

THE PUBLIC SERVICE HERITAGE

People, Process, and Purpose

After studying this chapter, you should be able to:

- Understand the changing structure, environment, key principles, and operating characteristics of public human resource management;
- Distinguish the various tides of reform that are part of the public service heritage;
- Identify the paradoxes and contradictions in public service history;
- Recognize how legacies from the past affect human resource management in the present;
- Assess the contributions of recent reforms to effective management;
- Show how values influence managers in addressing human resource issues; and
- Describe ethical judgments required in human resource management and use guiding questions to make such decisions.

When government has the right people, and the right system, and the right intentions, many good things are possible. The trick is knowing which ones they are.

—Alan Ehrenhalt

Concern about good government has deep roots in the United States. It has long been recognized that for government to be effective, good people must be hired, trained, and rewarded. There is also a well-established tradition that a properly designed system for managing people is critical to good government. Indeed, two schools of thought have emerged over time: One argues that breakdown in government performance is an *incompetent people* problem, and the other argues that it is an *evil system* problem (Ehrenhalt, 1998). Others have pointed to an *ethics* problem that demands attention if confidence in government is to be restored (Bowman & West, 2018; Menzel, 2017; Newell, 2015). As the opening quotation suggests, good intentions and the ethical actions that ideally result from them are critical to the creation of a high-performance workplace.

These three things in combination—good people, good systems, and good intentions—are the focus of this chapter. Good people are needed to manage government’s most important resource—its employees. A few work in the human resource department, but the vast majority are line and staff managers. Their abilities are critical to the performance and achievement of public purpose. The system in which these people operate is also crucial to the achievement of results. Managing human resources has taken many forms over time and involves activities such as recruitment, classification, compensation, training, and evaluation. The third component, intentions, encompasses the tasks that the people propose to accomplish and the values guiding the effort. Intentions of employees and managers, informed by individual and organizational values and ethics, guide

their actions for good or ill. Admirable intentions are key to government performance, especially given today's emphasis on citizen service.

This chapter begins by providing a glimpse into a human resource manager's day. Although this textbook focuses on HRM for all managers, it is important to have some insight into the specialists' world of HRM. Then, the discussion moves to the first of the three themes of the chapter: good people. A section identifies some of the broad contemporary challenges of getting and managing the right people, which provides a brief context for the rest of the book. Next are several sections on the second theme: good systems. What are some basic definitions of HRM and related terms? What are the different ways in which human resource support systems are organized? How have such systems changed over time, and what is the philosophical reasoning behind the major waves of changes? Lastly, the third theme is addressed: good intentions. This is covered in two sections. One discusses how all public managers in their human resource capacity must understand and balance four principles. The final section follows up the discussion of the principles by looking specifically at the importance of ethics and its application, moral management, as the mainstay of public service. Throughout, there is no shortage of paradoxes.¹ Knowledge of the public sector heritage provides a foundation for more specialized chapters to follow.

A DAY IN THE LIFE OF MARIA HERNANDEZ

Maria Hernandez is the human resource director of a large southeastern city. She heads a department organized into five divisions—Examinations, Development and Training, Classification, Employee Relations, and Compensation and Benefits. Like most large-city human resource directors, Hernandez faces a thorny set of issues that creates challenges, threats, and opportunities for her and for city government. Her work life is complicated by a rapidly changing workforce, an increasingly cumbersome legal and regulatory environment, declining budgets, heightened citizen complaints, pressures for higher productivity, outsourcing, restive unions, and pending layoffs. In addition, she faces the frequent turnover of political leadership, the increasing impact of technology, and the visible and public way in which government decisions are made. Hernandez earned her MPA degree with a concentration in personnel management more than 20 years ago. She has been working for the city since that time, progressing up the ranks to human resource director, a position she has held for the past 10 years.

After rising at 6:00 A.M., Hernandez is dressed and having morning coffee when she hears the local TV news report an increase in the area's unemployment rate. This development will increase the number of people seeking work with the city, and pending municipal layoffs will add to the unemployment problem. These upcoming layoffs are linked to the city's decision to contract with the private sector for services in two areas: transportation and tree trimming and planting. Many city department heads have contacted her about the best way to deal with the people issues associated with privatization. Several department heads are especially concerned about avoiding litigation that might arise from layoffs.

Hernandez also reads in the newspaper that the mayor is taking a hard line in negotiations with the city's sanitation workers' union by insisting on increases in employee contributions for health and pension benefits and limits on overtime. The union, in turn, is reluctant to endorse the city manager's proposal for productivity improvements and further privatization efforts. Labor unrest among the city's sanitation workers could spill over

and affect other unionized employees who are still at the bargaining table hammering out next year's agreement. Hernandez is meeting later today with the city's negotiating team to get an update and to strategize in hopes of averting a strike. The department heads expect that she will help resolve this problem.

In addition, the newspaper contains a story in the local section detailing some of the facts involved in a lawsuit filed against a city supervisor who has been charged with sexually harassing one of his employees. This is not the first time this particular person has run into difficulties of this type; Hernandez is concerned about the potential fallout from this case. Her office has been conducting mandated online sexual harassment training for a number of years. Although this helps reduce the city's legal exposure (i.e., strict liability), she must still be on top of potentially litigious situations. Her department has been given the responsibility to investigate all sexual harassment complaints even when they do not involve managers (i.e., vicarious liability); she has made it her policy to be informed of any significant complaints.

Hernandez arrives at work at 7:30 A.M., having dropped off her children at school and carpooled to work with fellow city workers. The carpool conversation reveals concerns among dual-career couples with youngsters and the need for on-site child care as well as more flexible working conditions. This is an issue Hernandez has tried to address by proposing to the city manager a set of employee-friendly initiatives. Action on this item has been slow and piecemeal, but many employees and a newly elected city councilperson have been pushing for it. Some administrators have also told her that adoption of the initiatives would make the city more competitive in its recruitment and retention.

Hernandez reviews her day's schedule (see Exhibit 1.1). Many of the topics under consideration can potentially move the city forward and help its employees and managers to be more productive. Although her day is tightly structured around a series of meetings, she tries to set aside a block of time each day to consider the longer-range initiatives

Exhibit 1.1 Maria Hernandez's Monday Schedule

- 8:00: Staff meeting with human resource professionals
- 9:00: Conduct employee orientation for new hires
- 10:00: Meeting with department heads—implementing new performance measurement program
- 11:30: Meeting with assistant city manager, budget officer, and department reps (discuss recruitment plan and increasing personnel costs)
- 12:00: Lunch with legal counsel—review status of pending lawsuits and sexual harassment charge
- 1:45: Meeting with labor negotiating team—update on bargaining issues and impasses
- 2:30: Media briefing—tout elements of employee-friendly policy initiative for city employees
- 4:00: Meeting with university contractors—review design of training program regarding computer network and pension reform
- 5:30: Meeting with administrative assistant—review plans for updating all job descriptions

she is advocating, including a new plan to implement performance measurement in key departments, incentive pay for selected workers, online access to human resource policies and procedures, succession planning in light of pending retirements, and a cafeteria-style employee benefit plan. She also hopes to start a preretirement training program for all employees over age 55, to broaden the description of job classes, and to work with a consultant on pension reform. Nevertheless, human resource issues are sometimes unpredictable, and she knows that she will be interrupted many times as managers and employees ask her opinion on ways to deal with them. When she leaves the office at 6:30 P.M., Hernandez picks up her children at the child care center. After dinner, she reviews two reports on subjects that will occupy her attention at work early the next morning.

Hernandez's day shows the broad range of issues that might be encountered by today's human resource director. These include coping firsthand with worker unrest, labor shortages, productivity and performance measurement, and errant employees. They also involve crafting employee-sensitive policies, dealing with the insecurities of those employees vulnerable to layoffs, and feeling the pressures for greater efficiency. Note how much of Hernandez's time is spent meeting with both executives and line managers. Indeed, today it is critical to realize that much of what HR specialists do is support managers as they carry out HR functions. It is generally managers who must hire, promote, discipline, and fire workers. They have to respond to grievances, evaluate performance, recommend pay rates, approve job reclassifications, and motivate their charges. The constitutional rights of employees must be respected, and officials must be careful not to run afoul of legal requirements (e.g., those dealing with affirmative action, sexual harassment, and age, gender, or handicap status). The challenges faced by HR specialists and managers are discussed next.

SOME CHALLENGES IN GETTING AND MANAGING THE RIGHT PEOPLE

Managers today need to be mindful of important trends in the government environment that affect the context in which personnel decisions are made. The bulleted items below highlight just some of the developments that will have impacts on human resource management for the foreseeable future.

- *Changing workforce.* The workforce is becoming, paradoxically, both grayer and younger. On one hand, as the members of the Baby Boom generation are entering retirement, the average age of many seasoned employees and managers is rising. There is an obvious need for employees who can immediately fill their shoes, but such workforce candidates are often lacking. Demographically, **Generation X** (Gen-X) workers (those born between 1960 and 1980) who will replace them are fewer in number, which has contributed to a graying of the workforce in past decades. On the other hand, the very large cohort of **New Millennials** or Gen-Y (those born between 1977 and 1994) and future Gen-Z (born between 1995 and 2012) workers are the latest job entrants. They are now or will soon experience increasing job opportunities. These new entrants slowly reduce the average age of the workforce. At the same time, many authors have commented on how the career and working styles of Gen-X and New Millennial

Exhibit 1.2 Reasons Young People Choose Public Service

- To make a difference in a wide variety of leadership positions in the nonprofit and for-profit sectors; different branches of local, state, regional, and federal governments; and the international arena
- To become engaged intellectually in the challenges facing their communities
- To establish career and personal development skills that they can use throughout their lives
- To build a better future for the world and to solve big problems
- To create communication links within and between different communities
- To gain a sense of responsibility for others and the causes they care about

Sources: Education Development Center (2002). Service-learning satisfies young people's desire for public service; Light, P. C. (2008). A government ill executed: The decline of the federal service and how to reverse it. Cambridge, MA: Harvard University Press.

workers are different from those of Baby Boomers and the members of other preceding generations: Members of the newer generations are more likely than their predecessors to change careers and sectors often, demonstrate less loyalty to their employers, be comfortable with new technology, be independent, be comfortable working on multiple projects, and seek balance between their work and personal lives (Hannon & Yordi, 2011; Lohmann, 2016; Marston, 2007; Sauser & Sims, 2012; Van Der Wal, 2017; West, 2012; WJSchroer, n.d.). Succession planning and creative recruitment strategies are crucial. Exhibit 1.2 lists some reasons young people choose public service work. Beyond these factors, the workforce is also increasingly composed of women and minorities (Condrey, 2010; Guy & Newman, 2010; Kellough, 2009).

