt charts adopted during World War I and widely used today in both the private and public sectors.

Once pragmatic American business adopted the tenets of the scientific or traditional approach to management, it applied them with fervor. In the aftermath of the Roosevelt years, expanding government also sought to apply scientific principles to manage the operations of newly emerging bureaucracies. The work of Luther Gulick and Lt. Col. Lyndall F. Urwick -- principally their Papers on the Science of Administration published in 1937 -- introduced basic principles of public administration, popularized such terms as "span of control," advanced the distinction between line and staff functions, and coined the acronym in public administration known as POSDCORB, which stands for Planning, Organizing, Staffing, Directing, Coordinating, Reporting, and Budgeting and summarizes the full cycle of public sector management. All of these concepts and formulations have dominated public administration ever since; the overwhelming majority of management practices in corrections today can be traced directly back to the writings of Gulick and Urwick. Modern progeny of scientific management theories in public administration include systems analysis (which perceives both the internal and external environments of public agencies as an integrated whole) and the planning-program-budgeting system (PPBS) of former Secretary of Defense Robert McNamara and his Pentagon "whiz kids" of the early 1960s.

Beginning in the 1920s, however, there was an increasingly adverse reaction to scientific management which, to a growing number of critics, smacked of exploitation of the working man. The primary impetus to this reaction was a series of remarkable experiments conducted at the Hawthorne (Illinois) plant of Western Electric, which provided the first objective proof of a positive

correlation between productivity and employees' participation in the decisions affecting their work. The results of the Hawthorne studies described the working place as a miniature or micro-social system and demonstrated that informal interpersonal relationships and groupings had a profound effect on worker behavior.

The doctrinal linkage between the Hawthorne experiments and William G. Ouchi's current best-seller on "Theory Z" is clear and direct. Intervening developments have formed a behavioralist canon on management practices that emphasizes motivation, leadership, and organization and finds the key to increased productivity in the personal and social relationships among workers and supervisors rather than in the manipulation and refinement of factors of production.

Not many of the behaviorists' theories have penetrated corrections. Aside from scattered and lukewarm gestures in the direction of "participatory management," correctional administrators have largely shunned behavior-based management strategies. Part of the reason may be corrections' traditional image of itself as a paramilitary organization, an image that is fading only slowly. Still another reason for the rejection of behavioralist theories may be the fear that once behavioral principles are applied to relations between administrators and employees, there may be a further push to apply them to relations between staff and inmates, an unwelcome prospect for most correctional personnel.

The sharp dichotomy suggested here between scientific managers and behaviorists is more apparent than real, since neither side discounts entirely the other's insights and contributions. Moreover, since World War II, the emergence of a third broad school of management thought has further blurred the distinction. The quantitative approach to management and public administration has focused on the potential contributions of mathematics and cybernetics (or computer-based technology), both individually and in conjunction with traditional disciplines such as anthropology, sociology, and psychology, to provide new perspectives on human and organizational behavior and to develop predictive models. Very few of the results of these developments, with the possible exception of computerized management information systems, have yet to be applied in corrections. Indeed, public administration as a whole is struggling to understand and make practical use of the sometimes baffling and complex contributions of the quantitative approach to management.

These broad schools of management have spawned a horde of specific concepts and techniques that have had a tremendous impact on individuals and organizations. Consider, for example, a single concept, management by objectives (MBO), which was conceived in the early 1950s as a process through which middle managers might participate in the establishment of their own goals

and subsequently be evaluated on the basis of their success in meeting those goals. MBO represented an effort to blend different management approaches by establishing a process of scientific measurement of performance that reflected behaviorist discoveries about self-motivation. When this technique for performance measurement was translated into the public sector in the mid and late 1960s, it began to emphasize its scientific elements and sublimate its behaviorist aspects.

