

公共管理学经典教材原版影印丛书

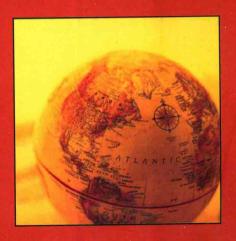
## **Public Administration**

Understanding Management, Politics, and Law in the Public Sector

[ Sixth Edition ]

# 公共行政学:管理、政治和法律的途径 [第六版]

- David H. Rosenbloom 戴维・罗森布鲁姆
- Robert S. Kravchuk 罗伯特・克拉夫丘克







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### 丛 书 总 序

## 周志忍

自20世纪80年代恢复以来,行政管理学在我国经历了十多年的摸索和积累期,世纪之交终于呈现出飞跃式发展的态势:行政管理学博士点相继设立,公共管理获得一级学科的地位,公共管理专业硕士学位(MPA)教育开始启动且发展迅猛,开设行政管理本科专业的大专院校达到130家,公共事业管理本科专业则突破了300家,加上党校、行政学院公共管理教研机构的大量设立,说公共管理是21世纪初我国发展最迅猛的学科并不夸张。

学科飞跃式发展的另一重要标志是新领域的开拓和知识的积累及其快速更新。国家自然科学基金委员会对与宏观管理相关的 117 种外文期刊进行的文献计量研究表明:"公共管理理论与方法是 1994—2004 年间国外关注最多的领域。其中,有关公共管理基本理论与方法的论文数占到了全部论文总量的 44.6%。"对中国期刊网 77 种核心期刊的文献计量学分析的结果显示,"自 1994 年至 2003 年的十年间,关于公共管理基本理论与方法方面的论文增长迅速,从 1994 年的 554 篇,上升到 2003 年的 1934 篇,增幅达到 3 倍以上"。但在总量上仅占全部论文总量的 4.59%,与国外的同类研究相比呈现出明显的差距(国家自然科学基金会管理科学部:《宏观管理与政策学科"十一五"发展战略研究报告》)。

系统了解和追踪国外的新理论和新方法,并在批判的基础上加以消化和吸收,是学科知识积累和更新的重要环节之一。进入 21 世纪后,我国对西方公共管理著作的翻译出版结束了零星分散的状态,呈现出系统化和细分化同时并进的势头。中国人民大学出版社的《公共行政与公共管理经典译丛》和《公共政策经典译丛》,华夏出版社的《政治学与行政管理学译丛》,上海三联书店的《制度分析与公共政策译丛》,中国青年出版社的《公共管理译丛》等,都对学科发展和政府管理现代化产生了积极的影响。北京大学出版社《公共管理学经典教材原版影印丛书》的出版值得庆贺!

原版书的系列化出版对学科发展的意义至少有以下方面: (1)有助于研究者外语能力的普遍提高。长期以来,阅读外文图书对我国学者来说近乎一种特权,纵有毅力和热情,但难以承受的价格、少得可怜的存本或繁琐的借阅程序令人望而却步。影印原版书无疑有助于克服这一障碍。(2)推动翻译出版的规范化和翻译质量的持续提高。许多学者谈到这样的经历:阅读译文时怎么也不明白的东西,翻阅原著就清楚了。这固然和不同语言之间的"通约度"有关,也不能否认翻译质量的参差不齐。在原版书"稀缺"的情况下,翻译质量的同行评价和监督机制会因为"信息不对称"而失灵,

影印原版书在这方面将大有裨益。(3)在知识发展日新月异的时代,影印原版书具有 出版周期短的优势,可以把国外的最新成果及时展示给国内学界。

外文图书引进出版虽然不是一个垄断性市场,但新进入者会面临别样的风险和尴尬。这有点像一个开放的采摘果园,先入者有的图便利先摘取低枝上的果实,有的则把靓丽之果尽入囊中,也有的以口味、特色为择取标准,几轮采摘之后,选择余地就相当有限了。从目前情况看,国内外文图书的引进出版呈现出复杂状态,少量著作的中文译本和原版影印本同时发行,大量著作仅有中文译本。与此相应,北京大学出版社第一批影印丛书包括了几类:(1)仅有中文译本而没有原版影印本的图书;(2)已有中文译本但原文有新版的著作,如尼古拉斯·亨利的《公共行政与公共事务》第九版;(3)国内市场尚未引进,但同样具有影响力的著作。从涉及的领域来看,第一批影印丛书覆盖了公共行政、公共政策、公共组织管理、预算与财务管理、公共部门人力资源管理等领域。图书的选择既考虑了影响力,又给相关领域的经典文献荟萃以特别的关注。

