
Chapter 8

Managerialism and Performance Management

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1. Managerialism

- The new tools of program evaluation and policy analysis, with quantitative precision, called into question the efficacy and utility of long-standing public programs-especially those having to do with social services and education. (p.314)
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- New budgeting techniques-from **PPBS** to **zero-based budgeting**-meant that political executives and legislators could better see, if not better control, where money was spent.
 - The traditional management focus was expanded to include greater emphasis on strategic planning, and **internal control** and ethical responsibility. (p.314)
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- Nevertheless, in spite of all these advances in the art and science of public administration, the 1980s became a period of decline in the public service-declining budgets, declining productivity, declining quality of services, and the declining reputation of the public service itself. In response a new doctrine-managerialism-would emerge and ride, if not to the rescue, then at least into the fray.
(p.315)
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- Managerialism as a term has long been used by sociologists as referring to the economic and bureaucratic elites that run an industrial society. (p.315)
 - In the 1980s managerialism, now a well-established sociological “ism,” took on new connotations. (p.315)
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- When Margaret Thatcher began her 11-year stint as British prime minister in 1979, she immediately sought to refocus the civil service from policy toward management. Thus she tried to force the bureaucracy to be transformed). (p.315)
 - Managerialism, entrepreneurial management that goes beyond participative management to unleash the creative abilities of public managers at all levels, became the prevailing public sector doctrine. As a philosophy of continuous reform, it seeks to prevent an organization from ever degenerating into incompetence. (p.315)
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- Paradoxically, managerialism is also a retreat from participative management in that it romantically assumes that a managerial elite can radically change and control the direction, culture, and purpose of organizations. the romance of managerialism would not be possible if there were not heroes to romanticize. (p.315)
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1.1 A New Managerial Revolution

- The core theme of managerialism is management rights-giving managers enough room to maneuver so that they can accomplish their goals. This additional managerial room is necessarily taken from the **rank and file**. (p.316)
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- Thus managerialism is quite comfortable with authoritarian management styles and a new version of scientific management-except the search for the “one best way” has been updated to the constant installation of the latest in behavioral and mechanistic technologies. (p.316)
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- In an effort to gain maximum control of personnel costs, and minimal problems with introducing labor-saving technologies, managerialism seeks to contract out to the private sector as much of the public's business as it can. The techniques of administrative improvement advocated by managerialism, such as management audits and program evaluations, are comparatively old. (p.316)
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1.2 Policy Entrepreneurs

- Modern public managers are expected to be policy entrepreneurs who forcefully develop, argue for, and yes, sell creative solutions to vexing problems. Current thinking calls for the most aggressive actions on the part of administrators to fight the never-ending threats of waste, fraud, and **abuse**. (p.316)
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- These modern crusaders go into the administrative battles shouting their slogans in the same manner that the French revolutionaries of 1789 chanted, “Liberty, Equality, Fraternity.”
 - But today’s administrative chant, also of French etymological origin, is reengineering, empowerment, and entrepreneurialism.
(p.316)
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- The current horde of administrative revolutionaries preach as if they are the first to ever see the light of divine bureaucratic guidance. (p.316)
 - In a parallel sense, every revolution in management thinking and dogma leaves in its wake only the slime of a new vocabulary. (p.317)
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2. Reengineering

- Traditional reorganization calls for changes in the administrative structure or formal procedures of government that do not require fundamental constitutional change or the creation of new bodies not previously established by the legislature. (p.317)
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- Many reorganizations are undertaken for the purposes of departmental consolidation, executive office expansion, budgetary reform, and personnel administration - primarily to promote bureaucratic responsiveness to central executive control and, second, to simplify or professionalize administrative affairs. (p.317)
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2.1 Radical as Opposed to Incremental Change

- The “message” of reengineering is that all large organizations must undertake a radical reinvention of what they do, how they do it, and how they are structured. (p.317)
 - More formally, reengineering is the “fundamental rethinking and radical redesign of business processes to achieve dramatic improvements in critical, contemporary measures of performance, such as cost, quality, service, and speed.” (p.317)
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- Thus reengineering is the search for new models for organizing work. (p.317)
 - Reengineering takes reorganization beyond its traditional focus by seeking to totally rethink and refocus how programs are managed and to take maximum advantage of new technology - especially computers.
 - Laudable intentions, indeed! But neither reorganization nor reengineering happens in a political vacuum. (p.317)
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2.2 Becoming a Reengineer

