

PUBLIC ADMINISTRATION AND PUBLIC MANAGEMENT ORIGINAL TEXTBOOK SERIES

公共管理英文版教材系列
高等学校公共管理类双语教学推荐教材

Public Management and Administration: An Introduction

FOURTH EDITION
(第四版)

公共管理导论

[澳] Owen E. Hughes (欧文·E·休斯) 著

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出版说明

21 世纪，我国的公共管理学呈现良好的发展势头，在教育界、理论界、实务界等社会各界的共同努力下，公共管理专业教育正逐渐与世界同步。为了全面深入地反映国外公共行政与公共管理的发展脉络，系统完整地介绍国外公共行政与公共管理专业的经典著作和最新研究成果，让国内读者直接阅读原汁原味的英文原著，提高教学研究和实际工作水平，中国人民大学出版社引进了公共管理英文版系列教材，影印出版。

本系列教材所选书目均系国外公共行政与公共管理领域最权威的专家所著的经典著作，是国外知名大学正在使用的权威教科书，综合反映了当前本领域的理论发展现状与实际操作水平。本系列教材注重理论与实践紧密结合，对于系统培养学生思考 and 解决实际问题的能力大有裨益。同时，所选教材行文流畅，简洁易懂，便于阅读。

为了使读者对每本教材有一个整体了解，把握该书在公共行政与公共管理学中的地位与价值，我们特别邀请专家对每本书撰写了导读，并把目录翻译成中文，供读者阅读时参考。同时，中国人民大学出版社将于近期陆续推出本系列教材的中文版。

需要特别提及的是，我们出版这套系列教材，并不表明我们赞成这些著作中的每一个观点。这些著作都基于西方特定的行政生态，是西方公共行政与公共管理理论与实践发展的产物，读者在阅读时不应忘记“取其精华，去其糟粕”的原则。

当前，我国的高等教育改革取得了突破性的进展，其中一项切实的举措即是规定有条件的高校实行双语教学，教育部对此也有具体的要求。贯彻这一精神，满足我国高等教育国际化发展的需要，提高学生阅读专业英语资料的能力，也是我们影印出版这套公共管理教材的初衷。

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导 读

伴随着全球化、信息化、民主化的加速推进，公共事务和政府不可治理性日益增强。处在这样一个充满变革与挑战的时代里，一个高效、有能力的政府是一国长治久安的必需品，而非奢侈品。20 世纪 80 年代初，一些西方国家相继陷入了滞胀困境，接踵而至的是政府财务危机和信任危机的爆发。为了化解政府合法性危机、维护社会稳定，西方主要发达国家纷纷对其政府的组织形态和运作方式进行了大刀阔斧的改革。这场旷日持久的政府变革运动几乎席卷全球，直至今天仍然持续着。变革既意味着对传统公共行政的反思与扬弃，也意味着对一种符合时代情境的新型政府治理典范的探寻与建构。不可否认的是，这场变革促使了一个更有效、更富有活力的政府的形成：从官僚制政府转向企业家政府；从层级节制转向扁平授能；从行政管制转向亲市场行为；从过程导向转向结果导向；从官僚本位转向顾客本位；从去人格化转向个体的能动负责。对于这股浪潮，一向有着不同的称谓，如新右派、新治理、管理主义、企业型政府、市场基准的公共行政等，它们都可被称为公共管理或“新公共管理”。对于“新公共管理”是否足以构成一种新的典范，仍存在广泛的争论。有些学者主张新公共管理已经成为一种典范，而另一些学者则反对在公共部门管理中应用典范变革的概念。

澳大利亚皇家墨尔本理工大学教授欧文·E·休斯认为一种新的典范确已形成，并已替代了传统公共行政典范。在欧文·E·休斯看来，“公共管理”一词足以涵盖这一新典范的内容特质。“公共管理”典范摒弃了传统公共行政政治与行政二分、正统官僚制的僵化教条，实现了从“行政”向“管理”的转变。它以公共选择以及其他相关经济学理论为基础，重新界定了政治领导人和行政官员之间的关系，形塑了一个更为弹性、灵活的政府组织形态，引入了更为有效、多样化的政府治理工具，明晰了政府与其外部环境要素间的互动关联。“公共管理”典范所包含的一系列改革措施已经付诸实践，并且发挥了卓越的功效。这也是作者将“公共管理”视为一种新型典范的重要原因之一。但是，欧文·E·休斯并不认为“新公共管理”包含了一个典范构成的所有要素。他认为“新公共管理”的术语功能远大于它的理论功用，“新公共管理”的主要作用在于将分散的变革措施囊括于一个术语涵摄范围内而呈现给人们一个整体性概念。当然，欧文·E·休斯也指出，典范的变迁并不是对历史传统的完全抛弃，而是在批判和继承的基础上，实现一种科学理性的扬弃。