着眼未来,期望公共管理原版书的影印出版不断开拓发展,形成品牌并最终发挥系统效应。目前国内外文图书引进出版的复杂状态,无疑为原版书的影印出版增加了困难。在避免重复的前提下形成有序的原版书系列,显然还有许多艰苦细致的工作要做。但毫无疑问,原版书影印如果没有实现系列化,所期望的对学科发展的意义就会大打折扣。更重要的是,期待北京大学出版社充分利用自己的资源优势,在原版书系列影印的基础上深度挖掘,独辟蹊径,在公共管理领域开辟出一片新天地。这不仅是一种追求,更是一份责任。

2005年10月25日

(在州北東市時下上版社一學年。(2)時由如今上海海島、北京市場等第十四年 (一年上午北京河北州的東京、直接等公司公司北京市場市的東京(1919年)

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## 第六版前言

自本书上一个版本出版以来,形势已发生了很大的变化。美国遭受了"9·11"恐怖袭击;发动了对阿富汗和伊拉克的战争;同持续下滑的经济展开了斗争;在联邦一级,政府由预算盈余走向严重赤字。美国全国致力于防范大范围的可能的恐怖袭击,这使得当今公共行政的复杂性备受瞩目。开展情报合作、协调府际关系、应急反应,以及公共卫生、边境、港口和航空运输安全,这些都给我们带来了空前巨大的挑战。同时,国土安全部在努力把现有的 22 个联邦机构整合成一个组织严密的部门,所涉政府雇员人数达到了 18 万之多,挑战也是明显的。然而,这种加强国土安全的努力与通常的公共行政管理并没有什么差别,如果有差别的话也只是管理范围上的,而不是管理类型上的。很多行政管理活动的特点都是要应对变化和复杂情况,无论是最小的地方政府还是最大的联邦政府部门。

公共行政学领域的教育者们该如何应对这种无处不在的迅速变化和复杂性呢?这并不是一个新问题。一个答案是,给学生们最基本的公共行政学知识,同时接受复杂性,拒绝那种认为公共行政活动可以由某一套价值和进程所约束或者按照某种单一的最佳方式予以安排的思想。这也是本书的任务,自1986年初版以来一直如此。本书第六版仍然是从三种已有的视角出发来描述、解释和分析公共行政,它们是:管理、政治和法律。这些视角与宪法上的权力分立相关联,并且根植于美国政治文化之中。它们甚至深深地根植于西方政治思想的自由传统之中,这种传统曾经为托马斯·霍布斯、约翰·洛克、孟德斯鸠、卢梭等人所发展。每一种视角都各有其不同的核心价值和分析方法。它们都不是一成不变的。每种视角都对国内和全球环境中的政治、经济、社会、技术、安全等变化有所反应。

变化催生了新的方法和思路。20世纪90年代里,传统的管理视角因其立基于所谓公共行政的"正统"而受到新公共管理(NPM)或政府再造运动的挑战。这种挑战仍在继续。NPM已经登上了权力舞台,但并没有占据绝对的地位。《公共行政学:管理、政治和法律的途径》解释了

这两种分析管理的途径,并指出,NPM与正统的视角一样也对公共行政的核心领域——组织、人力资源管理、预算、决策、政策分析和执行评估、管制行政、应对公众以及行政责任和行政伦理等——持有全面而一贯的立场。然而,单单一种管理的视角是不足以把握当代公共行政的复杂性质的。因此,政治的和法律的视角也是必不可少的。