- *Declining confidence in government.* With the exception of a brief spike in 2001 after the terrorist attacks on New York City and Washington, D.C., on September 11, opinion polls since the 1960s have shown steady erosion in confidence and trust in government at all levels. In the early 1960s, six out of 10 Americans claimed to trust the federal government most of the time. By 2017, only two in 10 made that claim (Pew, 2017). While the majority of Americans think that federal spending can and should be deeply cut, there is no agreement on what wasteful spending is or where to reduce it and no commitment to shared sacrifice to lower the national debt (Swanson & Blumenthal, 2013). Although trust in state and local government is higher than that in the federal government, declining confidence is evident at those levels as well. This can erode the morale of the civil service and impede performance. Rebuilding trust is an important challenge facing the public sector at all levels.
- *Declining budgets, leading to increased use of alternative work arrangements.* A combination of tax limitation measures, budget cuts, and political pressures

to curb future expenditures has occurred throughout government. Government policy makers, mindful of the impending exodus of Baby Boomers and attempting to keep costs down, are paying increased attention to alternative work arrangements. One variant, noted by Mastracci and Thompson (2009) and Barr (2005), involves use of the core-ring staffing model, with the core comprising full-time workers in permanent jobs and the ring comprising employees in contingent or alternative arrangements (e.g., contractors, temporary workers, and part-time staff). Paul Light (2017) has estimated that in 2015 for each federal civilian employee there are about 2.6 times as many nonfederal workers via contracts and grants. Exhibit 1.3 provides examples of such a blended workforce in various governmental settings.

- *Rightsizing and downsizing despite population growth.* The size of the federal civilian workforce was 2.1 million in 2017, which was 100,000 fewer than in 1946, 71 years earlier (U.S. Office of Personnel Management, 2014). While the country's population has increased (projected to be 334.5 million by 2020), the relative size of federal civilian employment has not (NAPA, 2017). Moreover, most of the civilian workforce is devoted to defense- and security-related agencies, including the Department of Homeland Security. This reduction has been accomplished through periodic downsizings, which took place in the 1950s and from 1993 to 2007. The most recent downsizing left line managers with additional, burdensome administrative tasks. The combination of federal downsizing, scandal, and the war on waste led Paul Light (1999, 2008) to warn of a looming brain drain and to predict further decreases in government-centered public service with a corresponding increase in multi-sectored service. By contrast, the size of the state and local government workforce has increased, primarily because of population growth. Despite this overall trend, many individual jurisdictions have experienced workforce reductions in specific areas linked to privatization, deregulation, budget or service cuts, and program terminations—trends that are likely to continue well into the future.
- *Demands for productivity gains.* Jurisdictions at all levels are under pressure to improve performance without raising costs. The 2017 Federal Employee Viewpoint Survey of 1,068,151 workers received 486,105 responses. Findings show that nine of 10 employees said they are constantly looking for ways to do their job better, but only 37 percent said that in their work unit, differences in performance are recognized in a meaningful way. Further, less than half (44 percent) of employees believed awards programs offered them incentive to do their best and about the same proportion (42 percent) said steps are taken to deal with a poor performer who cannot or will not improve (U.S. Office of Personnel Management [U.S. OPM], 2017). These and other trends have prompted reform proposals and reengineering initiatives aimed at establishing new approaches to the delivery of goods and services, as discussed later in this and subsequent chapters.
- *Emerging virtual workplaces and virtual government.* With the advent of new information technologies, innovative organizations are replacing some traditional 9-to-5 workplaces with fixed central office locations with more

Exhibit 1.3 Blended Workforces in U.S. Government Settings

Naval Research Lab

The Naval Research Lab has established contractual arrangements that provide for flexibility in the workforce for various special research projects. In this system, the hiring and firing of employees and layoff procedures are left to the contractor; they take place outside the federal personnel system, allowing for quick downsizing if necessary. Other advantages to the system include the ability to evaluate contract workers and hire the best-performing ones for long-term employment. The Naval Research Lab has also taken advantage of part-time work arrangements to create a family-friendly work environment, which has reduced the turnover rate in the workforce. In addition, the lab has created student positions with the goal of transitioning students into permanent employment.

Transportation Security Administration

After the 9/11 attacks—with the need to respond quickly to the requirements of the Aviation and Transportation Security Act of 2001—the Transportation Security Administration pursued flexible policies in hiring and maintaining its workforce. It has taken advantage of

indirect-hire arrangements with contractors that have allowed the agency to use workers for specific purposes when required. The Transportation Security Administration has also made part-time work a priority, with 16 percent of its workforce serving in this role. Part-time work allows the agency to schedule staff when they are most needed, particularly peak flight times in the morning and afternoon, and allows officials to screen for exceptional workers to become permanent full-time employees in the future.

National Aeronautics and Space Administration

NASA has focused extensively on creating flexible arrangements for personnel who seek to use them. The Glenn Research Center, for example, has allowed full-time employees to change to part-time status for health, family, education, or other reasons. It has used term appointments to hire workers for defined periods of time, most particularly for work on special research projects. NASA has also used student employment programs that allow for transition into long-term employment, with 80 percent of students remaining with NASA after program completion.

Sources: Barr, S. (2005, June 8). Government should consider temporary workers, professors say. *The Washington Post*; Thompson, J., & Mastracci, S. (2005). *The blended workforce: Maximizing agility through nonstandard work arrangements*. Washington, DC: IBM Center for the Business of Government.

flexible arrangements (telecommuting, flexi-place). This development alters relationships between employers and employees and raises questions about how human resource professionals give support to the variety of work arrangements in virtual workplaces (Choi, 2018; Dahlstrom, 2013; Kwon & Jeon, 2017; Wadsworth & Facer, 2016; West & Berman, 2001). In addition, virtual workplaces alter the relationship between citizens and government. Numerous federal government initiatives begun in the mid-1990s enable citizen transactions to be conducted electronically. Indeed, the 1998 Government Paperwork Elimination Act states that federal agencies

must allow people the option of submitting information or transacting electronically. These are just a few ways that new information technology can influence the public workplace (discussed further in Chapter 8).

- *Decentralization and increased managerial flexibility.* Typically, administrators at the operational level now have greater flexibility and discretion in the acquisition, development, motivation, and maintenance of human resources. Recent civil service reforms at all levels of government have loosened restrictions and increased managerial discretion over matters of pay, hiring, discipline, and termination. At the federal level, this has been evident in changes attempted at the U.S. Department of Homeland Security (DHS) and the U.S. Department of Defense (DOD); at the state and local levels, it is reflected in New Public Management reforms and the move in some jurisdictions toward at-will employment (Bowman & West, 2007; Klingner, 2009).

The trends described above influence the ways officials carry out their functions. Each trend has important implications for human resource management, and the relevance of each is considered in detail in this book.

SOME BASIC DEFINITIONS

The traditional term **personnel administration** is now used only narrowly, in reference to internal processes—staffing, position management, pay systems, benefits management, training, appraisal and discipline, contract management, and so on—and the efficient application of the rules and procedures of the civil service system. This term connotes a technical approach to these numerous functions that are vital to any organization, often with a relatively sharp divide between the responsibilities of HR specialists and operational managers, which is rare today. The contemporary term **human resource management**, or HRM, embraces a broader focus and has relevance for HR specialists, line managers, and executives. It encompasses all decisions affecting the relationship between the individual and the organization, with an eye to optimizing effectiveness from the view of both. In addition to technical operations, it includes actively seeking to recruit and select the best employees (talent management), adjusting positions to meet evolving needs (job design), blending strategies of pay for optimal compensation policies, providing cost-effective benefits packages that provide maximum value for employees (family-friendly benefits), building on technical training to include employee development, helping employees to improve their own performance, proactively managing employee–employer relations, and tracking organizational accountability and ensuring that health and safety issues are included (Abramson & Gardner, 2002).

When human resource management is most global and long-term in its perspective and includes issues such as workforce planning and overall organizational design issues, it is often called **strategic human resource management (SHRM)**. SHRM “may be regarded as an approach to the management of human resources that provides a strategic framework to support long-term business goals and outcomes. The approach is concerned with longer-term people issues and macro-concerns about structure, quality, culture, values, commitment and matching resources to future need”

(Chartered Institute of Personnel and Development, 2013; for more on SHRM see Lim, Wang, & Lee, 2017; Jacobson & Sowa, 2015). For simplicity, in this text we use the single term *human resource management* to refer to the relevant technical, managerial, and strategic issues. Exhibit 1.4 compares the traditional system and assumptions with the newer, competing system and assumptions.

The term **civil service** refers to the government employees in permanent public service, excluding legislative, judicial, or uniformed military; positions typically are filled based on competitive examinations, and a professional career public service exists with protection against political influence and patronage. While the overwhelming bulk of most managers' attention on personnel issues is related to civil service employees, managers also often need to be familiar with the non-civil service personnel because of contracting out, the use of consultants, and so on.

Exhibit 1.4 Shifting From a Traditional Public Sector System to a System for the 21st Century	
Traditional Public Sector System	Public Service for the 21st Century
Single system in theory; in reality, multiple systems not developed strategically	Recognition of multiple systems, strategic approach to system development, definition and inclusion of core values
Definition of <i>merit</i> that had the outcome of protecting people and equated fairness with sameness	Definition of <i>merit</i> that has the outcome of encouraging better performance and allows differentiation between varied levels of talent
Emphasis on process and rules	Emphasis on performance and results
Hiring/promotion of talent based on technical expertise	Hiring, nurturing, and promotion of talent to the right places
Treatment of personnel as a cost	Treatment of human resources as an asset and an investment
Job for life/lifelong commitment	Inners and outsiders who share core values
Protection justifies tenure	Employee performance and employer need justify retention
Performance appraisal based on individual activities	Performance appraisal based on demonstrated individual contribution to organizational goals
Labor-management relationship based on conflicting goals, antagonistic relationship, and ex post disputes and arbitration on individual cases	Labor-management partnership based on mutual goals of successful organization and employee satisfaction, ex ante involvement in work design
Central agency that fulfilled the personnel function for agencies	Central agency that enables agencies, especially managers, to fulfill the personnel function for themselves

Source: From Ingraham, Selden, and Moynihan, "People and Performance: Challenges for the Future Public Service: The Report From the Wye River Conference," *Public Administration Review*, 60(1), p. 58. © 2000 by John Wiley Sons, Inc. Reprinted by permission of John Wiley & Sons, Inc.

