

PUBLIC ADMINISTRATION AND PUBLIC MANAGEMENT ORIGINAL TEXTBOOK SERIES

公共管理英文版教材系列

# Public Classics of Administration

FOURTH EDITION  
(第四版)

公共行政学经典

Jay M. Shafritz 杰伊·M·沙夫里茨 Albert C. Hyde 艾伯特·C·海德 编



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中国人民大学出版社

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公共管理英文版教材系列

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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和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。

中国人民大学出版社

2004 年 1 月

## 导 读

1887年，美国学者伍德罗·威尔逊（Woodrow Wilson）在《政治科学》季刊第2期上发表了著名的《行政学之研究》一文，力求说明行政学研究领域的历史，确定这个领域的研究主题，并决定这一领域的最好的研究方法。该文开创了西方公共行政学的研究传统，指明了公共行政学的发展方向，成为公共行政学诞生的象征性标志。经过一个多世纪的发展，公共行政学从无到有，研究的范围不断拓宽，主题不断丰富，方法逐步完善，理论逐步成熟。在当代，公共行政学已构成社会科学特别是政治科学的一个重要的组成部分，并成为与工商管理学并驾齐驱的管理科学的两大支柱之一。

任何一个学科在其形成和发展的过程中都会产生一些被人们称为“经典”的著作，“经典”的最主要的特点在于它的持久的价值或影响力。在百余年的发展、演变的历程中，公共行政学产生了大量的文献，其中不乏对该学科的形成和发展起重要作用或具有持久影响力的作者及著作，它们为公共行政学的发展指明方向，提供基本的概念、理论和方法。这些有代表性和影响力的论著便是公共行政学的“经典”。美国学者沙夫里茨（Jay M. Shafritz）和海德（Albert C. Hyde）编辑出版《公共行政学经典》（Classics of Public Administration）一书的目的正是要将公共行政学发展史上有代表性和影响力的论著挑选出来并加以重印，为这一领域的学者和学生提供一个经典文选，便于他们了解公共行政学的基本理论和方法以及该学科的历史发展。这两位主编在书的“前言”中谈到了选编的三个标准：一是入选论著必须与公共行政学的基本主题相关；二是入选论著必须有意义或影响力，即它们必须对公共行政学学科的发展做出重要贡献；三是入选论著必须具有可读性。

根据上述标准，沙夫里茨和海德从西方公共行政学百余年（1887—1996）发展史中选出有影响的54篇论著，编入《公共行政学经典》一书中。就主题或内容来看，这些论著涉及公共行政学学科典范、公共行政的政治背景、官僚制、组织理论、人力资源管理、预算过程、公共管理的方法和技术、公共政策及其分析、项目评估、政府间关系和公共行政伦理等基本主题。这两位主编按年代顺序来编辑这54篇经典文献。他们认为，这种编辑方法有助于给读者一种关于公共

行政学学科思想连续性的感觉，并表明不同的作者和主题在文献上是如何相互联系和互为基础的。他们将这 54 篇论著安排为如下五编：

第一编：早期的呼声和第一个 25 年（19 世纪 80 年代—20 世纪 20 年代）。收入威尔逊的《行政学之研究》等 7 篇作品。

第二编：新政至 20 世纪中期（1930—1950）。收入赫林的《公共行政和公共利益》等 12 篇作品。

第三编：20 世纪 50—60 年代。收入刘易斯的《走向一种预算理论》等 12 篇作品。

第四编：20 世纪 70—80 年代。收入弗雷德里克森的《走向一种新公共行政学》等 14 篇作品。

第五编：20 世纪 90 年代—世纪之交。收入卡米拉·史蒂弗斯的《公共行政理论的女权主义视角》等 9 篇作品。

此外，编者还为每一编写了一个导言，介绍相关的背景和所收入文献的基本观点，并附有该时期公共行政学发展的大事记，便于读者理解各篇文献的思想，并在总体上把握公共行政学发展的脉络。