复杂性可能带来困惑,但也不总是一定的。《公共行政学:管理、政治和法律的途径》已经显然地证明,这些是可以传授的。在《公共事务教育杂志》上发表的一篇书评文章中,切斯特·纽兰(Chester Newland)——该领域一位一流的作家——指出,本书是"被采用最广泛的公共行政学教科书"。他写道,这本书"超越了所有的教科书",因为它"有助于我们理解公共行政学……领域里管理、政治和法律的联系,从而令这本专门化的教科书变成了一部富于说服力的论著"。纽兰还注意到,我们对这三种视角如何交汇在一起的强调把该书"提升"为"一部权威的论著"。本书第六版建立在这些优点的基础上,并全面更新了书中所涉及的材料。

本书在海外的成功令我们欣喜。它显然是一部美国式教科书,与权力分立密不可分。但是,如今它却有了两个中文译本。就我们所知,它还在格鲁吉亚、匈牙利、以色列、韩国、荷兰、葡萄牙、新加坡、乌克兰和中国台湾等地方被采用。尽管我们所讨论的管理、政治和法律的途径显然与权力分立相联系,但它们却有着全球普遍的共性。可能本书的广受青睐靠的是把对规律的总结融入了对所有公共行政核心内容的探讨之中,以及通过三种经久不衰的视角来全面理解这个领域。

写至第六版本身就是受欢迎的原因。我们感谢我们的读者给我们这个机会,并欢迎对改进本书提出意见和建议。

## ABOUT THE AUTHORS



David H. Rosenbloom is Distinguished Professor of Public Administration in the School of Public Affairs at American University. He received his Ph.D. in political science from the University of Chicago in 1969. Professor Rosenbloom writes extensively about public administration and democratic constitutionalism. He is the 2001 recipient of the American Political Science Association's John Gaus award for exemplary scholarship in the joint tradition of political science and public administration. In 1999, he received the American Society for Public Administration's Dwight Waldo Award for his outstanding contributions to the field. He is a member of the National Academy of Public Administration from which he received the 2001 Louis Brownlow Book Award for his book on Building a Legislative-Centered Public Administration. He sits on the Board of Trustees of Marietta College and served on the 1992 Clinton-Gore Presidential Transition Team for the U.S. Office of Personnel Management.

Robert S. Kravchuk is Associate Professor in the School of Public and Environmental Affairs at Indiana University. His teaching and research focus on budget and administrative reform, budgetary politics, and the political economy of former socialist economies in transition, with a special emphasis on Ukraine. His administrative experience includes service as Under Secretary in the Connecticut State budget office, U.S. Treasury Department Resident Budget Advisor to the Ukrainian Minister of Finance, and appointment by the U.S. Secretaries of State and the Treasury as the Financial Advisor to the President of Bosnia-Herzegovina. A frequent writer and lecturer on public budgeting and administrative reform and capacity building, Professor Kravchuk has taught at the University of Connecticut, the University of Hartford, and Le Moyne College. He lives in Bloomington, Indiana, with his wife and two children.

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## PREFACE TO THE SIXTH EDITION

A great deal has changed since the previous edition of Public Administration: Understanding Management, Politics, and Law in the Public Sector went to press. The nation suffered the terrorist strikes of September 11, 2001; waged war in Afghanistan and Iraq; contended with a stubbornly sluggish economy; and, at the federal level, went from budget surpluses to deep deficits. The national effort to defend against a very broad range of potential terrorist threats places a spotlight on the complexity of today's public administration. Coordinating intelligence, intergovernmental relations, emergency responses, and public health, border, port, and air security presents Herculean challenges. So does the Department of Homeland Security's highly visible attempt to forge a coherent organization out of the twenty-two preexisting agencies and 180,000 employees who were folded into it. However, if the homeland security effort differs from public administration generally, it is in scope, not in kind. The need to deal with change and complexity is characteristic of many administrative activities, from the smallest local governments to the largest federal departments.