One of the problems in managing public agencies is the difficulty of measuring their effectiveness. Public agencies provide services, and those services most often defy meaningful measurement. Thus, when MBO was introduced in public entities, it was seen primarily as a technique for developing specific, measurable goals. Over time, emphasis on these goals and the organization of agency personnel and resources to achieve them transformed MBO into a comprehensive planning process. Within most public agencies committed to MBO, the process requires administrators to quantify specific goals, develop detailed plans for their accomplishment, and adjust those goals in tune with changing circumstances and developments. Only peripherally in the public sector is MBO specifically a performance assessment tool.

MBO, then, whether in industry or government, is a technique or process that is useful in one or another aspect of managing an organization or institution. However, as sometimes happens to simple techniques or tools that incorporate some useful insight about workers or their work, the reach and purpose of MBO have in certain instances been expanded out of all proportion to the valid concept it initially expressed.

Nonetheless, using MBO, managers do learn more about setting measurable goals for their agencies and developing better plans for achieving those goals. Long after MBO terminology is no longer used, its efforts will still be felt. Public administration will be richer for the experience and public administrators, as a group, will be more effective managers. There is, then, an ebb and flow to these techniques, concepts, and developments in management, and administrators recognize and respond to that rhythm. Change, particularly change in management techniques, is not unacceptable in public administration; in most public agencies and institutions, including many correctional ones, it is more common than one might expect.

By virtue of their office, masters in prison suits inevitably are agents of change in the system or institutions within which they operate. Defendants in such cases are faced with an implacable requirement to reform conditions, policies, practices, and procedures to meet court-imposed standards of constitutionality. This requirement, in turn, means that administrators frequently must adjust their planning, staffing, budgeting, direc-

ting, evaluating, and reporting policies and practices. That would be a hard task for many individual administrators; it becomes an extremely difficult task in a massive, traditional institution such as a prison. Masters must be sensitive to these difficulties and helpful in bringing about the required adjustments. Knowledgeable patience and understanding are crucial qualities if a master is to succeed in his or her assigned tasks.

A brief glossary of terms in common usage among correctional managers and an annotated bibliography of works on management and public administration follow. Together, they provide introductory guidance on public administration for masters, particularly those without prior management training or experience.

GLOSSARY OF MANAGEMENT AND PUBLIC ADMINISTRATION TERMS

The following listing includes only a handful of the concepts, principles, and ideas that a master might encounter in the course of dealing with administrative aspects of the case in which he or she serves.*

Gantt charts. A visual planning and management control device developed during World War I by Henry L. Gantt. The chart takes the form of a linear calendar on which future time is spread horizontally and work to be done is indicated vertically. Gantt charts are used to show the relationship between planned performance and actual performance, usually over a time sequence measured in months, weeks, days, or hours. Gantt charts are used widely in corrections and are often a required element in applications for governmental grants and contracts.

Job enrichment. Based on the "motivation-hygiene" or "two-needs" theory of Frederick Herzberg, a psychologist who postulated that job satisfaction was determined by positive elements ("motivators") relating to personal growth and self-fulfillment or negative elements ("hygiene factors"), including such factors as salary and working conditions. The elements producing job satisfaction are distinct from those leading to job dissatisfaction, and the opposite of job satisfaction is the total absence of satisfaction, not simply dissatisfaction. The "motivators," according to Herzberg, have much greater impact in sustaining satisfaction than the "hygiene factors" have on preventing dissatisfaction. Job enrichment, then, seeks to maximize for individual workers an internalized motivation to work -- which is the true source of job satisfaction, since workers are not motivated by external inducements or "hygiene factors" such as rewards, privileges, punishment, or improvements in the working environment. Herzberg's theories suggest that there are serious limits to what management can accomplish in the motivation of employees through economic incentives.