The next section provides some background on the challenges that all managers face in responding to the need to establish and retain a high-quality workforce.

THE STRUCTURE AND ROLE OF HUMAN RESOURCE DEPARTMENTS

Even though the focus of this book is human resource management for nonspecialists, it is helpful to have a little background on the array of institutional structures, functions, and placements of human resource departments. These departments are key staff units in all but the smallest jurisdictions, along with departments of budget, finance, facilities, legal affairs, communications, public relations, and so forth. Human resource offices combine both rule promulgation and rule implementation for some of the most important and visible policies in their organizations. That is, most of the personnel-related actions occurring in an organization follow rules codified under the HR department, frequently requiring its preapproval and often requiring its post-approval sign-off.

When human resource departments provide direct services, which they frequently do, they have supportive and educative roles. When most human resource services are provided by a single department, HR is considered *centralized*. An example might be a single HR department for a small city in which HR does most interviewing except for the most senior jobs. When many human resource services and responsibilities are shared with managers, as is common today, a *devolved model of HR* is in place. There might be a single HR department for an entire city, for instance, but it is the managers who carry out most recruitment, selection, and promotion functions, albeit with guidelines and monitoring by the HR department. Larger organizations or governmental systems frequently have *decentralized* modes of HR in which a central human resource management agency sets policies, and freestanding agencies (or large divisions) have specialized human resource departments or units. To illustrate, the federal government moved to a decentralized model in 1978, with functional responsibilities going to different line agencies. Another example would be a large state agency that has a small HR unit in every division. Under such circumstances, HR may be both decentralized and devolved. On occasion, agencies will have multiple *specialized HR units* responding to the differing needs of employee groups, such as faculty and staff who are handled separately by a department in academic affairs (for hiring and promotion) and the traditional HR department (for all functions except faculty hiring and promotion). Still another possibility is an *outsourced HR model*, which sometimes occurs with service functions such as payroll, training and development, employee assistance programs, and classification studies, to name some of the more prominent areas. These five alternatives are illustrated in Exhibit 1.5.

The various functions discussed in this book may or may not be part of an HR department per se. For example, some jurisdictions still have separate civil service commissions for hiring purposes, labor relations may be done exclusively out of the executive office, training and development may be its own department, payroll may be a part of the finance department, and a variety of organizational policy areas (such as telework programs) may operate under a separate office or authority. See Exhibit 1.6 for an array of places where the functions may be shared or housed. No matter the exact structure

Exhibit 1.5 Placement of HR Specialists in Medium- and Large-Sized Organizations: Five Common Models

Centralized HR Department	Devolved HR Model	Decentralized HR Model	Specialized HR Departments	Outsourced HR
All HR experts are in a centralized unit, and HR does most HR functions, including the hiring of line employees.	A central HR unit does most policy work, but most functional responsibilities are accomplished by line managers and operational units.	The centralized HR department is smaller and more policy oriented; it oversees smaller HR units in different areas of the system.	There is a core HR department, but it is accompanied by specialist HR units for hiring and promotions, such as a unit of academic personnel in universities for faculty.	There is a small centralized HR unit, but many functions are privatized, such as payroll or training.

Exhibit 1.6 Sharing of Common HRM Functions

Common Functions in HR Departments	Function Generally Shared With	Function Sometimes Shared With	Function Sometimes a Separate Unit Under
Employment law	The organization's counsel (lawyer)	Executive oversight officers	
Recruiting	Line managers		Civil service commission
Selection of employees	Line managers		Civil service commission
Position management	Line managers		
Creation of a positive work environment	Line managers		
Compensation	Line managers, separate payroll office		
Benefits		Line managers	
Training and development	Line managers	Units providing in-depth technical training	Sometimes freestanding departments in large organizations
Appraisal	Line managers		
Labor relations	Executive team (bargaining), line managers (grievances)		Frequently a freestanding unit under CEO when numerous bargaining units

and particular set of roles, however, HR functions are the backbone of any organization. Never is this truer than with public sector organizations, in which personnel often make up 80 percent of the budget, and legal and fiduciary obligations to the law and public are extraordinary.

Today, HR services are provided in a variety of ways. Some functions are performed in the same way they were in the 1960s, relying on traditional subfunctions of employment, compensation, and training; others might be organized differently, with a cross-functional HR professional assigned to provide ongoing services to a team or group in a matrix organization. A shared-services model has increased in prominence recently, whereby HR specialists offer services to the organization on an as-required basis, with charges going to the functional area receiving service. Here, the HR department functions as an in-house consulting service. As noted, some or all HR functions are currently being outsourced, either to shared service centers within government or to outside contractors, where it is deemed that others might perform these functions more effectively and economically.

The most common placement of HR departments is right under the chief executive officer, with the human resource director serving in the executive's cabinet. In large organizations, it is not uncommon for HR to be combined with other staff units under an executive director of some sort (e.g., an assistant city manager or deputy mayor). In the smallest agencies, the CEO or an executive officer often doubles as the human resource director. The strategic and executive leadership roles of HR departments vary extensively. In some cases, the department plays a relatively dominant role because of the need for workforce planning, avoidance of litigation, contentious labor relations, and management consultation. Yet in some organizations, HR's strategic policy and planning roles have been absorbed by chief executive offices, budget offices, or legal departments, leaving a more service and consultative role for HR along with frontline enforcement functions.

HISTORICAL AND INSTITUTIONAL CONTEXT

Tides of Reform

A useful framework for considering the history of government reform efforts is provided by Paul Light in his 1997 book *The Tides of Reform*. Light identifies four reform philosophies, each of which has its own goals, implementation efforts, and outcomes: scientific management, war on waste, watchful eye, and liberation management. Although Light's analysis focuses on these four tides as they influence the overall performance of government, we use his framework here to highlight the implications of these four philosophies for human resource management with both federal and local examples.

Scientific Management

The first tide is **scientific management**. Here the focus is on hierarchy, microdivision of labor, specialization, and well-defined chains of command. This philosophy, usually associated with Frederick Taylor, is particularly manifest in the bureaucratic organizational form, with its emphasis on structure, rules, and search for "the one best way." Technical experts in this environment apply the *scientific* principles of administration (e.g., unity of command and **POSDCORB**—planning, organizing, staffing, directing, coordinating, reporting, and

budgeting). The scientific management approach is evident in the recommendations made by two presidential commissions: the Brownlow Committee (1936–1937), which advocated changing the administrative management and government structure to improve efficiency; and the first Hoover Commission (1947–1949), which suggested reorganizing agencies around an integrated purpose and eliminating overlapping services. Herbert Hoover is the *patron saint* of scientific management, and the National Academy of Public Administration's Standing Panel on Executive Organization is a patron organization. Two important reorganizations that occurred in the federal executive branch, one in 1939, the Reorganization Act (establishing the Executive Office of the President), and the other in 2002, the creation of the Department of Homeland Security, are both examples of legislative action. Additional examples include legislation rationalizing centralized control and planning, such as the consolidation of financial controls in federal agencies in 1990 and the requirements for increased use of performance management and strategic planning under the Government Performance and Results Modernization Act of 2010.

Scientific management has implications for human resources. It emphasizes conformity and predictability of employees' contributions to the organization (machine model), and it sees human relationships as subject to management control. Current emphasis on productivity measurement, financial incentives, and efficiency reflects the continuing influence of scientific management. The scientific management of unity of HR command was strengthened by the Chief Human Capital Officers Act of 2002. Much of the foundational structure of government, covered in Title 5 of the U.S. Code, rests on principles of hierarchy, chain of command, consistency, and standardization. While at one time scientific management principles overwhelmingly dominated government philosophy, some hallmarks of scientific management, such as job design (characterized by standard procedures, narrow span of control, and specific job descriptions instituted to improve efficiency), may actually impede achievement of quality performance in today's organizations, where customization, innovation, autonomous work teams, and empowerment are required. Similarly, various human resource actions mirroring scientific management differ from avant-garde practices. For example, training is changing from a nearly exclusive emphasis on functional, technical, job-related competencies to a broader range of skills, cross-functional training, and diagnostic, problem-solving capabilities. Performance measurement and evaluation have been shifting from individual goals and supervisory review to team goals and multiple reviewers (citizen, peer, supervisory). In addition to individually based merit increases, some organizations now include team- or group-based rewards—both financial and nonfinancial.

War on Waste

The second reform tide is the **war on waste**, which emphasizes economy. Auditors, investigators, and inspectors generally are used to pursue this goal. Congressional hearings on welfare fraud are a defining moment in this tide, and the Inspector General Act of 1978 is defining legislation. The 1992 Federal Housing Enterprises Financial Safety and Soundness Act is an expression of the war on waste, with its provisions to fight internal corruption. The patron saints of the war on waste are W. R. Grace, who headed President Reagan's task force (1982–1984) to determine how government could be operated for less; Jack Anderson, the crusading journalist who put a spotlight on government boondoggles; and former Senator William Proxmire, who originated the Golden Fleece Award to bring attention to “wasteful, ridiculous or ironic use of the taxpayers' money.”

The implications of the war on waste for human resource management are plentiful. Frequently audits, scandals, critical reports, and whistleblowing point out gaps in rules and lax implementation of rules; such revelations often bring needed attention and/or corrective actions. Recent cases of the war on waste include the abolition of the ineffective Minerals Management Service, the federal unit that had been rebuked even before the *Deepwater Horizon* oil rig scandal in the Gulf of Mexico, which it oversaw; and the scandal in Bell, California, in which numerous city officials were found to be in collusion to defraud taxpayers by means of outlandish salaries, resulting in litigation and new transparency laws. Of course, preoccupation with waste also leads to increases in internal controls, oversight and regulations, managerial directives, tight supervision, and concerns about accountability. Thus, it can result in a proliferation of detailed rules, processes, procedures, and multiple reviews that are characteristic of government bureaucracy and that influence personnel management. Critics who detect waste and attribute it to maladministration of public resources or unneeded spending may focus on the deficiencies of employees. Fearful workers seek cover from criticism when they do things strictly by the book. Managers concerned with controlling waste try to minimize idle time, avoid bottlenecks, install time clocks, audit travel vouchers and phone records, inventory office supplies, and monitor attendance and punctuality. Use of temporary rather than permanent staff and service privatization may be ways to contain costs while maintaining performance standards. Clearly, contemporary human resource practices are linked to the heritage of the war on waste, leading to both heightened rigor and not a small amount of administrative red tape.