How can public administration educators respond to the omnipresence of rapid change and complexity? The question is not new. One answer is to ground students in the fundamentals of public administration while embracing complexity by rejecting the idea that public administrative activity can be governed by one set of values and processes or arranged in a single best way. That has been the mission of this book ever since the first edition appeared in 1986. This sixth edition continues to describe, explain, and analyze public administration from the point of view of three well-established perspectives: management, politics, and law. These perspectives are related to the constitutional separation of powers and ingrained in the American political culture. They have even deeper roots in the liberal tradition of Western political thought developed by Thomas Hobbes, John Locke, Charles Louis de Secondat Montesquieu, Jean-Jacques Rousseau, and others. Each perspective is distinguished by its core values and approaches for maximizing them. None is stagnant. Each responds to political, economic, social, technological, security, and other changes in the national and global environments.

Change generates new approaches and understandings. In the 1990s, the traditional managerial perspective, based on what has become known as the public administrative "orthodoxy," was challenged by the new public

management (NPM), or reinventing government, movement. The challenge continues. The NPM has demonstrated staying power, but not dominance. Public Administration: Understanding Management, Politics, and Law in the Public Sector explains both approaches to management and shows that the NPM, like the orthodox perspective, is comprehensive and coherent in its approaches to the core public administrative areas of organization, human resources management, budgeting, decision making, policy analysis and implementation evaluation, regulatory administration, dealing with the public, and accountability and ethics. However, a managerial perspective alone is insufficient to capture the complexity of contemporary public administration. For that, political and legal perspectives are necessary as well.

Complexity may breed confusion, but not necessarily. Public Administration: Understanding Management, Politics, and Law in the Public Sector has proved eminently teachable. In a review published in the Journal of Public Affairs Education, Chester Newland, one of the field's leading contributors, noted that the book is the "most widely adopted public administration text" and wrote that it "stretches beyond textbook excellence" because it "facilitates an understanding of the connectedness of management, politics, and law in the field . . . of public administration, thereby transforming this expertly detailed text into a strong treatise." Newland also observed that our emphasis on how the three perspectives converge "elevates" the book "as an authoritative treatise." The sixth edition builds on these strengths while thoroughly updating the material covered.

The book's success abroad has surprised us. It is clearly an American text, tied to the separation of powers. Nevertheless, it is now in two separate Chinese editions and to our knowledge is used in the Georgian Republic, Hungary, Israel, Korea, the Netherlands, Portugal, Singapore, Taiwan, and Ukraine. Although the managerial, political, and legal approaches we discuss are clearly linked to the separation of powers, they also have a universal quality. Perhaps the book's broader appeal lies in its integration of law into discussions of all the core areas of public administration and its comprehensive treatment of the field through three enduring lenses.

Getting to a sixth edition is itself cause for celebration. We thank our readers for getting us here and welcome comments and suggestions for improving the book.

#### → ACKNOWLEDGMENTS

Naming all the colleagues and students who have directly and indirectly improved this book would require several pages. We hope it is enough once again to say that it has benefited greatly from the warm collegiality and generosity that characterizes those who are dedicated to the study and reflective practice of public administration. Both American University and Indiana University provide wonderful intellectual environments and deep reservoirs of knowledge of public management that strongly contributed to this sixth

edition. In particular, Suzanne Piotrowski, Lorenda A. Naylor, and Tracy Von Ins provided valuable intellectual insights and suggestions for revision. Finally, special thanks to those reviewers whose detailed reading of the fifth edition and thoughtful recommendations provided excellent guidance for developing the sixth: Joy Clay, University of Memphis; Craig Curtis, Bradley University; Keith Henderson, State University of New York, Buffalo; Rob Kweit, University of North Dakota; Matthew Mingus, Western Michigan University; J. Patrick Plumlee, University of North Florida; Michael Spicer, Cleveland State University; and Morris A. Taylor, Southern Illinois University.

David H. Rosenbloom Robert S. Kravchuk

#### Notes

- 1. Dwight Waldo, ed., *Public Administration in a Time of Turbulence* (Scranton, Pa.: Chandler, 1971).
- Chester A. Newland, "Texts and Treatises in Searches for Excellence: Sorting through Public Affairs Dynamics and Enduring Governance Fundamentals," *Journal of Public Affairs Education* 9 (No. 2; 2003): 140, 142–143.
- 3. Ibid., 143.