- Reengineering is as much a mental discipline and a philosophy as it is a process. The reengineer's primary skill is an ability to look at things such as work processes and organizational structures with new eyes.
 - Reengineering is a radical change strategy, not an incremental "grass-roots" employee involvement approach. Reengineering literally means what its name implies. (p.318)
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- While there are various paths to reengineering, they all usually include the following three steps:
 1. **Process mapping:** the flowcharting of how an organization presently delivers its services and products as a process. This emphasis on process is why reengineering is often called “process reengineering.”
(p.318)
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2. **Customer assessments:** The evaluation of the organization's customers' needs, both presently and in the future, by means of **focus groups**, surveys, and meetings with consumers of the organization's products and services.
 3. **Process visioning:** A total rethinking of how the work processes ought to function, keeping in mind the latest available technology. (p.318,319)
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3. Empowerment

- This kind of power is less formally given than informally earned - often by empowering others. Thus the paradox that managers can often make themselves more powerful by giving power away.
 - By empowering others, leaders actually acquire more “productive power” –the power truly needed to accomplish organizational goals. (p.320)
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- Managers who cannot delegate, who will not trust or empower subordinates, become less and less powerful, and correspondingly more and more incompetent, as they increasingly seek to hoard power.
 - Remember power, much as with money - a variant of power - is like manure: you have to spread it around for it to do any good.
(p.320)
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3.1 Empowering Teams

- Virtually all of the “new” approaches to management that are being advocated - the attempts to find solutions to the “productivity problem” - have blended traditional management methods with new forms of employee involvement and participative management. (p.320)
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- For the past two decades, we have witnessed a never-ending series of “new” management approaches, particularly approaches that emphasize organizational flexibility through the development and empowerment of individuals and work groups. (p.320)
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- All of these team-based approaches assume that groups provide individuals with opportunities for personal and professional growth and self-expression and job satisfaction.
 - They also assume that these opportunities cannot become available to workers in traditional hierarchical organizations.
(p.320,321)
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- Groups provide structure and discipline for individuals at work. Therefore, organizations that permit empowerment do not need multiple levels of supervisors to coordinate, control, and monitor production. (p.321)
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4. Entrepreneurialism

- The last and potentially most powerful element of the revolutionary credo is entrepreneurialism. This calls for managers to be transformational leaders who strive to change organizational culture. Each must develop a new vision for the organization - and then convert that vision into reality.
(p.321)
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- Entrepreneurial vision cannot and should not be limited to the top. At every organizational level managers need vision and dreams, need the ability to assess the situation and plan for a better future. Those who cannot do this, who cannot visualize and plan for change, are by definition incompetent.
 - After all, organizations that do not change must eventually die - even in the public sector.
(p.321)
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- Too many organizations become infatuated with every new management fad and slick-talking consultant that come along. They buy books for their managers, send them to training programs, and then expect them to manage by **MBO**, **OD**, **ZBB**, **QC**, **TQM**, and a host of other acronyms submerged in a bowl of alphabet soup. (p.322)
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- But be careful of swallowing any of this soup whole. Both you and your organization could get a bad case of indigestion because management philosophy taken to extremes is one of the leading causes of incompetence.
(p.322)
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- Unfortunately, competence and incompetence are two sides of the same trick coin. It is a trick coin because there is no common agreement on which side wins - no universal agreement on what constitutes either competence or incompetence. (p.322)
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4.1 Toward a Competitive Public Administration

- The great flaw in managerialism is the logic by which it approaches reform. The problem is not so much the fine people who populate the public service but the systems under which they must work. Just bring in hardheaded managers, presumably with considerable private sector experience, and they will whip things into shape in no time.
(p.323)
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- While it is always true that public service operations can be improved, it does not necessarily follow that the wholesale adoption of private sector tactics will do the job. What the would-be reformers so often forget is that government operations are not inefficient because stupid people work there. (p.323)