20 世纪 80 年代中期，我国恢复了公共行政学或公共管理学的教学与研究，近几年，该学科在我国发展迅速。然而，目前我国公共行政（公共管理）学的教学与研究的水平还不高。一个重要的原因是对基础理论的教学与研究较为薄弱，尤其是在经典文献上所下的功夫不够。《公共行政学经典》（英文版）的出版对改变这种状况将起到积极的作用，尤其对于我国公共行政（公共管理）学的发展有着重要意义。该书所收入的都是名家的作品，这些经典文献经历了时间的考验，涉及不同时期公共行政学的基本主题，涵盖了它的主要的知识领域，并展示出学科的基本概念、理论和方法。

《公共行政学经典》是一本很好的英文版书，它的出版有助于我国公共管理专业的专家、学者和学生比较全面、系统和准确地了解西方公共行政学的理论，了解西方公共行政学发展史以及各种流派及其代表人物的思想观点，奠定扎实的专业知识基础，并提高阅读英文资料的能力。该书可以作为我国公共管理学科各专业的本科生、研究生及 MPA 学员的公共行政学原理、公共行政学原著选读、西方行政学思想史和专业英语等课程的教材或教学参考书，特别适合作为相关课程双语教学的教材。

陈振明

2004 年元旦

## Preface

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**B**e assured—the editors are not so bold as to assert that these are *the* classics of public administration. The field is so diverse that there can be no such list. However, we do contend that it is possible to make a list of many of the discipline's most significant writers and provide representative samples of their work. That is what we have attempted here. It is readily admitted that writers of equal stature have not found their way into this collection and that equally important works of some of the authors included here are missing. Considerations of space and balance necessarily prevailed.

The primary characteristic of a classic in any field is its enduring value. We have classic automobiles, classic works of literature, classic techniques for dealing with legal, medical, or military problems, and so on. Classics emerge and endure through the years because of their continuing ability to be useful. *The Three Musketeers* is as good an adventure story today as it was in 1844 when Alexandre Dumas wrote it. But how many other nineteenth-century novels can you name? Few have general utility for a twentieth-century audience. It has been no different with the professional literature of public administration. Much has been written, but what is still worth reading today or will be tomorrow? The intent of this collection is to make readily available some of the worthwhile material from the past that will be equally valuable for tomorrow.

Our criteria for including a selection was threefold. First the selection had to be relevant to a main theme of public administration. It had to be a basic statement that was consistently echoed or attacked in subsequent years. It also had to be important—of continuing relevance. This leads to our second criterion—significance. The selection had to be generally recognized as a significant contribution to the realm and discipline of public administration. An “unrecognized classic seems to us to be a contradiction. As a rule of thumb, we asked ourselves, “should the serious student of public administration be expected to be able to identify this author and his or her basic themes?” If the answer was yes, then it was so because such a contribution has long been recognized by the discipline as an important theme by a significant writer. While the editors can and expect to be criticized for excluding this or that particular article or writer, it would be difficult to honestly criticize us for our inclusions. The writers chosen are among the most widely quoted and reprinted practitioners and academics in public administration. The basic idea of this book was simply to bring them together. The final criterion for inclusion was readability. We sought selections that would be read and appreciated by people with or without a substantial background in public administration.

The selections are arranged in chronological order over a ninety-six-year period—from Woodrow Wilson in 1887 to Deil S. Wright in 1996. When read in this order, we hope that the collection will give the reader a sense of the continuity of the discipline's thinking and show how the various writers and themes literally build upon each other. This also facilitates introducing the writers' themes as representative of a particular decade. Obviously, many authors can and have spanned the decades with their contributions to the literature of the discipline. Nevertheless, the selections reprinted here should be viewed and discussed in their historical context. While many of the selections might seem quite old to a student readership, do not for a moment think that they are dated. They are considered classics in the first place because of their continuing value to each new generation.



We are pleased that this text is so widely used in schools of, and courses on, public administration. We naturally hesitate to change a product that has proved so useful to our peers. But we had to update it to include important themes of the 1990s. Because of size constraints we couldn't add without also doing some subtracting. Overall we deleted seven of the fifty-one selections from the third edition. However, discussions on the deleted authors (Lilienthal, Long, Seckler-Hudson, Parkinson, Peter and Hull, Wildavsky [on evaluation] and Weiss) were retained in the introductions. We very much regret having had to make these deletions—but we simply had to make room for the ten new selections. Eight of these are in the 1990s (Stivers, Barzelay, Sharkansky, the National Performance Review Report, Kettl, Holzer and Ingraham). We also added selections from the Hoover Commission Report of 1949 and from Alice Rivlin's *Systematic Thinking for Social Action* (1971).