Management by objectives (MBO). A planning and management process that sets specific targets or goals to achieve greater efficiency and provides both organizational motivation and an incentive for managers. Factors obstructing accomplishment of the set objectives are identified, and actions are undertaken to overcome them. Results are appraised periodically and new targets or goals set where necessary. Peter Drucker, a well-

*For some of the technical aspects included in these definitions, the author is indebted to Carl Heyel (Ed.), The Encyclopedia of Management, Second Edition (Van Nostrand Reinhold Co., New York: 1973).

known American management theorist, developed MBO, which was adopted by many correctional administrators in the 1970s.

Management information systems (MIS). A process for collecting, organizing, and presenting data that facilitates management functions. Such systems rely heavily on sophisticated technical equipment such as computers, data transmission systems, and microfilm/fiche. Fundamental to the development of MIS is the emerging importance of information and data as essential ingredients for planning, controlling, and evaluating organizational operations. As a result of Law Enforcement Assistance Administration funding, computerized information systems have been widely implemented among criminal justice agencies, including many correctional systems.

Maslow's basic needs. A hierarchy of human needs identified in 1943 by psychologist A. H. Maslow and defined as key to the motivation of people in the workplace. Those needs in ascending order are 1) physiological needs (e.g., food, sexual gratification, shelter); 2) safety needs (e.g., job security, insurance); 3) social needs (e.g., love and affection, companionship); 4) esteem needs (e.g., recognition, attention, appreciation); and 5) self-actualization needs (e.g., attaining all that an individual is capable of achieving). Each need does not have to be entirely satisfied before the next emerges, and most people are partially satisfied simultaneously in all of their basic needs. One consequence of Maslow's theory is that gratification becomes as important a concept in motivation as deprivation; a satisfied want is no longer a want at all. The theory also has implications for leadership and leadership styles.

Organization theory. An attempt to explain and predict human behavior in organizations by integrating ideas and research methods from a variety of disciplines including psychology, sociology, anthropology, applied mathematics, and economics. It utilizes research tools such as small group experimental laboratories, computer simulations, mathematical models, and field studies and experimentation to develop theories that will understand and eventually influence organizational behavior.

Planning-programming-budgeting system (PPBS). A management and budgetary decision-making technique organized according to the products or services ("output") of a particular agency or organization, rather than by maximum allowable limits of personnel and resources, the "input" factors that traditionally have determined agency budgets. Introduced in government by former Secretary of Defense Robert McNamara in the early 1960s, the distinguishing characteristic of PPBS is that its programming is not tied to the annual or biennial legislative budget cycle, but extends far enough into the future to project all financial and other resources necessary for realization of programs. With its focus on agency products and services, PPBS, or program bud-

getting as it is generally known in corrections, is a welcome departure from "line item" budgeting, which requires the fixed identification of every expenditure and employee limits and sometimes even prohibits deviation from line allocations without specific approval. While most county and municipal jails use a line-item budget, many state correctional systems have adopted some form of program budgeting. Some systems have adopted (and already abandoned) zero-based budgeting (discussed below).

Scientific management. The application of scientific methods of research to problems interfering with managerial objectives and industrial efficiency. Every possible method of performing work is analyzed carefully, and the best elements of all these methods are combined to form a new, "one best" method. Once the best methods are identified and adopted, scientific management requires that workers be trained in the resulting methods and offered incentives to use them. Credit for coining the phrase "scientific management" is given to Louis D. Brandeis.

Sensitivity training. An intensive training experience, usually residential and extending over a number of days, in which the participants learn to behave more effectively in interpersonal relationships by observing and analyzing their own behavior as they struggle within the training situation to create a productive work group and help each other to learn and to change. The trainees thus examine, analyze, learn from, and eventually generalize from their own experiences. Since the late 1940s, the National Training Laboratories have promoted this training, known variously as "T-Group" or "Laboratory" training, which reached a peak of popularity in the mid 1970s.

