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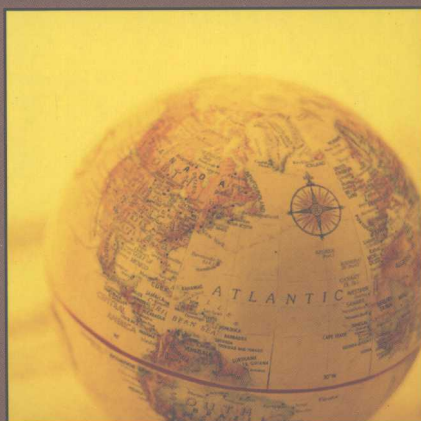
Current Issues in Public Administration

【 Sixth Edition 】

公共行政的当代议题

【 第六版 】

■ *Frederick S. Lane* 弗里德里克·雷恩



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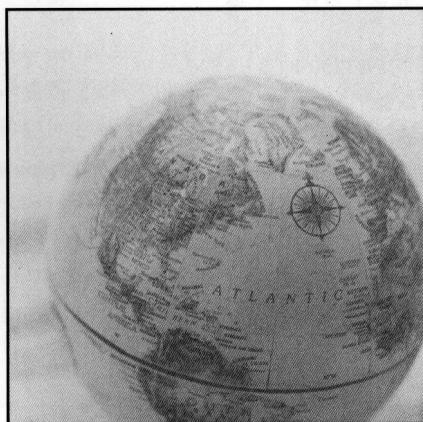
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北京市版权局著作权合同登记号 图字 01-2006-2148

图书在版编目(CIP)数据

公共行政的当代议题(第六版)/(美)雷恩主编. —影印本. —北京:北京大学出版社,2007.4

(公共管理学经典教材原版影印丛书)

ISBN 978-7-301-11290-8

I. 公… II. 雷… III. ①公共管理—教材—英文 ②行政学—教材—英文
IV. D035

中国版本图书馆 CIP 数据核字(2006)第 136513 号

Frederick S. Lane

Current Issues in Public Administration(sixth edition)

ISBN 0-312-15249-3

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9780312152499

书 名:公共行政的当代议题(第六版)

著作责任者:[美]弗里德里克·雷恩 主编

责任编辑:倪宇洁

标准书号:ISBN 978-7-301-11290-8/D·1626

出版发行:北京大学出版社

地 址:北京市海淀区成府路 205 号 100871

网 址: <http://www.pup.cn> 电子信箱: ss@pup.pku.edu.cn

电 话:邮购部 62752015 发行部 62750672 出版部 62754962 编辑部 62753121/62765016

印 刷 者:北京宏伟双华印刷有限公司

经 销 者:新华书店

787 毫米×1092 毫米 16 开本 28.25 印张 847 千字

2007 年 4 月第 1 版 2007 年 4 月第 1 次印刷

定 价:45.00 元

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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

PREFACE

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ABOUT THE BOOK

There are 20 million civilian public employees in some 86,000 units of government in the United States today. Governmental expenditures add up to about one-third of the nation's total of goods and services. It is hard to imagine any aspect of contemporary life in which government and especially its administrative agencies are not involved. Public bureaucracies deliver most of our educational and health care services, fight fires and crime, protect the air and water, and regulate business practices—just to list a few public functions. No matter what the contemporary challenge—AIDS, drugs, homelessness, political change in Eastern Europe—public administration is central to the response.

As important as public bureaucracies are, Americans have shown concern about the bureaucratization of modern society. Many claim that government is too big and tries to do too much, that bureaucracy only means red tape and inefficiency, and that public administrators are too powerful in American life. Yet there are others who claim that government needs to provide even more services, especially for the poor and disadvantaged; these Americans often view public organizations more favorably, although they are still interested in making government work better. These concerns are as current as today's newspaper headlines or TV news stories. And the background for much of this discussion can be found in this volume, *Current Issues in Public Administration*.

This sixth edition of *Current Issues* has five main objectives:

1. *To introduce and survey* the workings of public organizations and public administrators to students without any previous coursework in this field.
2. *To present articles that are interesting, readable, and thought-provoking*, involving and challenging the student to learn how these bureaucracies actually work.
3. *To provide a comprehensive set of readings*, blending material about the political environment in which public agencies operate, the organizational and managerial aspects of work inside bureaucracies, and analytical approaches to improving public administration.
4. *To focus on state, local, and intergovernmental aspects* of modern public administration in addition to the national scene, even when it is the federal government that sets the tone for much public administrative activity in our country.