《公共管理导论》正是欧文·E·休斯教授在对传统公共行政模式与新公共管理模式两种典范进行比较的基础上撰写的一部颇有价值的学术著作。《公共管理导论》的出版确立了他在公共管理领域的地位。《公共管理导论》曾先后于 1994 年、1998 年、2003 年、2012 年分别出版了第一版、第二版、第三版和第四版。我们在此介绍的是其第四版。第四版在第三版的基础上做出了重大调整，作者重新撰写了部分章

节,并对一些章节进行了修缮和删并。但本书的核心观点仍然是公共管理作为一种新型政府治理典范,终将代替传统公共行政。本书大致上可划分为六部分。其中第1~2章阐释了一些基础性概念,介绍了公共部门变革的背景和必要性,概括了政府作为一个组织实体所扮演的角色、承担的职能和运用的工具。第3~6章详尽阐述了公共管理发展历程中的若干模式,包括传统的公共行政模式、新公共管理模式、公共政策模式以及治理模式。作者从基础理论流派、内涵概念、构成要素、问题局限性以及发展趋势等方面对这几种模式进行了系统的阐释。第7~9章探讨了公共部门与外部环境要素之间的关系。公共部门通过管制、外包、公共企业经营以及民营化等方式与外部利益集团、政策共同体之间互动。这一过程既能产生正面效果,也可能诱发负面问题,而贯穿于这一过程的责任问题亦值得重视。第10~13章全面介绍了在公共管理典范下政府内部管理的内容与技术,包括战略管理、领导力和人事管理、财政和绩效管理以及电子政务的运用和发展。第14章单辟章节,审视了发展中国家公共管理的发展历程、存在的问题和未来的趋势。第15章重申了本书的观点,进一步总结了公共管理作为一种新典范在理论上和实践中的良好特质,以及公共管理终将替代传统公共行政的必然性。总而言之,第四版较上一版,具有更强的系统性和更为显著的时代回应性。

《公共管理导论》一书论点鲜明、论证有力、论据翔实,具有较高的学术和实践价值。具体而言,本书在以下几方面是值得称赞的:一是具备较强的时代性。本书全面客观地勾勒了20世纪80年代以来全球范围内的政府变革运动的脉络与轨迹,它涉及了公共部门变革动力、变革阶段、改革措施、问题流弊、未来趋势等多方面内容。此外,它并没有把视野局限于西方发达国家,而是放眼世界,全面审视。二是全书贯穿着比较的逻辑思维。欧文·E·休斯正是在对传统公共行政和现代公共管理进行对比分析的基础上,得出传统公共行政终将退出历史舞台,并且被公共管理典范取而代之的结论。三是本书言简意赅、语言通俗易懂、结构严谨、层次清晰,它既可以作为公共管理学科的基础性、入门性读物,也可作为公共管理领域的学者和实务工作者的重要参考资料。当然,诚如欧文·E·休斯所言,并不存在一个超越时空、地域的普适性公共管理典范。公共管理并非处于真空当中,而是时刻与周围的环境相互作用着。因此,公共管理模式需与一国的政治秩序相一致、经济体制相配套、文化价值相契合、公民需求相适应。从这一层面来说,欧文·E·休斯的这本著作是以西方国家的社会制度为背景,其所提出的一些理论、原则与方法难免具有偏狭的地域主义色彩。读者需一眼看着书本,一眼盯着实践,辩证客观地看待书中的一些观点和内容。

本书简体中文版译者 张成福

Preface

Since the 1980s, the public sectors of most Western countries have undertaken major changes. Many developing countries have also instituted reforms. To have such widespread reform is uncommon; in normal circumstances, reform may occur in one country or another more-or-less sporadically. On looking back, what does seem clear is that, from the mid-1970s, many governments had become dissatisfied with their own public sectors, and in particular with the methods of bureaucracy and a lack of managerial competence. The time-honoured processes, procedures and theories of public administration seemed ill-equipped to deal with rapid change, and with public administrators often being regarded by political leaders as obstructive and unresponsive. Reforms were instituted in many jurisdictions. And, once change began, it became apparent that many of the old ways were not universal, were not needed and could be supplanted by other forms of management. It is argued here that this period of change represents a paradigm shift from the traditional model of public administration, dominant for most of the twentieth century, to public management.