Watchful Eye

The third tide of reform, the **watchful eye**, emphasizes fairness through openness, transparency, and access. Whistleblowers, the news media, interest groups, and the public need access to information to ensure that the public's rights and the common interest are protected as well as individual rights. Congress and the courts become the institutional champions seeking to ensure fairness. The need for the watchful eye and government that is more open became apparent after the abuses exposed in the Watergate scandal (the Woodward and Bernstein *Washington Post* investigation) and the U.S. involvement in Vietnam (publication of the Pentagon Papers). Although highly controversial, the 2013 leak of thousands of documents by Edward Snowden, a former system administrator for the Central Intelligence Agency and contractor for the National Security Agency, is in this tradition. Another example is the scandal that arose in 2014 concerning the Veterans Administration's falsified waiting list; in this case employees had been receiving bonuses for meeting the goal of providing medical appointments to veterans within two weeks, while thousands of veterans were actually waiting for months (Molina, 2018; Oppel, 2014).

The 1946 Administrative Procedure Act and the **Ethics Reform Act of 1989** are examples of defining legislation. The former is important because it established procedural standards regarding how government agencies must pass rules with public notice, input, and statements of factual basis for decisions. Specific provisions of the latter are efforts to curb lobbying influence and promote ethics in government. John Gardner and Common

Cause and Ralph Nader and Public Citizen provide examples of the patron saints and organizations linked to the watchful eye.

The implications of this philosophy for human resource management can be identified as well in the 20th-century legislation related to how hiring, promotion, labor relations, and a host of other activities are conducted. Concern about the fairness of hiring processes leads to requirements for public announcements of jobs as well as the job-related competence of new recruits (e.g., Chapter 33 of U.S. Title 5). Reforms have made the use of hiring criteria based on sex, race, age, and handicap status illegal (e.g., U.S. Title 42). Due process requirements minimize arbitrary decisions to terminate employees. Creating an organizational culture of openness, careful record keeping, and compliance with full-disclosure and sunshine requirements are all consistent with the watchful eye philosophy. Adoptions of minimum standards of conduct or codes of ethics along with ethics training are other examples. Union stewards are likely to cast their watchful eyes on negotiated contracts and to blow the whistle when violations occur (such whistleblowing is protected under U.S. Title 29). The Me Too movement (or #MeToo), with public revelations of sexual harassment and assault, is another example of this reform tide. Managers should seek congruence between the standards espoused by the organization and the behavior of workers. Calls for integrity at all levels of government reflect the contemporary influence of the watchful eye mentality. Of course, increased reporting and consultation do absorb resources and are a drag on *businesslike* efficiency and executive decisiveness. Perceived excesses of the war on waste and the watchful eye may lead to calls for a reform tide that *liberates* management, as discussed below.

Liberation Management

The final tide of reform is **liberation management**. Its goal is higher performance in government. Buzzwords like *evaluations*, *outcomes*, and *results* are associated with this tide. Achieving high-performance goals falls to frontline employees, teams, and evaluators. At the national level, the impetus for liberation management is generally the president. The most visible participant, however, was Vice President Al Gore, who promoted various National Performance Review initiatives during his time in office. The 1993 Government Performance and Results Act is a defining statute and expression of this philosophy. Al Gore and Richard Nixon (because of his interest in reorganization) are identified as patron saints of this tide; the Alliance for Redesigning Government is the patron organization.

Liberation management has implications for the management of people in government. Public administration trends toward employee empowerment, reengineering, work teams, continuous improvement, customer service, flattened hierarchies, and self-directed employees reflect a breakdown of the tall hierarchical bureaucracies in many settings and a move toward organizational *liberation*. Belief in harmonious relations between labor and management increases the prospects for productive partnerships. Decentralization of personnel management expands authority and discretion of line agencies and gives managers freedom to achieve provable results. Before these strategies are implemented, it is necessary for managers to determine the readiness of employees and units to assume new responsibilities, forge new relationships, and increase outputs. Line administrators

can facilitate this state of readiness by identifying likely candidates for training and development and by tailoring incentives to the particular motivational needs of individual employees. Liberation management is sometimes at odds with the war on waste, which advocates high levels of bureaucratic controls, and the watchful eye, which is suspicious of the discretion of civil servants in general. Although the public sector will certainly not banish bureaucracy, greater flexibility is evident at all levels of government and is likely to increase in the future.

Tide Philosophies in Legislation

Two landmark pieces of legislation affecting federal human resource management can be assessed using Light's framework: the **Pendleton Act of 1883**, which introduced the merit system to the federal government, and the **Civil Service Reform Act of 1978 (CSRA)**, which refined the merit system and modified the institutions by which it operates. As Light (1997) notes, the Pendleton Act is “a signal moment in the march of scientific management, but it also involved a war on waste, a bit of watchful eye, and an ultimate hope for liberation management” (p. 18). He observes that the CSRA manifests each of the four tides:

[A] Senior Executive Service (SES) to strengthen the presidential chain of command (scientific management), a cap on total federal employment to save money (war on waste), whistleblower protection to assure truth telling from the inside (watchful eye), and pay for performance to reward employees for doing something more than just show up for work (liberation management). (p. 71)

Understanding the **tides of reform** helps us to appreciate the public service heritage because the tides highlight recurring themes that characterize such changes (Exhibit 1.7). Paradoxes are also apparent: Two of the reform tides—the war on waste and the watchful eye—are based on mistrust and cynicism regarding government; the two other tides—scientific management and liberation management—reflect trust and confidence in government. The paradox is that reform reflects both trust and distrust in government, and it may cause both as well. As the Pendleton Act and the CSRA demonstrate, however, these conflicting impulses are embedded in these more comprehensive landmark laws dealing with human resource management (and many other statutes as well). Less comprehensive reforms may involve only one or two of the tides of reform.

Institutional structures and procedures are important because managers must operate through them to achieve their objectives. These institutional arrangements have evolved over time, and understanding their purposes, functions, and limitations helps managers to think strategically about the threats and opportunities in their human resource environments and how to cope with them. Next, we examine the goals and characteristics of these institutions.

Institutional Context

As noted above, the Pendleton Act of 1883 and the CSRA of 1978 established the institutional framework for federal human resource management. The Pendleton Act created the bipartisan Civil Service Commission as a protective buffer against the partisan

pressures from the executive and legislative branches. It also served as a model for use by reformers seeking change in subnational governments. The merit system was established as a result of this act (the contemporary version of merit system principles is discussed more fully later in this chapter), but its coverage was initially limited to one in 10 federal workers. Competitive practical exams were introduced, and a neutral (nonpartisan), competent, career civil service with legally mandated tenure was expected to carry out

Exhibit 1.7 The Tides of Reform				
Key Characteristics	Scientific Management	War on Waste	Watchful Eye	Liberation Management
Goal	Efficiency	Economy	Fairness	Higher performance
Key input(s)	Principles of administration	Generally accepted practices	Rights	Standards, evaluations
Key products	Structure, rules	Findings (audits, investigations)	Information, legal protections	Outcomes, results
Key participants	Experts	Inspectors general, the media	Whistleblowers, interest groups, the news media, the public, employees	Frontline employees, teams, evaluators
Institutional champion(s)	The presidency	Congressional committees	Congress and the courts	The presidency
Defining moment(s)	Brownlow Committee, first Hoover Commission	Welfare fraud hearings	Vietnam, Watergate	Gore National Performance Review
Defining statutes	1939 Reorganization Act; 1990 Financial Officers Act; 2002 Homeland Security Act	1978 Inspector General Act; 1992 Federal Housing Enterprises Financial Safety and Soundness Act	1946 Administrative Procedure Act; 1989 Ethics Reform Act	1993 Government Performance and Results Act
Patron saint(s)	Herbert Hoover	W. R. Grace, Jack Anderson	John Gardner, Ralph Nader	Richard Nixon, Al Gore
Patron organization(s)	National Academy of Public Administration (Standing Panel on Executive Organization)	Citizens Against Government Waste	Common Cause, Public Citizen	Alliance for Redesigning Government

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Key Characteristics	Scientific Management	War on Waste	Watchful Eye	Liberation Management
HRM examples	Principles of hierarchy, chain of command, consistency, and standardization; productivity measurement and efficiency measures	Processes to minimize idle time, install time clocks, audit travel vouchers and phone records, inventory office supplies, and monitor attendance and punctuality	Extensive legislation related to how hiring, promotion, labor relations, and a host of other activities are conducted; promotion of transparency and sunshine requirements	Focus on employee empowerment, reengineering, teams, continuous improvement, customer service, flattened hierarchies, and self-directed employees; more emphasis on results than on processes

Source: Adapted from P. C. Light, *The Tides of Reform: Making Government Work 1945–1995* (New Haven, CT: Yale University Press), pp. 21, 26, 32, and 37. © Copyright 1997 by Yale University Press.

the business of government. Entry into the civil service was permitted at any level in the hierarchy, unlike systems where new recruits were required to start at the entry level and work their way up.

The reform movement that led to the Pendleton Act was clear about what it was against but less clear about what it favored. This has led some observers to describe the reformers' efforts as essentially negative. They wanted to get rid of the **spoils system** (appointments based on political favor) and the evils (graft, corruption, waste, incompetence) associated with it. Separating politics from administration was key to accomplishing this objective. Using moralistic arguments, reformers campaigned against what was *bad* in the civil service (politics and spoils) and, to a lesser extent, promoted *good* government (e.g., appointments based on merit) and improved efficiency. (See Chapter 4 for further discussion of this topic.)

Although 95 years of experience with the Pendleton Act's institutional arrangements showed mixed results, by the mid- to late 1970s it was clear that the existing federal personnel system aimed at efficiency was, paradoxically, often inefficient. Among the problems were entrenched civil servants hindering executive initiatives, difficulty in removing incompetent employees, ease of circumventing merit system requirements, managerial frustration at cumbersome rules and red tape, and conflict in the roles of the Civil Service Commission. President Jimmy Carter proposed reforms to address these problems.