5. In all this, to emphasize the current dimensions of the many important issues facing governmental administrative agencies at the beginning of the twenty-first century.

All of these have been carefully placed into the thirty-one articles in this volume. In terms of student reading, this means two or three articles a week during a typical academic term.

NEW TO THE SIXTH EDITION

Of the thirty-one articles presented here, sixteen are new to this edition. *Current Issues* continues to attempt to balance historical, political, organizational, managerial, analytical, and policy perspectives on Public Administration, and it asks the classic questions in this field as they appear in the contemporary context.

However, there have been two important alterations in this edition:

1. Perhaps inevitably, *this edition focuses on American public administration at the dawn of the new century*; the emphasis throughout is on a new environment, including the topics of information technology and a global society.
2. *Four public administration cases have been added* at the end of the volume for instructors who like to include real-life, contemporary, and richly illustrative case studies in their survey course in this field.

ACKNOWLEDGMENTS

In preparing the sixth edition, I have sought the advice of faculty members throughout the nation who regularly teach the introductory graduate and undergraduate courses in public administration. Their advice was most helpful, and their contributions are hereby acknowledged:

Ruth Hoogland DeHoog, University of North Carolina at Greensboro; Jeffrey D. Greene, University of Montana; Mark W. Huddleston, University of Delaware; Susan Hunter, West Virginia University; Robert LaPorte Jr., The Pennsylvania State University; Douglas Shumavon, Miami University (Ohio); Khi V. Thai, Florida Atlantic University; and Lou Weschler, Arizona State University.

In this revision, three academic libraries provided valuable assistance: the Anita and William Newman Library at Bernard M. Baruch College of the City University of New York, the Mina Rees Library at the Graduate School and University Center of the City University of New York, and the Francis Harvey Green Library at West Chester University of Pennsylvania. In connection with library research for this edition, I would also like to acknowledge the efforts of my graduate assistant, Fengping Guo.

I would also like to acknowledge others who tirelessly support my activities, especially Lila Siller, Gail Haney, Becky Hook, and Grace Kelly.

For their patience and diligence, I especially appreciate having the assistance of Scott Hitchcock, Susan Cottenden, and the entire staff at Bedford/St. Martin's.

In this and in all things, I am deeply indebted to my wife, Madeleine Wing Adler, and my sons, Cary and Rand Lane, for their love, support, and advice.

On May 30, 1995, I lost a dear friend, and stepson, at the age of 26. J. Peter Adler enjoyed government and politics, but he loved the theater even more. Through no fault of his own, for an instant he happened to be at the wrong place at the wrong time. Each day he is sorely missed—his brilliance, his energy, and his caring—and this book is dedicated, with love, to J. Peter.

INTRODUCTION

.....

Public administration is an ancient activity common to just about all countries and all levels of government.¹ But public administrative traditions, structures, and processes vary widely from one country to another. This volume concerns public administration in the United States.

The term *public administration* combines two words. *Administration* is easier to define: organizing and maintaining human and fiscal resources to attain a group's goals. The group might be a small social club or a large automobile manufacturer. It might also be your local police department or the U.S. Department of Health and Human Services.

Public is harder to define. Public has to do with people, a community, or a society. Most of us went to public schools. We play in public parks. Your state's governor and others hold public office.

Public has another meaning. It also suggests that public administration is open to general knowledge, scrutiny, and review.

A variety of other terms are closely associated with the field of public administration. Higher education for public administration takes place in a wide range of settings: political science departments; schools and programs called public affairs, public policy, public service, government, or public administration; and schools of business and public administration, where public administration is sometimes called public management. Closely related courses can also be found in programs dealing with criminal justice, health care, social work, education, and recreation administration. All of these terms and activities are closely related. The traditional, most widely accepted, and most meaningful label, however, remains *public administration*.

THE PUBLIC POLICY SYSTEM

For the introductory student, it is particularly important to understand the relationships between government, politics, public policy, and public administration. To begin with, government is the mechanism that a human community employs to protect its members from internal and external threats and to establish the policies that will provide the most favorable conditions for pursuing individuals' lives.² Government then, is the formal mechanism created and used to guide a society. Democratic government is influenced and, in the end, controlled by the participants in the political system through the process of politics.