- 預習案例一：如何確保文官不落伍？
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- They are inefficient because they have been designed by the legislature to reflect the competing interests of patronage, representativeness, and due process.
 - Efficiency has to take its turn with these other factors. And no upstart executive most recently from some hotshot corporation is going to push these other factors out of line - because they are just as much a part of the agency's legal mandate as efficiency. (p.323)
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- This is why the managerialist impulse initially rode into town on the back of conservative or right-of-center governments such as the Reagan (U.S.) and Thatcher (U.K.) administrations of the 1980s. They both talked a better managerial game than they played. (p.323)
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- The myriad managerialist initiatives have been favorably received by the public because of the general antipathy toward “the bureaucracy,” the increasing reluctance of citizens to pay more taxes, the widespread belief (which is often erroneous) that privatization will cost the public less, and the fact that reform of whatever like is often good politics. (p.323,324)
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- Practically all the managerialists' goals can be achieved by what has come to be known as **competitive public administration**.
 - Various **voucher systems** allow this same strategy to be applied to public education and housing-even fee meals for the homeless.
(p.324)
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- This Darwinian atmosphere of the “survival of the cheapest” is indeed introducing private sector discipline, strengthening political control, trimming budgets, and curtailing unionism and professionalism. (p.324)
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- What was once right wing is now mainstream. In the United States this is often referred to as the “reinventing government” movement after the book of that same title by David Osborne and Ted Gaebler. (p.324)
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4.2 The New Public Management

- As a doctrine, managerialism continues to evolve, its essence having been distilled under the label “the new public management,” (NPM) which, according to Christopher Pollitt, has four main aspects:
 1. A much bolder and larger-scale use of market-like mechanisms for those parts of the public sector that could not be transferred directly into private ownership (quasi-markets) (p.324)
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2. Intensified organizational and spatial decentralization of the management and production of services
 3. A constant rhetorical emphasis on the need to improve service “quality”
 4. An equally relentless insistence that greater attention be given to the wishes of the individual service user/ “consumer” (p.325)
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- The new public management is ambitious. It is far more ambitious than the traditional management aspects of public administration (which can be called the “old” public management), and, according to Owen Hughes in *Public Management and Administration*, it is a “new paradigm” that heralds a major change in the role of government in society. (p.325)
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- Like any good paradigm, it seeks to replace the earlier model of public administration because that model “has been discredited theoretically and practically.” While one can admire Hughes’s intensity of feeling, it is difficult not to figuratively shout, “Don’t throw out the baby with the bathwater!” (p.325)
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- Will these new principles “solve the major problems we experience with bureaucratic government,” as their authors intend? To find out, stay tuned to another exciting chapter in the history of public administration! There is no official “new public management.” No government has formally sanctioned a group of practices with that title. (p.326)
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- It was a disparate movement, with each reform group targeting a level of government, a particular policy, and so on. Common beliefs were that good government was possible and that “the cure for democracy is more democracy.” (p.326)
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- Doctrines come and doctrines go, but public administration is always and inherently progressive. Managerialism, the new public management, and the reinventing government movements are just the latest landmarks on the yellow brick road of progressivism. (p.326)
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- But all this new stuff is just the reaffirmation of the progressive doctrine. There can be no end to the doctrine of public administration; there is only continuous doctrinal reform.
(p.326)

- 預習案例 2:營建署：改革年底上路 快速通關
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5. What is Performance Management

- Performance management is what leaders do, it is the primary responsibility of an organizational leader. It is the systematic integration of an organization's efforts to achieve its objectives. What makes performance management different from mere management is this emphasis on systematic integration. (p.326)
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- Thus it includes the comprehensive control, audit, and evaluation of all aspects of organizational performance. The components of performance management are long-established management tools that encompass most of the other senses in which the term performance is used in the language of public sector management. (p.326)
 - These components include:
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1. The specification of clear and measurable organizational objectives (i.e., management by objectives), which is the essence of strategic management (discussed in Chapter 9); (p.326)
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2. The systematic use of performance indicators, measures of organizational performance, to assess organizational output (this is closely linked to concepts of performance standards to allow the performance measured in one organization to be compared with industry averages, **best practice**, and benchmarking-the systematic comparison of performance between or among organizations);
(p.326,327)
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3. The application of the performance appraisal of individual employees to assist in harmonizing their efforts and focusing them toward organizational objectives;
 4. The use of performance incentives, such as **performance pay** to reward exceptional personal efforts toward organizational goals;
(p.327)
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5. The linking of human and financial resource allocation to an annual management or budget cycle; and
 6. Regular review at the end of each planning cycle of the extent to which goals have been achieved and the reasons for performance that is better or worse than planned. This creates the feedback that helps start the cycle anew. (p.327)
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5.1 The Politics of Performance Management