The following individuals were variously helpful in the preparation of this and earlier editions and have earned our thanks: Lawrence Korb of the Brookings Institution; Sam Overman and Robert Gage of the University of Colorado at Denver; Howard McCurdy, David H. Rosenbloom and Bernard Ross of the American University; Katherine Naff and Ray Pomerleau of San Francisco State University; G. Ronald Gilbert of Florida International University; J. Steven Ott of the University of Utah; Delores Foley of the University of Hawaii; Harry A. Bailey of Temple University; Anita Caivara, Breana Coates, Donald Goldstein, Lawrence Howard, Kevin Kearns, Jerome McKinney, Lou Picard, and Harvey L. White of the University of Pittsburgh; Norma Riccucci and Frank J. Thompson of the State University of New York at Albany; E. W. Russell of Monash University, Melbourne Australia; Peter Foot of the Royal Naval College, Greenwich, United Kingdom; Jerry McCaffery of the Naval Postgraduate School; Geert Bouckaert of the Catholic University of Leuven in Belgium; Ari Halachmi of Tennessee State University; Larry Terry of Cleveland State University; Beverly Cigler of Penn State/Harrisburg; Mark Holzer of Rutgers/Newark; and Kenneth Warren of St. Louis University.

We also wish to acknowledge the helpful insight of many past users and experienced instructors, including: Carl Bellone, California State University, Hayward; Richard Chakerian, Florida State University; Donna Cofer, Southwest Missouri State University; Susan Cox, California State University—Long Beach; James Glass, North Texas State University; Andrew McNitt, Eastern Illinois University; Robert Miewald, University of Nebraska, Lincoln; Philip Russo, Miami University; Howard Balanoff, University of Texas; Stephen E. Condrey, University of Georgia; David H. Davis, University of Toledo; Andrew Glassberg, University of Missouri at St. Louis; Donald Kettl, University of Wisconsin at Madison; Greg Protasel, University of Alaska at Anchorage; John Stewart, Pennsylvania State University.

## *Foreword*

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**T**his is a good time to read the classics of public administration. The field of public administration is under assault by both scholars and the public at large. Public trust in the capability of government to carry out large activities in an efficient, responsive manner remains low. Economists wielding public choice theories lend scientific credibility to the general notion that firms in a competitive market consistently outperform government bureaus. Consultants and various elected officials attack public administration with proposals for “reinventing” government. Around the world, governmental responsibilities are being cut back, privatized, and contracted out, all part of a general movement to limit the scope of public administration.

This anthology reminds readers that much still can be learned by studying the knowledge base of the field. From the early attempts to build up the capabilities of the administrative state to the current efforts to limit them, the field of public administration has assembled an impressive body of knowledge. The effort to collect that knowledge, beginning with the conception of the field more than 100 years ago, has been directed toward one guiding objective: to reform public administration in such a way as to make government a more effective servant of the society it serves.

In the beginning, when scholars like Woodrow Wilson and Max Weber began to investigate developments within the executive branch of government, the central problem facing reformers was a lack of administrative capacity. Government organizations were small, poorly run, and frequently corrupt. They needed to be built up. Public administration appeared as a field of study that sought to reform bureaus and agencies by making their management more professional. A profession, by definition, is a field in which practitioners prepare for their work by learning specialized skills and methods as well as the scientific, historical, and scholarly principles underlying them. Public administration is not a profession like law or medicine where entrance to practice is strictly regulated through special examinations or licensing procedures. It is professional in the sense that it rests upon a body of knowledge not easily obtained through simple on-the-job training. That body of knowledge must be learned. A practicing administrator without such knowledge would be no more successful than a practicing engineer ignorant of mechanics.