As indicated in the foregoing definition, public policies are the results of government. The nation's political system is also its policy system. Social and

economic factors are important to policy making but influence public policies only as they affect the political system.

Figure 1 depicts the national policy system, eight principal participants in the national policy system:

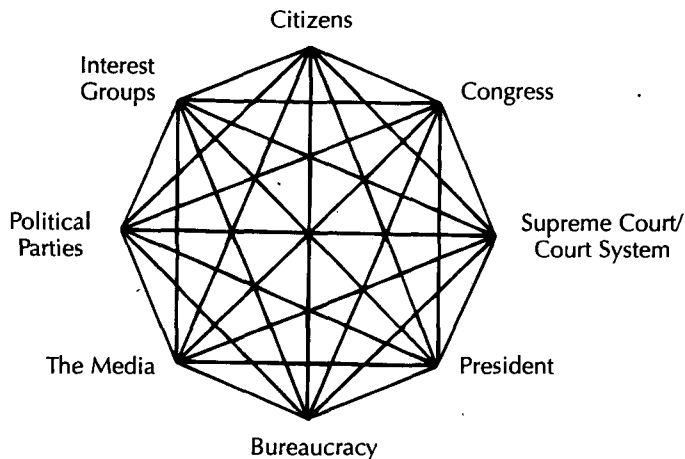
1. Citizens
2. Congress
3. The president
4. The U.S. Supreme Court and federal court system
5. The federal bureaucracy
6. Interest groups
7. Political parties
8. The media

The lines in Figure 1 represent the relationships and interactions among the actors in the policy system. Depending on the issues at any particular time and the specific actors involved, these relations range from direct and continuous and intense to indirect and intermittent.

In the United States, state and local levels of government have their own policy systems, which are connected through our federal form of government. Federalism and intergovernmental relations raise some of the most important current issues regarding the formulation of public policy and its implementation.

Governmental administrative agencies make up the overwhelming majority of the apparatus of government. These public agencies are often called bureaucracies. The field of public administration is the study of the activities and impact of governmental bureaucracies.

Figure 1. The National Policy System



Adapted from a pictorial scheme developed by the late Professor Roscoe C. Martin.

THE STAGES OF THE PUBLIC POLICY-MAKING PROCESS

We think of public policy as occurring in five stages:

1. Policy initiation
2. Policy formulation, articulation, and consideration
3. Policy legitimation (formal approval)
4. Policy implementation
5. Policy evaluation

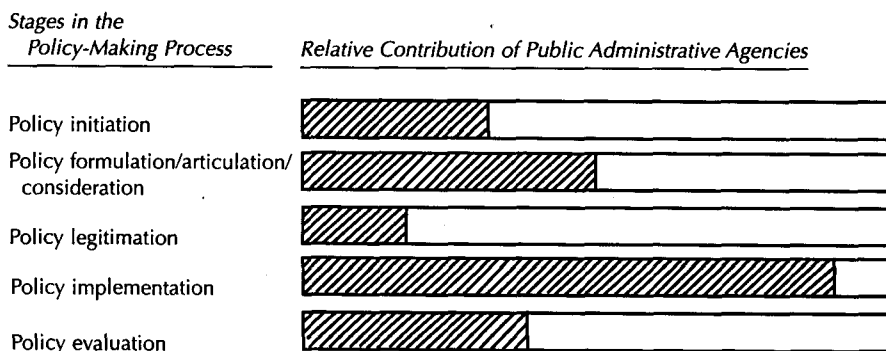
These stages are shown in Figure 2.

Public bureaucracies are most often associated with policy implementation. This has a long tradition in the public administration literature. A century ago, in 1887, a then young scholar, Woodrow Wilson, published an essay titled "The Study of Administration."³ In this article, Wilson advocated a distinction between the first three stages of the policy-making process—initiation, formulation, and legitimation—and the fourth stage, implementation. This is sometimes referred to as the policy-administration dichotomy.

Wilson's essay came out of a legally oriented tradition in political science, where elected legislators, "lawmakers," were expected to make public policy, and administrators were expected to carry out these policies. Wilson's essay also appeared after a century of the "spoils" approach to governmental employment, and Wilson sought to increase the competence and ethics expected of public employees.