- In the public sector, plans often begin out of political necessity. The citizens literally vote for the plans espoused by elected political executives in their campaign promise. (p.327)
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- The most comprehensive adoption of performance management by the U.S. government to date has been the Government Performance and Results Act (GPRA) of 1993 - sometimes known as just the “Results Act.” (p.328)
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- This legislation is a typical performance management system in that it seeks to link resource allocations and results; improve program performance; provide better information for congressional policymaking; force agencies to specify their missions, objectives, and strategies; and require them to advise Congress on just how they've gone about this. (p.328)
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5.2 Management Control

- Management information and **control** systems are instituted in public agencies for two primary reasons:
 - (1) To allow administrators to find out what is going on in an organization (and in the environment as the result of an agency's activities) and thereby to manage the activities of others, and
 - (2) To respond to the need to report (to be accountable) to external groups. (p.328)
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- The more an organization's stakeholders-the people affected directly or indirectly by the organization's activities-work toward their own separate goals, as opposed to the "official" goals of the organization, the more incompetent the organization must necessarily become. (p.328)
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6. Productivity Improvement

- Productivity is a measured relationship between the quantity (and quality) of results produced and the quantity of resources required for the production of goods or services. Productivity is, in essence, a measure of the work efficiency of an individual, a work unit, or a whole organization. (p.329)
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6.1 Productivity Measurement

- Measuring the productivity of any jurisdiction, organization, program, or individual is particularly problematic in the public sector because of the problem of defining outputs and of quantifying measures of efficiency, effectiveness, and impact. (p.329)
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- Organizations that provide public services often have multiple and sometimes intangible outputs. In evaluating efficiency, selecting from among the many possible input/output ratios is troublesome. A considerable danger exists in selecting only certain input and output variables because a single efficiency measure may be, in truth, a meaningless or oversimplified measure of performance.
(p.329)
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- Another way of stating this problem is that from the variety of available productivity measures, those selected must differentiate between intermediate outputs (outputs used by other members of the organization) and final outputs (those absorbed by the outside environment) and between staff and line functions (some individuals/units perform support functions whose impact can be assessed only in terms of increased performance of line departments. (p.329)
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- Thus it is easy to measure and even improve government productivity when factory-like operations lend themselves to engineered **work measurement standards**.
 - But service workers such as police officers, social workers, and grade school guidance counselors do not always create a product that is directly measurable except by broad **social indicators**. (p.329,330)
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6.2 Barriers to Productivity Improvement

- The barriers to increased public employee productivity are legion. They can often appear insurmountable: cumbersome and rigid civil service procedural rules that prevent management from reallocating and reorganizing work; (p.330)
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- a public personnel management approach that has created endless, cumbersome, inflexible systems of position descriptions, job classifications, testing, and equal employment opportunity and affirmative action requirements, which in combination have resulted in what Wallace Sayre called a “triumph of techniques over purpose”;
(p.330)
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- The public sector productivity problem also ties directly into the privatization debate. Again, there are assumptions about inferior public sector versus private sector productivity rates. (p.330)
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- The simple truth remains that the burden is on public sector organizations to demonstrate that they are not inferior in terms of their productivity. This is doubly difficult because productivity in the public sector frequently involves multiple client groups and conflicting objectives and priorities.
 - In comparison, private sector counterparts like to make single horizontal comparisons and to stack one set of products or services against another. (p.330)
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- Public sector organizations can certainly be faulted for not being willing to do productivity measurements, but one should be clear about both the context and reasons for that unwillingness. (p.330)
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6.3 Total Quality Management

- In turn, Armand V. Feigenbaum followed Juran with “total quality control” (TQC), a management approach that required all employees to participate in quality improvement activities—from the chair of the board to hourly workers. (p.331)
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3. Cease dependence on mass inspections. (Quality must be built in; defects must be prevented rather than detected.)
 7. Adopt and institute leadership. (Managers must lead, not supervise.)
 9. Break down barriers between staff areas. (Work in organizations is inherently teamwork.)
 10. Eliminate slogans, exhortations, and targets for the workforce. (Problems are caused by the system, not by individuals. Posters and slogans tend to create resentment.) (p.332)
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11. Eliminate numerical quotas for the workforce and numerical goals for people in management. (Production quotas yield defective products; replace work standards with intelligent leadership.)
 12. Remove barriers that rob people of pride of workmanship. (The individual performance appraisal is a barrier, not an aid, to productivity.) (p.333)
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13. Encourage education and self-improvement for everyone. (Education never ends-for anybody at any level of the organization.)
 14. Take action to accomplish the transformation. (Both top management and employee commitment is essential.) (p.333)
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6.4 It's the Customer, Stupid!