The CSRA of 1978 was built on the Pendleton Act and altered the institutional arrangement for federal personnel management. In place of the Civil Service Commission, two new institutions were created: the **U.S. Office of Personnel Management (OPM)** and the **U.S. Merit Systems Protection Board (MSPB)**. The OPM is charged with the *doing* side of human resource management—coordinating the federal

government's personnel program. The director is appointed or removed by the president and functions as the president's principal adviser on personnel matters. The MSPB is the adjudicatory side, hearing employee appeals and investigating reported merit system violations. Two other important provisions in the CSRA were the creation of the **Federal Labor Relations Authority (FLRA)** and the establishment of the **Senior Executive Service (SES)**. The FLRA functions as the federal sector counterpart to the private sector's National Labor Relations Board. It is charged with overseeing, investigating, announcing, and enforcing rules pertaining to labor–management relations. The SES comprises top-level administrators—mostly career civil servants and a lesser number of political appointees. It sought (but failed) to establish a European-like professional administrative class of senior executives who may be assigned or reassigned based on performance and ability. State and local jurisdictions have varied institutional arrangements, but in many cases these governments have patterned their structures after those at the federal level. In some instances, state and local governments have provided models for federal human resource management reforms. Parallelism between federal and subnational governments is seen in the existence of civil service commissions, guardian appeals boards protecting the merit system, executive personnel systems, and employee relations boards, among other features. **Civil service reform** encompasses the efforts undertaken by groups or individuals to alter the nature of government service. The CSRA and its state and local counterparts have been the subject of recent criticism from those who wish to reform policies and practices. The next section briefly addresses reformer actions and proposals since 1992.

REFORMING GOVERNMENT IN THE CLINTON, BUSH, OBAMA, AND TRUMP YEARS

Federal Level

Administrative change has been a recurring item on the public agenda for the past 25 years. Spurred by David Osborne and Ted Gaebler's 1992 book *Reinventing Government*, reforms at the federal level started in 1993 with the Clinton administration's National Performance Review (NPR; later renamed **National Partnership for Reinventing Government**). The goal was to achieve government that “works better, costs less, and gets results Americans care about” (Kamensky, 1999). The key focus of reinvention and NPR was to achieve government that would be catalytic, empowering, enterprising, competitive, mission and customer driven, anticipatory, results oriented, decentralized, and market oriented. This very large reform movement was clearly liberation management oriented in thrust, but it also contained smaller elements of scientific management (i.e., reorganizing for greater efficiency), war on waste (i.e., cutting the federal workforce substantially), and watchful eye (i.e., providing enormous publicity around the change process).

Reformers identified the link between performance improvement and the personnel system. In general, they detected flaws in the system rather than in the individual civil servants, and they harshly criticized the counterproductive civil service system, which they viewed as beyond redemption. Bilmes and Neal (2003) summarized the problems facing civil service systems:

Hiring, firing, promotion, organizational structure, lack of lateral opportunities, insufficient training, poor compensation, limited awards and recognition, few fringe benefits, lack of career development, legalistic dispute resolution, inflexibility, poor performance measurement and evaluation, use of contractors for mission-critical activities, antiquated information technology, and unhealthy, unsanitary office facilities. (pp. 115–116)

Academics and professional groups proposed administrative changes in response to such problems (see, e.g., Donahue & Nye, 2003; National Academy of Public Administration, 2017). Some of these reform proposals echoed past calls for government-wide reorganization, such as the report of the 1989 National Commission on the Public Service, also known as the Volcker Commission, and anticipated more recent reform recommendations as well, such as those of the 2003 Volcker Commission. The earlier report identified the so-called quiet crisis facing civil service and recommended several familiar changes, including increased salaries, performance-based pay, simplified hiring, fewer political appointees, and improved training. The latter report followed characterizations of the federal civil service as a system at risk (Blunt, 2002; Lane, Wolf, & Woodard, 2003). Indeed, in 2001, U.S. Comptroller General David Walker elevated human capital to the U.S. Government Accountability Office's list of *high-risk government operations* (a designation recently renewed), stating that agencies are vulnerable to mission failure when they lack a focus on human capital development. This theme was echoed in the 2017 report by the National Academy of Public Administration asserting that "the federal government's human capital system is fundamentally broken" (p. 1) and in 2018 by the Trump administration's government reform and reorganization plan to address a service delivery system that is "inefficient and out of date" (White House, 2018, p. 4).

A retrospective on civil service reform over the years argues that the 1990s revealed the disaggregation of the federal civil service. This little-noticed phenomenon resulted in slightly fewer than half of all executive branch employees becoming part of the excepted service, thereby relinquishing many traditional civil service protections. In the quest for increased managerial flexibility, the Clinton administration pursued a three-pronged strategy: (1) authorizing personnel demonstration projects, (2) creating *performance-based organizations*, and (3) constructing modified personnel systems for malfunctioning agencies (Thompson, 2001, p. 91).

The George W. Bush administration (2001–2009) had its own management reform agenda for addressing management dysfunctions. Five key areas were highlighted: human capital, competitive sourcing, financial performance, e-government, and budget–performance integration. The first two areas are most relevant to human resource management. The administration's initiatives focused on people-related problems, giving greatest attention to the need for organizational restructuring, performance measurement, performance-based pay, hiring and development plans to fill key skill gaps, competitive sourcing, and information technology. For example, the 2001 Freedom to Manage Initiative and Managerial Flexibility Act sought to "eliminate legal barriers to effective management," just as Clinton's NPR reinvention reforms sought to move "from red tape to results." The Federal Activities Inventory Reform Act required agencies to assess the susceptibility to competition of the activities performed by their workforces in anticipation of placing federal workers in competition with the private sector. In the

words of one analyst, such reforms “contain the excesses of Madisonian protection” and “promote the opportunity for Hamiltonian performance” (Behn, 2003, p. 199).

The Bush administration stressed the need to manage human capital strategically by obtaining the talent to get the job done, seeking continuity of competent leadership, and creating a results-oriented performance culture (U.S. OMB, 2014). To monitor implementation of the agenda, the administration developed a simple grading system—red, yellow, and green. Key federal agencies were assessed regarding their achievement of the standards for success.

Some of the proposed and adopted reforms were particularly contentious, including the increased flexibility of personnel policies in the Department of Homeland Security and the Department of Defense, the overhaul of pay for the SES, performance-based contracting, modification of the number of political appointees, withdrawal of collective bargaining rights for selected groups of public employees, weakening of the merit system, and the requirement for competitive sourcing (Bowman & West, 2007; Kauffman, 2003; Phinney, 2003; Thompson, 2007). The reforms in DHS and DOD were justified at the time by national security arguments and claims that increasing managerial power and flexibility were necessary to deal with the threat of terrorist attacks (Brook & King, 2008).

While current reform trends in the United States involve weakening formal civil service protections in order to enhance managerial control of the bureaucracy, reformers in some parts of the world, such as developing countries and former communist states, are seeking to strengthen protections to insulate the civil service from political manipulation (see Exhibit 1.8). Civil service reforms in Germany parallel some of the changes in the United States (see Exhibit 1.9).

The human resource management reforms of the Obama administration focused on a more rapid hiring process; the Work-Life initiative, which includes job satisfaction and wellness programs; and the Results-Only-Work-Environment (ROWE) initiative (Berry, 2009; see also Exhibit 7.2 for more on ROWE). Recruitment and selection reforms include

Exhibit 1.8 The Evolution of Civil Service Systems as They Balance Demands and Needs

Civil service systems have at least three major constituents that they are trying to please. First among these are the *political masters* of the systems, whose primary interest is responsiveness. At a minimum, political masters want responsiveness to the laws that they pass, no matter whether those laws are regarding authorities, expenditures, or reporting requirements. Political executives (e.g., governors and presidents) would like to influence the selection of administrative leaders, and legislators would like to have a say through a confirmation process. Political masters would also like to select rank-and-file public employees,

but this practice is highly limited in advanced democracies because it is so prone to corruption and inefficiency. The first step in moving from a relatively primitive administrative system to one that has a reservoir of expertise and continuity is generally to set up hiring and position management systems that elicit and maintain the neutral competence of the sophisticated and complex operations of government. Such systems keep political masters at arm's length from rank-and-file employees. Today, many developing countries and former communist states are grappling with this first phase of anticorruption reform.

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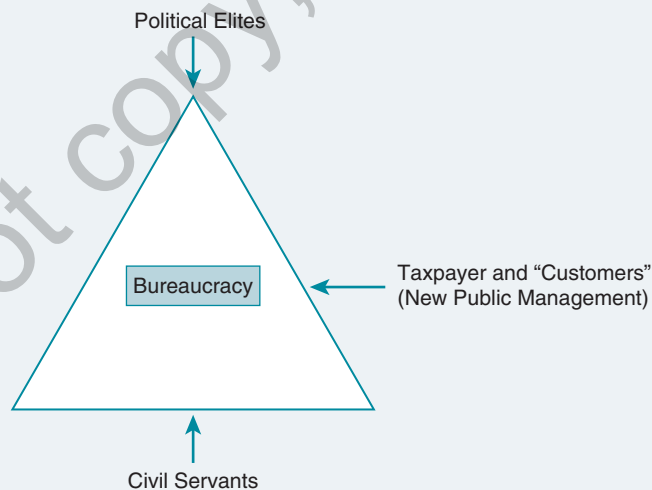
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The second constituency that a civil service system must please consists of the bureaucracy and *civil servants* themselves, whose primary interest is professionalism. At a minimum, they want to ensure that they are recruited fairly (i.e., based on their technical merits), that their agencies' actions are consistent with widely held professional standards, and that they will be able to use their professional judgment within the confines of legal parameters without political intrusiveness. This dovetails well with the need to keep political elites away from the day-to-day management of personnel or detailed policy implementation. However, over time, problems can seep into civil service systems. Bureaucrats can become too comfortable and secure, resulting in outmoded or poor performance. For example, political elites can set up so many safeguards for performance that the transaction costs of compliance become very high and experimentation is discouraged. Most advanced democracies have been dealing with these issues since the late 1970s. One response is modernization—that is, to update systems technologically, to rationalize and streamline overlapping or

outdated legislation, and to require new performance standards. Modernization has been much promoted in continental Europe.

The third constituency to be pleased comprises those being served: *taxpayers and “customers,”* whose primary interests are efficiency and service. Taxpayers want the lowest cost for the most service, which is to say good value. Customers generally want the best service possible no matter the cost, since they rarely pay directly or their fees are subsidized. In traditional administrative systems, few opportunities for meaningful attention to complaints exist; generally political or judicial remedies are required, and this sets a high bar for complainants. However, other ways to control for efficiency include setting up competition (e.g., contracting out services) and improving service by implementing rigorous customer responsiveness measures. This perspective is representative of the **New Public Management (NPM)**. NPM has been the preferred reform approach of most of the Anglo world and Scandinavia, but it has not left continental Europe untouched, as Exhibit 1.9 illustrates.

Sources of Competing Demands and Values in Reform



Source: Van Wart, Hondeghem, and Schwella (2014).