This fourth edition is a major rewrite of earlier editions. The first edition in 1994 was somewhat speculative in arguing that there was now a new approach to organizing government, and that the old model of bureaucracy was being replaced. By 2012 and the fourth edition, many of the changes have not only taken effect, but the corporate memory that there ever was an earlier theory has largely gone from actual practice. There may be some historical interest in the traditional model of public administration but its direct relevance has faded away. There are many opinions as to what constitutes public management, and various views are discussed in what follows. The fundamental point of difference between the two models, as discussed in Chapter 1, is that administration means following instructions, and management means control or taking in hand. A public manager is required to achieve results and is, moreover, personally responsible for doing so. From this change, much else follows. If the manager is to achieve results, the ways and means of doing so will draw on other disciplines to assist in the primary task.

The change to public management does not mean the automatic embrace of the reform movement known as 'new public management', often abbreviated to NPM. There were many reforms, and a range of

approaches in different countries, so it was rather simplistic to classify them all as NPM. NPM has either been superseded or perhaps it never existed other than in the eyes of critics. 'Public management' is the term in general use now, being descriptive of what practitioners actually do.

The content and order of chapters has changed from the Third Edition. The first part (Chapters 1 and 2) are essentially introductory. Chapter 1 is still titled 'An Era of Change', as the era of public sector change that began in the 1980s shows no real sign of diminishing. Chapter 2 introduces the scope and scale of government, as anyone interested in public management needs to have some idea of the arguments about and theories of its roles in society and the economy.

The second part (Chapters 3–6) discusses different approaches to the study of the public sector, with chapters on public administration, public management, public policy, and governance. Chapter 3 is about the traditional model of public administration, argued here to be obsolete despite its long and distinguished history. Chapter 4 sets out the main changes involved in the adoption of public management and discusses why NPM is not a useful construct. Chapter 5 discusses public policy, and Chapter 6 is a new chapter on governance, an area of study seen by some as taking over from other kinds of management.

The third part (Chapters 7–9) looks at different ways of interacting with actors outside the agency, including stakeholders, business interests and the issues of accountability endemic in the public sector. An external focus is one of the key differences in a public management model compared to a public administration model. Public managers now have to interact with outsiders much more than before. It is normal to have to work with interest groups, to engage contractors and to work with business. The chapter in earlier editions on public enterprises has been subsumed into a new chapter, which now also looks at contracting and regulation.

The fourth part (Chapters 10–13) examines internal matters within agencies in the context of public sector change, discussing explicitly how these were run and organized in the traditional model and in public management. Major change has certainly occurred in all of these: financial systems have been transformed and personnel arrangements widely adopted that emulate practice in the private sector, rather than assuming that the old administrative ways were best. In all these cases, it is remarkable how far public management has now moved away from public administration. For example, the discussion of leadership (Chapter 11) is quite antithetical to a Weberian bureaucracy, as, in that theory, any kind of personality was strictly to be removed from any consideration. Chapter 14 looks at public management, with the key issue being whether developing countries need to be path-dependent by first following the traditional model of bureaucracy before adopting public management.

Finally, Chapter 15 considers the issue common across the whole work: whether public administration and public management can be considered paradigms, and in addition looks at some of the criticisms of managerial reform as a whole. Criticisms have been made by other writers regarding whether there is a new paradigm (or even an old one), whether there is a global movement of public sector reform, and even whether anything has in fact changed at all. The argument in this book is that there has been a major change and it deserves the appellation of a paradigm. Anyone working in public services can see that something has happened. Public management is different from traditional public administration and, regardless of critiques, it is here and here to stay. However, change does not occur without cost. There are perennial issues of accountability; and perhaps some managerial changes will result in little, if any, benefit. There is, however, no reason to assume that public management will be dropped and the traditional model re-adopted; indeed, more recent developments in the field, such as leadership, collaboration, co-production, even governance, are all even further away from the traditional model of public administration.

There are a number of people to thank. First, I wish to thank my publisher, Steven Kennedy, of Palgrave Macmillan – the publisher since the first edition back in 1994. I also wish to thank others who have helped me with this book and its predecessors. In the fields of public management and public administration these include, in no particular order, Peter deLeon and Linda deLeon, Delmer Dunn, Colin Campbell, Christoph Reichard, Neil Carter, Gordon Clark, Ferrell Heady, Stephen Osborne, Erik-Hans Klijn, Ignacio Criado, Dong Keyong, Zhang Chengfu, Li Bing, and Jean Hartley. At Monash, I must point to colleagues including Deirdre O'Neill, Linda McGuire, Rob Brooks, David Watson and Julian Teicher, and former Deans, Gill Palmer and Stephen King; and at the Australia and New Zealand School of Government, colleagues John Alford and Allan Fels. I must also mention Colin Reaney and Karee Dahl, whose house in France I stayed in while writing the first edition. Most of all I wish to thank Cathy Woodward and our three daughters Caitlin, Sophie and Lucy, now aged fifteen, twelve and nine.

OWEN E. HUGHES

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