Theory X. A theory characterized as the traditional approach to employee direction and control, that emphasizes fear and punishment and is based on the assumption that the average person will avoid work if possible, needs constant control and coercion, and has no ambition. Application of the theory leads to restrictive and harsh discipline and close managerial control. By and large, correctional institutions and systems rely heavily on Theory X, which was first articulated by Douglas McGregor in 1960 and served as a contrasting benchmark for Theory Y.

Theory Y. A basically participatory approach to managerial control that assumes that physical and mental effort are natural; control and threats are not needed to get people to work; self-satisfaction is an important factor in work motivation; people can learn to undertake responsibility; ingenuity is a widely distributed quality in people; and, in the prevailing conditions of the working place, human potential is only partly utilized.

Theory Z. A theory that suggests that the characteristics of Japanese organizations, including lifetime employment, low promotion, non-specialized career paths, internalized control

mechanisms, collective decision-making, and responsibility and "wholistic" concern for employees (i.e., their social wellbeing as well as their professional careers), coalesce to create an atmosphere in which trust, subtlety, and intimacy predominate. The theory then postulates a series of steps that an organization can undertake to transform itself into a Theory Z entity.

Zero-based budgeting. A concept that seeks to combine the setting of organizational objectives, planning, and budgeting in a comprehensive process that rejects the incremental approach to annual budgeting and requires instead that an agency justify the effectiveness of and continued need for each specific program it maintains. Developed by the U.S. Department of Agriculture in the early 1960s, it was promoted by former President Jimmy Carter in his 1976 campaign. A number of correctional systems adopted a zero-based budget in the late 1970s with mixed results. The process is complex and requires considerable understanding of its purposes and operations.

BIBLIOGRAPHY ON MANAGEMENT
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The following annotated bibliography was selected and prepared for masters by J. Michael Keating, Jr. It consists of a mixture of classics, modern commentaries, and a number of readily available paperback books.

Chris Argyris, Management and Organizational Development, (McGraw-Hill, New York: 1971)

Argyris takes McGregor's Theory X and Theory Y and applies them to organizational life. The volume is full of examples, is short, and is easy to read. Argyris is the nation's foremost authority on organizational theory and development.

Chester I. Barnard, The Functions of the Executive, (Harvard University Press, Cambridge, Mass.: 1933 and 1968)

This is a management classic. Barnard, a prodigy and maverick (he left Harvard after three years as a student out of sheer boredom), spent nearly 40 years with AT&T and became president of the New Jersey Bell Telephone Co. His book, available in paperback, is an attempt to integrate traditional and behavioral schools of management in an early assessment of the impact of organizations on the people who work in and lead them.

Warren G. Bennis and Philip E. Slater, The Temporary Society (Harper & Row, New York: 1968)

Bennis and Slater are both articulate reporters of contemporary management thought, as well as provocative thinkers and competent writers. This slim volume, available in paperback, gives some flavor of contemporary issues in management, especially Bennis' Chapter 3, "Beyond Bureaucracy."

George E. Berkley, The Administrative Revolution: Notes on the Passing of Organization Man (Prentice-Hall, Englewood Cliffs, N.J.: 1971)

Readable, reasonably light survey of public administration, available in paperback.

Kenneth E. Boulding, Conflict and Defense: A General Theory (1963); The Organizational Revolution (1953); A Primer on Social Dynamics (1970) (Harper & Row, New York)

Boulding is a giant among American intellectuals and has done more to integrate a variety of disciplines in thinking and talking about organizations than just about anyone else. His works bring together economics, sociology, philosophy, mathematics, cybernetics, and psychology to weave an understandable and always stimulating view of our institutions and times.

Anthony Downs, Inside Bureaucracy (Little, Brown & Co., Boston: 1967)

This is a wonderful, irreverent analysis of modern bureaucracy complete with the formulation of principles and observations, some of which are clearly relevant to masters, e.g., "Any increase in the number of persons monitoring a given bureau will normally evoke an even larger increase in the number of bureau members assigned to deal with the monitors." This volume, available in paperback, is eminently readable.