- Bill Clinton's 1992 presidential campaign headquarters had what became a famous sign on its wall: "It's the economy, stupid!" This was designed to keep the campaign focused. Similarly, all public managers might well keep a sign on their walls that reads "It's the customer, stupid!" The customer is government's new focus. And governments at all levels would be "stupid" to forget it.
(p.333)
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- A customer service orientation is inherently part of the workplace quality movement. And, in line with TQM theory, it means not just good service in the present but a constant striving for continuously better service. The 1993 National Performance Review listed the following eight principles to govern the provision of customer service:
(p.333,334)
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1. Survey customers frequently to find out what kind and quality of services they want.
 2. Post standards and results measured against them.
 3. Benchmark performance against “the best in business.”
 4. Provide choices in both source of service and delivery means.

(p.334)

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5. Make information, services, and complaint systems easily accessible.
 6. Handle inquiries and deliver services with courtesy.
 7. Provide pleasant surroundings for customers.
 8. Provide redress for poor services.

(p.334)

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- You may well snicker at standard number 3- especially if you have gone to any big-city post office at lunch time. But at least now there is a standard about which you can complain. A standard violated is better than no standard at all. Besides, most people are happy with their mail service.
 - According to a U.S. News/CNN poll reported in U.S. New World Report on March 13, 1995, eight out of nine Americans are basically satisfied with their mail services. (p.334)
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7. E-Government

- Not surprisingly, public administrators have embraced technology to improve their performance in delivering services to citizens.
(p.335)



7.1 From E-Commerce to E-Government

- E-commerce has arrived. The simple proof of this is that you can now buy almost anything over the Web-from automobiles to zippers. (p.335)
 - Another major aspect of e-commerce is the ease with which the Internet facilitates conveying information to customers about their accounts. (p.336)
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- Government cannot “bet the firm” on a new technology because, quite literally, it wouldn’t be prudent. Therefore, in terms of customer service, government will always tend to offer older technologies because they must wait until the newest technologies have proven themselves. (p.336)
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- Only then can a “prudent” public manager pay for and install them. This is why e-government is much later in arriving than e-commerce. So the answer to the question “Why don’t they?” is “They will-it just takes a bit longer to institutionalize innovations in government.” (p.336)
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7.2 The Two Faces of E-Government

- There are two faces to e-government: internal and external. The internal face refers to the operations of government itself-for example, using the Web for electronic procurement, electronic forms, and Web-based management information systems. (p.336)
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- The external face refers to the online service offered to citizens and businesses-for example, community calendars, bill payment portals, and application forms for employment. While there are two distinct faces to e-government, they seldom represent independent initiatives. (p.336)
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- *E-government*, then, is in essence the overarching term for all efforts to use the Internet to simplify governmental activities for both the public and the public's employees.
(p.336)
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7.3 Wired Citizens

- Some of the connections enabled by the development of the Internet were fairly straightforward, with government Web sites providing information on meeting, services, and procedures. But as time has gone by the government's use of the Internet has grown to include much more interactive uses.
(p.336,337)
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- Public administrators have begun to employ technologies that allow citizens to lodge complaints, pay fees, request services, and submit applications in electronic formats.
(p.337)
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7.4 One-Stop Government

- The utilization of general technologies such as the Internet and e-mail have opened the door for more integrated technological efforts to connect citizens and government. But how can all the technology be brought together in a way that allows citizens to get what they need from government? (p.337)
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- For many, the answer to this question lies in the idea of one-stop government. One-stop government refers to an integration of public services from the point of view of the citizens of the community. (p.337)
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7.5 Technology and Government Productivity

- For public administrators budget constraints are a part of daily life. With elected officials opposing tax increases but still demanding excellent government services, there is constant pressure on public administrators to do more with less. (p.338)
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- Under these constraints government employees have often turned to technological fixes in order to maintain the quality of services without increased revenue generation. (p.338)
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