From the beginning, Wilson's dichotomy greatly oversimplified reality. And if it was ever true, the policy-administration dichotomy is certainly not valid today. As shown in Figure 2, public administrative agencies are engaged in all stages of public policy making, in addition to implementation. Some examples: Public executives often initiate ideas for new or improved public policies. Public administrators regularly interact with their agency's clients and other interested groups as well as with legislative committees, their members, and their staffs in the formulation of new public policies. Public executives testify regularly at legislative hearings considering proposals for different public policies. And administrative agencies increasingly evaluate the effectiveness and impact of public policies by surveying citizens and otherwise employing systematic research methods.

Figure 2. Public Administration in Terms of the Public Policy-Making Process



PUBLIC ADMINISTRATION AND POWER

Much is said these days about the power of public bureaucracies. It is a topic we will begin to address in the first chapter and continue to consider throughout this book. The basic reason public administrative agencies have power is because of their expertise—to build dams, fight fires, even just process the paperwork so that an elderly relative receives a social security check on time. But power and public administration are far more complicated than that.

How can we understand why bureaucracies have power within the policy system and even why some bureaucracies are more powerful than others? To begin with, the power of public agencies derives from two main sources: the influence of the agency's clients and constituents and the character and priority of the agency's activities.⁴ If an agency's clients are organized and powerful—business groups, for example—the agency has relatively greater authority and influence. In addition, if a public agency is concerned with broad-based matters of importance—like national defense or economic development—it is more powerful. The relative importance of an agency can change over time, as in the example of public policy toward the energy issue and the federal Department of Energy.

There are other sources of agency power as well. The technical nature of the organization's work (if its activities are hard for the average person to understand, much less perform) and the agency's record of accomplishment also influence an agency's power.

The quality of organizational leadership may also be important. The skill, style, experience, personality, and ability to communicate of the top agency executives are naturally related to the power of an agency.

Similarly, organizational morale and commitment by employees can influence an agency's power. There is a big difference between an organization where everyone leaves at 5 P.M. and another organization where staff members remain after 5 P.M. if there is work to be completed, even if they are not paid to do so.

Finally, an agency's sheer size also affects its power. The number of employees, size of budget, scope of functions, and even geographic distribution of an agency's activities often influence an organization's power in the policy system.

All of these factors influence the power of a public agency—the power available in the policy-making process.

ORGANIZATION OF THIS BOOK

The main text of this volume has been divided into four parts, generally parallel to the current textbooks in this field. Part One introduces public administration as a real-world activity and distinguishes administration in government from administration in business. Moreover, Chapter 1 highlights the challenges and the satisfactions of public service as a career.

Parts Two and Three are the core of the book. Part Two focuses on the political environment in which public bureaucracies operate. It treats the interaction of administrative agencies with the other policy makers, both in the federal government and throughout our intergovernmental system. Chapter 4

gives special attention to the fit between bureaucracy and democracy in modern America.

Part Three focuses on the internal, organizational dynamics basic to understanding bureaucracies and making them work better. This section stresses the management of resources, especially people and money.

Part Four begins by surveying relations among all three sectors of American society: government, business, and nonprofit organizations. Public-private partnerships, regulation, and privatization are all considered. Chapter 10 examines the challenges to American public administration at the beginning of the twenty-first century: reinvention and renewal, and a global society.

The Appendix augments this edition with four, carefully written case studies about public administration in action—one case about the federal government and three cases about local government. These current cases may be used at different points throughout the course or toward its end.

As we enter a new century, this sixth edition of *Current Issues in Public Administration* is designed to provide the solid background needed to understand how the management of government works. In a period of increasing distrust of many societal institutions, *Current Issues* analyzes how the administrative branch of government actually functions and how it *could* function.

Notes

1. See Frederick C. Mosher, "Public Administration," *Encyclopedia Britannica*, 15th ed. (1974).
2. Adapted from Max J. Skidmore and Marshall Carter Tripp, *American Government: A Brief Introduction*, 4th ed. (New York: St. Martin's Press, 1985), p. 1.
3. Woodrow Wilson, "The Study of Administration," *Political Science Quarterly* 2 (June 1887): 197-222.
4. This section is drawn from Francis E. Rourke, *Bureaucracy, Politics, and Public Policy* (Boston: Little, Brown, 1969).

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