Peter F. Drucker, The Practice of Management (1954); The Effective Executive (1967); The Age of Discontinuity (1968); The End of Economic Man (1973); Managing in Turbulent Times (1980); Toward the Next Economics and Other Essays (1981); The Changing World of the Executive (1982) (Harper & Row, New York)

Drucker is prolific, controversial, erudite, and an exceptional writer. All of his works are filled with literary, artistic, and historical allusions and analogies that are invariably apt and thought-provoking. His more recent books have tended toward flabbiness as they consist primarily of reprints of his Wall Street Journal commentaries and magazine articles, but his early work, such as The Age of Discontinuity (available in paperback) and The Effective Executive, are major contributions to an understanding of organizations and their management.

Harold D. Koontz and Cyril J. O'Donnell, Principles of Management (McGraw-Hill, New York: 1959)

This is the standard management text, emphasizing traditional or scientific management techniques and theories. It is like reading pharmaceutical labels, but it also is the prime source for management practices prevalent in corrections today.

Harold F. Leavitt, William R. Dill, and Henry B. Eyring, The Organizational World (Harcourt Brace Jovanovich, New York: 1973)

This provides a simple review of post-World War II developments in the study of organizations; available in paperback. Professor Leavitt of Stanford is a leading scholar of organizational life.

Douglas McGregor, The Human Side of Enterprise (1960); The Professional Manager (1967) (McGraw-Hill, New York)

The first volume contains McGregor's formulation of Theory X and Theory Y, while the second applies them in a variety of contexts and discusses problems associated with their application. Both are relatively short and only moderately taxing; the latter benefited from the editing of Warren G. Bennis, one of the few good writers in the field of management.

William G. Ouchi, Theory Z: How American Business Can Meet the Japanese Challenge (Avon Books, New York: 1981)

The hot best-seller that unlocks the secrets of Japanese business success and shows Americans how to convert their sluggish organizations into caring, compassionate, and effective institutions. Available in paperback.

C. Northcote Parkinson, Parkinson's Law and Other Studies in Administration (Houghton Mifflin, Boston: 1957)

Parkinson's observations are as valid today as when they were first committed to print. Masters are in a particularly apt position to confirm this fact and should relish Professor Parkinson's witty wisdom. Available in paperback.

Peter A. Pyhrr, Zero Base Budgeting (John Wiley & Sons, New York: 1973)

This is the classic text on ZBB emerging from the author's experience with Texas Instruments.

James C. Thompson, Rolling Thunder: Understanding Policy and Program Failure (University of North Carolina Press, Chapel Hill, N.C.: 1980)

Chapter 5 of this volume contains an excellent and concise review of the philosophical and historical development of modern theories of public administration.

Richard E. Walton, Interpersonal Peacemaking: Confrontations and Third-Party Consultation (Addison-Wesley Publishing Company, Reading, Mass.: 1969)

This is one of a series of paperback volumes on "organizational development," edited by Warren Bennis, among others. It gives some insight into the actual operations of a practicing "change agent" within organizational development theory. It also goes far in explaining why the use of change agents to reshape organizations is declining. Compared to most full-blown change agent stints, masterclasses are fleeting interludes.

Max Weber, The Protestant Ethic and the Spirit of Capitalism (Charles Scribner's Sons, New York: 1958)

Max Weber is the acknowledged source of much of modern thought about bureaucracy and bureaucrats, but he is not easy to read. This work, which may be his most readable and entertaining, is included for those who would like to encounter Weber directly but relatively painlessly. Available in paperback.

Aaron Wildavsky and Jeffrey Pressman, Implementation (University of California Press, Berkeley, California: 1979)

This should be required reading for masters. It is a case study of the difficulties of executing seemingly simple policies in the complex, modern bureaucratic world.

Daniel A. Wren, The Evolution of Management Thought (Ronald Press, New York: 1972)

This is a somewhat turgid but complete history of the development of various management theories and schools.

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