Exhibit 1.9 Germany's Civil Service: Prestige or Performance?

The German civil service is based on the concept of the *Rechtsstaat*—the “rule-of-law state” that transcends political divisions and acts in the name of all citizens on the basis of administrative law. After World War II, the system was decentralized to put the focus on regional and local civil service. The German federal bureaucracy is thus relatively small, with the bulk of civil servants working in the 16 *Länder* (states) and local governments.

The foundations of the German civil service are designed to make public service the most highly respected of all professions (Dahrendorf, 1969, pp. 235–241), since civil servants act in the name of the state and reinforce constitutional principles. As of the late 1990s, there was an “overabundance of candidates for a small number of positions” in German public administration, leading to “a rise in the number of higher educational degrees and thus to an oversupply of highly-qualified persons” (Rothenbacher, 1997, para. 34), due largely, no doubt, to the traditionally high status, pay, and benefits that accompanied public service careers in Germany. Government leaders have been attempting to change what has been considered to be an overly bureaucratic civil service system since the 1970s.

After the incorporation of the former East Germany into the Federal Republic of Germany (and its inflated bureaucracy) and the consequent financial crises at all levels of government after 1990, reformers in government managed to initiate a series of personnel management reforms in 1997, when the German parliament passed the Civil Service Reform Law. The goal was to improve technical performance and rationalization (modernization) and managerial flexibility and customer focus (NPM) through the following measures:

- Increased employee productivity in the context of reduced costs and personnel downsizing
- Integrated personnel management to enhance staff productivity and satisfaction
- Probationary periods for promoted individuals, with the option of denial of promotion
- Performance measures and personnel evaluations based on results, not process
- The ongoing motivation of employees to excel
- Promotion and pay based on performance, not seniority
- Increased flextime and part-time work
- Soft management techniques to improve organizational culture and leadership development
- Outsourcing of public services to commercial and nonprofit organizations

Not surprisingly, the personal, political, and structural resistance to reforms was great. Civil servants who were used to generous salaries and benefits, as well as clear guidelines about promotion and pay, rebelled against performance-based outcomes and probationary periods, the elimination of their traditional 13th month paychecks, and reduction in pensions (Zagelmeyer, 1997, pp. 2–3). Germany's public service trade unions, more influential than those in the United States, for example, strongly resisted the reforms that reduced benefits or job security (see Chapter 12). A system based on codified administrative law does not easily adapt to management reforms that emphasize autonomy and creativity in the middle layers of the bureaucracy. Administrative managers tended to view personnel strategies in terms of cost rather than productivity (Kuhlmann & Roeber, 2004, p. 21). Supervisors

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hesitated to implement pay-for-performance reforms or offer performance bonuses (see Chapter 7) out of concern that this would introduce tension and resentment in the workplace; many civil servants suspected that the reforms were simply an excuse to downsize and reduce pay and benefits (Kuhlmann & Roeber, 2004, pp. 19, 21). Nonetheless, the culture has been made more responsive. Following worldwide trends, the head civil servants (equivalent to permanent secretaries in the British system) now have terms rather than tenure. The privatization

of the railway system and the post office and the introduction of e-government are other reforms that have been implemented since 2000. Today, the German public service is considerably smaller than it was in the 1990s (Kuhlmann, Bogumil, & Veit, 2014).

Government reformers hope that the features that rendered German civil service the proudest of professions in the past have not hindered contemporary performance in a profession still much revered by the public and one considered to be among the least corrupt in the world (Freedom House, 2013).

process mapping with streamlined, plain-language job announcements, involvement of management in the hiring process, and timely applicant notification. The OPM facilitated the sharing of best practices across agencies and holds training academies to disseminate information on successful hiring strategies. Metrics were used to evaluate manager involvement and satisfaction with the process (Moore, 2014).

In seeking to improve employee satisfaction and promote wellness, the OPM instructs managers to review the Federal Employee Viewpoint Survey (formerly the Federal Human Capital Survey) to identify items and indexes on which their units scored lowest in comparison to the rest of the government and to isolate items and indexes on which employee satisfaction declined in their units since the prior survey. The administrators are then charged with determining the reasons for worker dissatisfaction and work with labor organizations (where appropriate) on strategies to improve worker satisfaction. Managers must create action plans with improvement targets specified. Regarding wellness, managers are expected to inventory current wellness activities (e.g., fitness facilities, health clinics) and to develop agency performance metrics for assessing wellness as well as to collect cost and utilization data. Health and wellness improvement targets and plans are submitted to the OPM with annual budget requests.

To address breakdowns in the current civil service system, the National Academy of Public Administration's [NAPA] (2017) report, *Building a Public Service for the 21st Century*, recommends reforms built upon a three-legged stool that: gives agencies the flexibility to create systems to meet the needs of their missions; upholds core merit principles; and creates a "governance and accountability structure" to balance the two (p. 39). In 2018, the Trump administration focused on the dysfunctions of the human capital system with a host of reform initiatives. Like the NAPA proposals, the Trump plan supports evidence-based policies to strengthen the quality of information used by federal agencies, the need to move from paper record keeping to digitization and performance metrics, emphasis on cybersecurity issues, promotion of public-private partnerships, and greater involvement of modern technology to improve the customer experience. The President's Management Agenda included a reorganization plan that harkens back to scientific management and war on waste themes of efficiency and economy in recommendations to merge the Department of

Labor and Education, privatize the Postal Service and reorganize the Office of Personnel Management [OPM].

The Trump proposal to reorganize the Office of Personnel Management and a series of executive orders received mixed reactions from stakeholders. Supporters of reforming OPM saw it as a way to elevate the federal workforce policy functions by putting the agency on a par with the Office of Management and Budget within the Executive Office of the President to improve operational efficiency, achieve economies of scale and reduce costs, and focus on the strategic elements of the agency's mission. Opponents viewed the reorganization of OPM as a threat to its independence and oversight functions, a move that could potentially politicize the agency and vitiate employment protections for federal workers, an effort to eliminate essential programs and public service jobs, and a proposal that should require bipartisan agreement and consultation with all those with interests at stake.

Portions of the administration's reorganization plan may not have caused as much push back if they had not surfaced on the heels of Trump's multiple executive orders making it easier to fire federal employees faster, excluding dismissal disputes from grievance procedures, weakening unions and due process, and curtailing official time for union leaders paid by the government to represent all employees in the bargaining unit (see more on the executive orders in Chapter 11). At the time of this writing, the Trump proposals are exactly that; Congress had not weighed in on those portions of the reorganization plan that required legislative approval (see Balutis, 2018; Bernstein, 2018; Bur, 2018; Clark, 2018; Davidson, 2018; Katz, 2018; Neal, 2018a, 2018b; Risher, 2018; Shoop, 2018; Smith, 2018; and White House, 2018 for description and commentary regarding the reorganization plan).

State and Local Levels

The National Commission on the State and Local Public Service, commonly known as the Winter Commission, published a report in 1993 outlining an agenda targeting, among other institutions, civil service systems. The human resource portion of this report diagnosed *civil service paralysis* as a problem and prescribed deregulation of government's personnel system. Favoring a more flexible and less rule-bound system, the Winter Commission recommended the following:

- Greater decentralization of the merit system
- Reduced reliance on written tests
- Rejection of the rule of three and other requirements that severely restrict managerial discretion in selecting from a pool of eligible applicants
- Reduction of the weight given to seniority and veterans' preference
- Reduction in the number of job classifications
- Implementation of less cumbersome procedures for removing employees from positions
- Greater portability of pensions, enabling government-to-government mobility
- Greater flexibility to provide financial incentives for exemplary performance by work teams

These recommendations for increased managerial flexibility echoed suggestions from the National Commission on the Public Service (1989, 2003) and resembled parallel observations from the Clinton administration's National Performance Review and the Bush administration's Management Agenda (Thompson, 1994; Thompson, 2007). The recommendations of these commissions continue to be relevant, as they guide jurisdictions in shaping human resource management policies.

Subnational reforms have included significant changes to the civil service system, generally reducing civil service protections. The first state to undertake such reforms was Georgia, which withdrew merit protection for all new state employees beginning in 1996; Arizona followed a similar pattern in 2012, making state employment primarily at-will. Florida's substantial reform in 2001 withdrew civil service protection from more than 16,000 managers, making them at-will employees who could be terminated for any or no reason not contrary to law (West & Bowman, 2004). Six other states have also experienced notable reforms (Massachusetts, Minnesota, New Jersey, Ohio, Oklahoma, and South Carolina). Reforms are most common in classification (reduction or increase in the number of job classifications, consolidation or broadbanding of classifications), compensation (pay for performance, noncash incentives, bonuses, incentive-based pay), and performance evaluation (performance plans and standards). Managers' ability to complete their tasks successfully depends, in large measure, on their ability to attract, develop, motivate, and retain top-quality employees—the essential functions of human resource management. Reform efforts are designed to help managers meet these responsibilities.

Since the beginning of the Great Recession in 2008, pension reform has been seen in most U.S. states (addressed in Chapter 8), and many (such as Wisconsin) have introduced reforms limiting the scope of influence of unions (see Chapters 11 and 12).

The prognosis for reform efforts is more mixed than might be expected given the emerging consensus that formed in the mid- to late 2000s. Efforts to reform human resource management have not been without their critics and skeptics (e.g., Bowman & West, 2007; Brewer & Kellough, 2016; Bowman, West, & Gertz, 2006; Cogburn et al., 2010; Elling & Thompson, 2007; Hays & Sowa, 2007; Kearney & Hays, 1998; Kellough & Nigro, 2010). Following is a sampling of some of the shortcomings of reform efforts, according to critics:

- The role of public servants (e.g., privatization, downsizing) is undermined.
- Results fail to meet expectations (e.g., pay for performance).
- Too few people with the necessary skills (e.g., contract negotiating and auditing) are attracted to public service.
- Performance rewards (bonuses) are underfunded.
- Oversight of the public service (decentralization, deregulation, outsourcing) is reduced, inviting corruption.
- In-service training for continuous learning and planning is frequently inadequate.
- Pursuit of quick successes via downsizing too often takes precedence over improving performance.

- Ideas borrowed from the private sector and accepted blindly often create more problems than solutions.
- Empowerment initiatives frequently have uneven results.