This book provides an important guide to the early base of knowledge that supports the practice of public administration. The findings from the early period of study, when reformers sought to enlarge administrative capabilities, are still applicable today. Public administrators still have to organize programs. They still have to give orders. They still have to make decisions. They still have to prepare budgets and they still have to motivate workers in effective ways. A government whose executive officials do not understand these basic administrative skills is not a modern government, no matter how extensively reinvented or privatized it is.

The field of public administration has built up a considerable body of knowledge in its 100 year history that addresses matters such as these. The classics can be found in this volume. Readers can peruse Max Weber's famous essay on bureaucracy and Robert Merton's rejoinder on its dysfunctions. They can review Luther Gulick's advice on the principles of administration and Chester Barnard's insights on informal organizations. They can listen to Mary Parker Follett explain the giving of orders.

They can scrutinize theories of human motivation by A. H. Maslow and Douglas McGregor and the science of incremental decision making by Charles Lindblom. Selections like these are as applicable today as when written many decades ago.

In the beginning, public administration consisted largely of methods such as these. That phase in the development of public administration has ended. Practitioners have turned away from government as behemoth. The build-up phase that gave urgency to so many early theories of public administration is over. Public administration is becoming smaller, lighter, more responsive, and like so many other technologies, more complicated.

When governmental agencies first began to provide public services on a large scale, most persons were content to receive simple assistance. To persons accustomed to a rudimentary lifestyle, the simple services that government delivered were superior to the provision of no such services at all. As societies modernized, the public demanded higher levels of sophistication. This transformed the workings of public administration, just as it altered the technical operation of machines like the automobile. A public administrator skilled only in the old system of management is no more useful than a garage mechanic who only knows how to repair forty-year-old automobiles.

Modern public administrators must learn more. They must learn more sophisticated methods of management and they must learn how to be more responsive to the elected officials and publics they serve. Fortunately, the classics of public administration give advice on these issues as well.

The new public management consists of a variety of devices designed to squeeze more accomplishments out of government agencies. It consists of innovative organizational forms, such as those presented by Warren Bennis nearly thirty years ago. It includes cut-back management, as Charles Levine explained twenty years ago. It contains new methods of decentralization, new techniques for tracking performance, and new procedures for creating teamwork within old governmental hierarchies. Most important, it includes a variety of approaches grouped under the general heading of "reinventing" government. Those approaches are aimed principally at the creation of incentives, such as competition, that encourage public managers to improve performance. Again, Jay Shafritz and Albert Hyde have collected the most important works bearing on the improvement of governmental administration, many of them published in the past ten years.

Another important body of knowledge remains. Public administration is more than good management; it is also good government. Public administration is part of the means by which people make and enforce collective decisions about how society is to be run. Collective decisions address issues such as the amount of air pollution that the public will tolerate. They address the redistribution of income and the certification of people eligible to receive it. They determine the means by which criminal acts are defined and deterred. Collective decisions and their implementation differ fundamentally from the buying and selling of goods by privately owned firms.

Public administrators need to understand their role not only as managers of programs, but also as participants in the governing process. Public administrators exercise considerable discretion in their work, from the decisions they make to the organizations they design. They do so under a demanding public eye.

The understanding of public administration as a matter of governance has its roots in the insights of Dwight Waldo and Paul Appleby's works published some fifty years ago. It can be found in classics such as Graham Allison's essay on the differences between public and private management, in

David Rosenbloom's work on the legal basis of public administration, and in the continuing search for an appropriate theory of administrative ethics. Once again, Shafritz and Hyde have collected the most important works in this body of knowledge.

Ideally, practitioners would read widely in preparation for their public responsibilities. They would read all of the classics of public administration in the original texts. Realistically, practitioners do not have the time to do so, especially in an era when schools of public affairs require their students to master other subjects such as statistics and microeconomics. Shafritz and Hyde have performed a great service by assembling the classics of public administration in one accessible volume. In doing so, they have created a classic of their own. No person should attempt to practice public administration without first reading this book.

**Howard E. McCurdy**  
*University of Washington*  
*(1995–96)*  
*The American University*

**Part One**



**Early Voices  
and the First  
Quarter Century  
(1880s to 1920s)**



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