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## PREFACE TO THE FIRST EDITION

Dublic Administration: Understanding Management, Politics, and Law in the Public Sector appears sixty years after the publication of the first major American public administration textbook, Leonard D. White's Introduction to the Study of Public Administration (1926). White viewed public administration as "the heart of the problem of modern government." He tried not only to explain and cover his subject matter comprehensively but also to frame the discipline of public administration and its discourse. I have sought to remain within the tradition of public administration texts begun by White. Public Administration: Understanding Management, Politics, and Law in the Public Sector agrees with White that public administration is central to modern government. It also presents an intellectual framework that can be a device for developing a deep and comprehensive understanding of contemporary public administration in all its complexity. I believe that this framework can provide a basis for further fruitful discourse and development in the discipline and practice of public administration. Ironically—but not really surprisingly—the most succinct description of the intellectual framework employed here is Dwight Waldo's, rather than my own. With reference to my essay introducing the framework, Waldo remarked:

. . . David Rosenbloom has set forth the structure of the problem before us. For each of the three constitutional branches, he points out, there is a body of doctrine, set of values, collection of instruments, and repertoire of procedures. For the executive branch this "cluster" is administrative, managerial, bureaucratic, and the emphasis is upon effectiveness and efficiency. For the legislative branch the cluster is political and policy making, and the emphasis is upon the values of representativeness and responsiveness. For the judicial branch the cluster is legal, and the emphasis is on constitutional integrity on one side and substantive and procedural protections for individuals on the other.

Realistically our public administration does consist of varying mixtures of these three approaches or clusters. It is not just undesirable, it is impossible to narrow the concerns of public administration to any one of them. Our task is to find the proper way to put the three together.<sup>3</sup>

These clusters (I call them approaches or perspectives) are an outgrowth of the constitutional separation of powers; they are inherent in our political culture

and institutions. As public administration is central to contemporary American government, these approaches are central to our contemporary public administration.

Waldo called this framework "both an excellent analysis and an excellent prescription." Public Administration: Understanding Management, Politics, and Law in the Public Sector engages the task of putting the three approaches together. I hope the reader will find this effort worthwhile and participate in it. Together we may be able to help resolve the problem of modern government; certainly we can improve our understanding and practice of public administration.

The book is divided into four parts. Part One introduces the book's intellectual framework and discusses the development of public administration in the United States. Part Two considers public administration's core functions: organization, personnel, budgeting, decision making, and policy analysis and evaluation. Each of these areas is analyzed from the perspectives of management, politics, and law. Efforts are made to synthesize these three perspectives with regard to each core function. Part Three analyzes regulatory administration as an illustration of the interplay of management, politics, and law in the public sector. Part Four focuses on the place of the "public" and the "public interest" in public administration. Chapters are devoted to public administration and the public, public administration and democratic constitutionalism, and accountability and ethics. The concluding chapter is devoted to the prospects for building a new "administrative culture."

The book is accompanied by an instructor's manual, which includes a test bank.

In many respects, *Public Administration: Understanding Management*, *Politics, and Law in the Public Sector* differs from other texts in the field. It addresses the complexity of public administration in theory and practice. It provides a comprehensive intellectual framework. It emphasizes *understanding* public administration in its presentation of information, description, theory, and interpretation. It is an ambitious book. I hope you find it rewarding.

#### Notes

- 1. Leonard D. White, *Introduction to the Study of Public Administration* (New York: Macmillan, 1926), preface.
- 2. David H. Rosenbloom, "Public Administrative Theory and the Separation of Powers," *Public Administration Review* 43 (May/June 1983): 219–227.
- Brack Brown and Richard J. Stillman, "A Conversation with Dwight Waldo: An Agenda for Future Reflections," *Public Administration Review* 45 (July/August 1985): 463–464.
- 4. Ibid., 464.

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