Overall, civil service reform efforts have experienced a combination of success, failure, and something in between (Bowman, 2002; Bowman, Gertz, Gertz, & Williams, 2003; Bowman & West, 2007; Brewer & Kellough, 2016; Coggburn et al., 2010; Condrey & Maranto, 2001; Jordan & Battaglio, 2014; Kellough & Nigro, 2006; Perry, Wise, & Martin, 1994; Pfiffner & Brook, 2000; Stein, 1994; Suleiman, 2003; U.S. OMB, 2014; West, 2002). One lesson is that when change advocates leave office, reform quickly loses salience as an issue.

The impetus to improve performance and reduce costs, stated goals of the Clinton, Bush, Obama, and Trump administrations and implied objectives of the Winter Commission, will remain even if the strategies for achieving such goals change. Similarly, it is likely that various forms of experimentation with new approaches to human resource management will continue. These reforms are part of the public service heritage and continue the ebb and flow of the various tides—scientific management, war on waste, watchful eye, and liberation management.

In the next section of this chapter, the discussion shifts from what is changing to what remains constant.

HUMAN RESOURCE MANAGEMENT PRINCIPLES

Administrators need to be mindful not only of the dynamic environment and the reforms that occur in it but also of overarching principles that endure in human resource management. Four such principles, in particular, should be in the forefront of managerial thinking related to human resource management. (The following list is extensive but not entirely comprehensive of the types of values inherent in the public service today.) Note that the four categories are similar, but not identical, to the four Tides of Reform discussed earlier. These principles are further explored in subsequent chapters. Managers must adhere to the following principles:

1. *Understand the values inherent in the career public service.* Yet, because the public's interests are many, there are many roles for public service. Stakeholders expect civil servants to do many different things (ensure effective government performance, implement controversial social policies, respond to political imperatives, and others). Often civil servants are called on to respond to conflicting pressures simultaneously, and managers need to provide leadership in reconciling competing demands (e.g., designing layoffs to balance the budget and simultaneously addressing other factors, such as adhering to the principle of seniority, complying with equal employment opportunity and affirmative action requirements, meeting performance standards, and ensuring organizational effectiveness). An overriding priority of the core of the civil service, however defined, has been and will continue to be an ethos that insulates it from political manipulation in staffing and encourages disclosure of wrongdoing or gross mismanagement.

Merit and merit-light systems dominate advanced democracies, and managers must internalize the rules or principles of these systems. While increased flexibility in hiring and removal has become more common, even the more dramatic reforms do not advocate the elimination of the values that undergird merit principles in general. Merit principles and values undergirding ethics in the public service today are listed in Exhibit 1.10. **Merit systems** ensure the high-quality hiring processes, fairness, integrity, diligence, and competence so important for the long-term integrity of government. They do this by keeping politics at arm's length, thus providing a permanent workforce defined by **neutral competence** rather than by political loyalty (Bowman, West, & Beck, 2010). Principles and values undergirding ethics in the public sector today are listed in Exhibit 1.10. Traditional merit systems have emphasized fairness by maximizing consistency with predetermined rules, due process, and pay standardization. **Merit-light systems** function in an orderly way on the basis of qualifications, performance, and competitive selection, but in comparison with full merit systems they allow more managerial discretion in the determination of recruitment, promotion, rewards, and punishments. Full merit systems tend to be somewhat prone to rigidity, whereas merit-light systems are vulnerable to political and managerial cronyism. (This principle is roughly similar to the values in scientific management.)

2. *Foster legal compliance and integrate non-civil service systems as appropriate.* Public employees, from elected officials to rank-and-file workers, agree that the public's interests must be foremost and the rule of law unquestioned. Ensuring compliance with the letter and spirit of the law must be a staunch value of public servants.

Increasingly accommodating the requirements of civil servants and non-civil servants is important. Civil servants have their specialized systems, relying heavily on merit principles internally, but must also work with and integrate other types of non-civil service personnel systems. First and foremost, the civil service is a subordinate part of a larger democratic political system. The political system interprets *merit* largely through the ballot box and appointment for the highest-level policy positions (e.g., a governor and his or her department heads and the division directors under the department heads), rather than through organizational rationality, as is true of the civil service. Understanding and respecting the political system and the role of political masters is critical for managers and leaders in administrative systems.

Public services historically have been delivered largely by civil service employees; however, the use of alternative mechanisms has increased (e.g., purchase of service agreements, privatization, franchise agreements, subsidy arrangements, vouchers, volunteers, self-help, regulatory and tax incentives). These arrangements affect managers by redefining relationships with service providers, altering control structures, and reshaping administrative roles (Klingner, 2009). Thus, managers have to work with the private and

Exhibit 1.10 Principles and Values Undergirding Ethics in the Public Sector Today

Principles	Positive Public Sector Values
Understand the values inherent in the career civil service	<ol style="list-style-type: none"> 1. Recruit qualified employees incorporating diversity. 2. Treat employees fairly and equally, respecting their privacy and constitutional rights. 3. Furnish equal pay (and benefits) that is commensurate with the market. 4. Expect employees to maintain high standards of integrity, conduct, and concern for the public interest. 5. Require efficiency and effectiveness. 6. Provide appropriate levels of supervision, performance, and discipline. 7. Offer appropriate levels of training. 8. Safeguard civil servants from political intrusion. 9. Safeguard employees who disclose unlawful action or gross mismanagement.
Foster legal compliance and integrate non-civil service systems as appropriate	<ol style="list-style-type: none"> 10. Give deference to political leaders. 11. Work with and support non-civil servants in the private and nonprofit sectors to achieve efficiency and economy when they are working on behalf of the public good.
Understand that the public has rights beyond merit principles	<ol style="list-style-type: none"> 12. Ensure transparency of public information. 13. Protect the privacy of citizen's personal information. 14. Supply citizens with easy, understandable access to public services. 15. Afford citizens the greatest degree of voice in public affairs as possible. 16. Ensure citizen's due process rights.
Provide leadership for public sector organizations	<ol style="list-style-type: none"> 17. Provide well-designed innovation in programs, technologies, processes. 18. Foster risk-taking to promote innovation and required change, but make sure that it is minimized, reasonable, and authorized.

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Principles	Positive Public Sector Values
	<ol style="list-style-type: none">19. Provide vision, and to the degree possible, inspiration.20. Strive not just for good performance, but for high performance.21. Aim for reduced costs but not at the expense of due process, transparency, access, etc.22. Encourage employee trust and high levels of public service motivation.23. Nourish professionalism that leads to the need for less supervision.

nonprofit sectors closely, understanding and appreciating their values and strengths, while ensuring that the interests of the public are maintained. This increased attention to reinvigorating the public sector has led to an adjustment in assumptions and working ideals. Managers need to assess the systems in their jurisdictions and adjust their leadership styles as appropriate. (This category is roughly equivalent to the War on Waste reform tide.)

3. *Understand that the public has rights beyond merit principles.* Another distinguishing feature of human resource management is that government decisions are subject to intense public visibility and scrutiny. This influences how work is done, how resources are managed, how decisions are made, and how systems are developed. Unlike the business sector, where decisions usually are made in private (because the Freedom of Information Act does not apply), public administration decision making typically requires citizen access and input. Officials must remember that they are accountable to the populace, but they often face tension between their primary responsibility to all citizens and loyalty to their organizational superiors or their own consciences.

Related to accountability, the principle of transparency is fundamental to effective and ethical government. Open-meeting and open-records laws help to advance the ideal of government transparency and increase citizen trust in policy implementation. Those in public service should be as open as possible about all their decisions and actions, providing rationales for their decisions and restricting information only when sharing it would jeopardize the broader civic interest or compromise legitimate privacy rights. (This third category is roughly parallel to the Watchful Eye reform tide.)

4. *Provide leadership for the public sector organizations.* Given the labor-intensive characteristics of public organizations, the effective and efficient use of human capital is of paramount importance (Bilmes & Neal, 2003). Leadership from managers and human resource professionals is a crucial ingredient for achieving the goals and advancing the public service mission of government. Human

resource managers must partner with top management in guiding organizational change initiatives. Additionally, high-performing organizations, invest in people and pursue best practices. Strategic use of human capital is crucial to the success of organizations and includes the issues of innovation, appropriate risk-taking, change management, stretching for excellence, incorporating due process, maintaining employee trust and motivation, and basic professionalism.

Also note that clear lapses in these values must be addressed in order to be considered acting ethically (basic ethics responsibility and moral management is discussed below). However, managers also walk a tightrope as they seek to balance the jurisdiction's basic values, the needs of workers, and the organization's financial resources. Just as important is deciding on the appropriate balance when these values conflict (i.e., with each other (ethical sensitivity) as they commonly do (i.e., values competition). Finally, many ethical solutions can be crafted to address processes as well as incidents, to increase win-win outcomes, and to reduce reactive steps and increase proactive approaches (ethical wisdom). Refer to these principles and values when considering the ethical cases in the chapters that follow. In general, good ethical analysis when there are competing values requires: (1) identification of all stakeholders, (2) listing of pros and cons of significant decisions—values clarification, (3) weighting of various issues and parties, (4) contemplation of alternatives, and (5) a statement supporting one's final decision.

Building on this brief review of overarching principles, we turn in the next section to look at providing a comprehensive framework for ethical conduct.

ETHICS AND MORAL MANAGEMENT

Clarifying values and balancing conflicting values must be accompanied by an emphasis on ethics. Ethics involves behavior that is concerned with doing the right thing or acting on the right values.

Here, too, managers have a difficult task: They must exercise discretion in addressing specific ethical issues. Ethical judgment is required of managers facing complex issues in which there are competing values, such as the following (Badaracco, 1997; Comer & Vega, 2011; Menzel, 2010):

- Responding to instructions to fire a public health nurse for refusing on religious grounds to distribute birth control (e.g., condoms or birth control pills) to unmarried individuals
- Honoring a request to refuse to consider female job applicants age 30 or older
- Investigating a report by a third party that an employee was abusing legal substances (prescription drugs or alcohol) at work
- Reporting to coworkers who accidentally discovered information about pending layoffs
- Resolving a struggle between the benefits administration and the medical department over the length of time an employee can be absent from work following a surgical procedure

- Disciplining an employee for going on a binge of purchasing activity at the end of the fiscal year
- Reprimanding those who shirk distasteful responsibilities or scapegoat others for their personal failures
- Reporting to supervisors observations of employee loafing and loitering
- Coping with pressure to reassign newly hired minority supervisors because they do not “appear to fit” the prevailing organizational culture
- Questioning the high pay levels and job security given to core staff when employees on the periphery are paid low wages and offered minimal job security

In dealing with issues of legality, ethics, and fairness such as those listed above, managers are indeed required to weigh competing pressures. They are often squeezed from above and below in resolving such matters. Officials are also expected to conform to the organization’s stated values and ethics codes. At a minimum, they must communicate the organization’s policies and codes to employees. Ideally, such policies or codes should be brief, be clear, and provide practical guidance to help managers and employees deal with problems. Typical provisions might include policies regarding conflict of interest, gift giving or receiving, confidentiality, sexual harassment, political activity, equal employment opportunities, and moonlighting (Eskridge, French & McThomas, 2012; Grobman, 2007; Svava, 2012; Van Wart, 2003). If policies or codes are adopted, they also need to be observed, so that there is no gap between expectations and behavior.

The strategies for ensuring integrity at work—**moral management**—might differ from setting to setting and from one subsystem to another, but ethics management is an important responsibility for administrators. The following are some of the approaches to ethics management addressed in the personnel literature (Bowman & West, 2018; Frederickson & Ghere, 2013; Menzel, 2017; Newell, 2015; Richter & Burke, 2007; Svava, 2015; West, 2016):

1. Modeling exemplary moral leadership to top officials
2. Adopting an organizational credo that promotes aspirational values
3. Developing and enforcing a code of ethics
4. Conducting an ethics audit
5. Using ethics as a criterion in hiring and promotion
6. Including ethics in employee and management training programs
7. Factoring ethics into performance appraisal
8. Anticipating and Planning for ethical blind spots
9. Serving with honor

As Terry Newell (2016) points out: public servants have a dual role, as program administrators and also as responsible citizens, both demanding service with ethics and honor. Not only must values be balanced, but also service with honor requires balancing this duality of sometimes compatible and other times conflicting roles.

SUMMARY AND CONCLUSION

Managers need to be prepared for a variety of challenges and, as we pointed out at the beginning of the chapter, must make sure that “government has the right people, and the right systems, and ensure the right intentions” (Ehrenhalt, 1998, p. 11). Like Maria Hernandez in the opening section, officials must be able to juggle frenetic work schedules and ensure that personnel issues are not lost in the flurry of daily operations. Administrators must work with (or against) challenging trends such as managing a workforce with highly divergent generational values and expectations, recruiting and motivating a workforce in an antigovernment era, finding ways to innovate and reengineer to counter lean budgetary resources, working within significant personnel shortages, and meeting ever-changing productivity demands. Of course, these constraints are not necessarily unique to government agencies and public sector management.

In terms of systems, we have reviewed the many different ways that human resource management can be organized. Some medium-sized agencies use a centralized model, some devolve responsibilities to HR personnel dispersed in various units, and some use the central HR agency for policy functions and decentralize operations, which is common in larger governmental systems. HR departments typically share responsibilities with line managers, but also occasionally with general counsel, payroll, the executive office or officers, specialized departments such as ones set up for training and development, and/or a civil service commission.

Human resource issues, like other aspects of government, change and evolve. Reforms can emphasize different values and concerns, such as efficiency, economy, fairness, and high performance. The recognition that many issues and the alternatives for addressing them are not new, but rather are recurring manifestations of problems and solutions from earlier historical periods,

is fundamental. The waves or *tides* of reform can reflect different corrective emphases—scientific management, war on waste, watchful eye, and liberation management. Good managers are able to retain the best of the past and reform what has become dated or dysfunctional. As Franklin D. Roosevelt observed, “A government without good management is a house built on sand.”

Effective human resource problem solving also requires that managers combine appropriate human resource principles with the right intentions. Defining core values and being guided by bedrock principles help administrators make the critical ethical judgments often needed in resolving nettlesome human resource issues. Those principles include understanding how the career public service operates, with its merit approach; fostering legal compliance and understanding non-civil service systems; understanding that the public has rights that relate to human resource management beyond merit principles; and providing leadership for public sector organizations. Public values are continuously changing, and managers must recognize and guide the change process while being constant in ethics and flexible in method. As Thomas Jefferson said, “In matters of style, swim with the current; in matters of principle, stand like a rock.” Managers must decide, amid the turbulence in the public sector environment, when to swim with the current and when to stand against it, not succumbing to pressures that would compromise core values and ethical principles. Further, administrators must be able to help their employees develop the ethical compasses they need to deal with more sophisticated ethical challenges.

The chapters that follow highlight the practices, paradoxes, problems, and prospects facing those who must function simultaneously as technically skilled managers and as change agents in the 21st-century public service.

KEY TERMS

Civil service 19	Merit systems 38	Senior Executive Service (SES) 29
Civil service reform 29	Moral management 42	Spoils system 28
Civil Service Reform Act of 1978 (CSRA) 26	National Partnership for Reinventing Government 29	Strategic human resource management (SHRM) 18
Ethics Reform Act of 1989 24	Neutral competence 38	Tides of reform 26
Federal Labor Relations Authority (FLRA) 29	New Millennials 14	U.S. Merit Systems Protection Board (MSPB) 28
Generation X 14	New Public Management (NPM) 32	U.S. Office of Personnel Management (OPM) 28
Human resource management 18	Pendleton Act of 1883 26	War on waste 23
Liberation management 25	Personnel administration 18	Watchful eye 24
Merit-light systems 38	POSDCORB 22	
	Scientific management 22	

EXERCISES

Class Discussion

1. Do you think Maria Hernandez is an example of a good human resource director? Why? What advice would you give her? Explain.
2. Identify and discuss some paradoxes and contradictions in the public service heritage. Why are they significant? To what extent do they reflect the two underlying paradoxes discussed in this book's introduction?
3. What are some fundamental differences between the public and private sectors that influence how human resources are managed in these sectors?
4. Using Leonardo da Vinci's parachute (Exhibit 0.2) as inspiration, answer these questions: Which current trends in the government environment are likely to continue in the future? Why? How will future trends influence human resource management?
5. Identify the tides of reform. What are the implications of these four philosophies for human resource management? Evaluate the tides. Which do you consider to be the most valuable philosophy for human resource management?

Team Activities

6. Employing the "25 in 10" technique (Exhibit 0.2), brainstorm the types of ethical dilemmas related to human resource management that you think line and staff managers are likely to encounter at work.
7. Discuss the lessons from each of the four historical tides of reform and how they can influence human resource management decisions.
8. What are the human resource management consequences of different levels of value consciousness?
9. Which ethics management strategies do you think are most effective? Why?
10. Identify the reasons group members are interested in being a part of the public service. Compare your reasons with those listed in Exhibit 1.2.

Individual Assignments

11. Identify several human resource management department websites. Compare what the departments seem to include and how they are organized.

12. Identify several of the recent public sector pension reform initiatives in U.S. states and local governments. Which of the tides of reform are in operation? Look at the federal Chief Human Capital Officers Act of 2002. Which of the tides is in operation for that act?
13. Interview a public manager and ask him or her to describe the most difficult human resource issues he or she has had to deal with. What areas of human resource management did the issues fall into? How were they handled?
14. Compare the U.S. federal merit principles with those of a state government. (For example, the explanation of the merit principles for the state of California are found at <http://www.calhr.ca.gov/Training/Pages/performance-management-merit-system-principles.aspx>.)
15. Examine an agency's website or interview a knowledgeable manager to discover how many of the moral management techniques discussed in the chapter seem to be operational. Also report on how easy or difficult it is to find information about moral management in the agency you select to examine.
16. Read the ethics case in Exhibit 1.11 and complete the two-part assignment regarding (a) support for the contemplated action, and (b) classification of the action as whistleblowing.

Exhibit 1.11 Stage-by-Stage Case of Sexual Harassment and Whistleblowing

A city police department in a Midwestern state has diversified its sworn officer corps in recent years by increasing the percentage of minority and female officers.

Please respond to each action of the police officer below. For each stage 1-9, indicate (i) whether you support the action taken by the officer, and (ii) whether you would classify the action by the officer as whistleblowing. (Check 2 items at each stage.)

Stage		Support Action		Classify as Whistleblowing	
		Yes	No	Yes	No
1	A female officer (Officer 1), hired eleven months before and still on probation, is concerned by what she perceives to be discriminatory or harassing actions by a senior male officer. She reports this to her supervisor who advised that this will be investigated.				
2	Not too long thereafter Officer 1 is again made to feel uncomfortable in the presence of the same offending senior officer who continually uses gender-based innuendo, tells sexist jokes, and is unfairly critical of female officers. He publicly criticized Officer 1 for her lack of aggressiveness and timidity in handling a domestic dispute, stressing her inexperience and femininity. Officer 1 reports to the supervisor again regarding both the ethicality and legality of the treatment. The supervisor tells her to drop the issue, as the well-regarded and high-performing senior officer "shouldn't be questioned and surely knows what he is doing."				

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Stage		Support Action		Classify as Whistleblowing	
		Yes	No	Yes	No
3	The officer drops the issue; however, she shares concerns with another female officer in the unit (Officer 2).	Yes	No	Yes	No
4	Soon thereafter, Officer 1 is demoted or reassigned from patrol officer to intake desk clerk for an error in her written report summarizing her handling of the domestic dispute referenced above. Officer 2 is now performing these duties that were performed by Officer 1.	Yes	No	Yes	No
5	Officer 1 files a report with both the police union and HR, citing concerns about the illegal/unethical practice and the retaliatory demotion or reassignment.	Yes	No	Yes	No
6	The union does not provide any response; Officer 1 files a report with the chief of police, as the highest authority in a department, threatening to go public.	Yes	No	Yes	No
7	Officer 1 is terminated due to "serious reporting errors and misjudgments that jeopardize public safety."	Yes	No	Yes	No
8	Officer 1 contacts local media and a whistleblowing protection agency, and retains a lawyer.	Yes	No	Yes	No
9	The local media runs a sensational story about sexual discrimination and harassment of female police officers.	Yes	No	Yes	No
10	Officer 2, now with intimate knowledge of police records, does share some of the same concerns raised by Officer 1. However seeing that Officer 1 was terminated, Officer 2 decides to favor job protection over sharing her observations, when interviewed by whistleblower protection, and refused to speak with local media.	Yes	No	Yes	No

Directions

Look over your responses regarding (a) whether you supported the action in question and (b) whether you would classify it as whistleblowing. Write two sentences about the conclusions you draw from your

responses to each question at the various stages (i.e., (a) why did you support or fail to support the action at each stage? (b) Why did you conclude that the action was classified as whistleblowing or that it was not so classified?

NOTES

1. These paradoxes include, for example, reforms that simultaneously reflect and cause distrust in government, national policies that contradict

reform tides, and contradictory restructuring themes embedded in the same statute.

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