


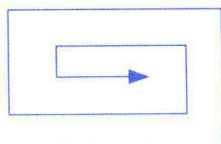


公共治理 与制度创新

董克用 主编

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第一届中美公共管理学术研讨会论文集

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前 言

加强交流 增进了解 促进发展

郭 济

(中国行政管理学会会长)

2002年6月,首届中美公共管理国际学术研讨会在中国人民大学隆重举行。这是中国行政管理学会、美国公共行政学会、中国人民大学和美国罗格斯大学首次联合举办的国际研讨会,来自中国、美国、法国、英国、韩国、日本、澳大利亚、墨西哥、尼日利亚等国的200多名行政学专家学者汇聚一堂,围绕“公共管理与治道变革”的主题进行了为期两天的深入交流和探讨。本次会议对于促进中美两国公共管理研究和学术合作有着重要意义,达到了增进相互了解,加强合作交流,促进共同发展的目标。

新科技革命和经济全球化的到来,推动了经济和社会发展,也给各国政府管理带来了巨大的变革。在过去几十年里,公共管理的环境和技术条件发生了显著的变化,为了适应这一变化,各国政府都以启动系统的改革工程做出应答,以探求适应时代要求的治理模式。20世纪80年代以来,欧美在公共选择理论和新公共管理主义等影响下围绕政府管理职能、管理方式、运行机制、自身管理等方面,开展了大规模的行政改革运动;亚非许多国家也席卷其中,非洲一些国家90年代的“良政”改革,日本的“国民生活性行政和国际化行政”改革,韩国的规制改革等等,而中国以适应市场经济需要为目的而进行的行政体制改革更是持续了20余年。从某种意义上说,每个国家的政府都在不断调整自身的治理方式,对迅速变化的国际国内环境做出反应。在推进改革开放和现代化建设的过程中,中国政府的管理体制和治理模式发生了积极变化并取得了很大成就。伴随着中国正式加入WTO,中国正面临着新的机遇和挑战,政府治理模式和管理方式将经历新的变革。及时总结国内外治理变革的经验,深入研究所面临的问题,正是本次研讨会的初衷,也是

这本论文集的主题所在。

公共管理理论在 20 世纪 70 年代之后得到了长足发展,对于各国治理模式的变革和政府治理能力的提高,发挥了积极的指导作用,所体现的基本趋势是摆脱传统行政理论的束缚,发展和建立更能适应时代变化的政府治理模式。本次国际研讨会不仅展示了我们的研究成果,也了解各国最新研究动态。对于中国来说,近年来公共管理研究和培训迅猛发展,方兴未艾,许多高校相继建立了公共管理学院,有关公共管理的学术论著不断推出。中国行政管理学会和北京行政管理学会联合举办了“治理理论和中国行政改革”研讨会,对国内外治理理论及我国行政改革的意义进行了深入讨论。在实践方面,中国政府管理方式的变革更令世人瞩目,尤其是在政府职能转变、依法行政、政务公开、电子政务、审批制度改革和廉政建设等方面的进程明显加快,政府的公共管理和治理能力有了明显提高。本次国际学术研讨会论文集凸显了各国政府治理模式变革的经验和面临的问题,探讨了政府绩效评估、人力资源开发、电子政务以及危机状态下的政府管理等方面的理论和实践问题。对这些问题的关注,有助于各国增进了解,共同享有学术研究成果和实践经验,也有益于中国同行了解公共管理领域的前沿问题,进而为政府改革提供有价值的参考提议。

江泽民同志考察中国人民大学时,对社会科学的重要性作了深刻论述,并对哲学和社会科学的研究和发展作了重要指示。行政学属于社会科学,是一门综合性、应用性很强的学科。对于学术研究来说,新的理论、新的方法都会产生积极的影响,从而实现行政学的创新、发展和繁荣。中国政府已经正式启动了公共管理硕士(MPA)培养计划,并在中国人民大学设立了专职机构,本次会议期间,国务委员、国务院秘书长王忠禹接见了出席会议的国外专家学者代表,这些都充分体现了政府对公共管理科学的重视和支持。我相信本次国际学术研讨会重要论文的结集出版,将是对本次国际学术会议成果的深化和提升,将为中国行政管理改革和发展提供借鉴,也无疑将推动中国行政管理学的研究工作。

中国行政管理学会是由行政管理实践者、教学科研工作者和行政管理专家学者共同组成的社会性学术团体,在各省、自治区、市建有地方学会,会员上万名,具有广泛的代表性和影响力。自学会成立以来,积极组织和开展各种形式的学术活动,在推动中国行政科学发展,促进行政改革,开展国际学术交流和合作方面,发挥了越来越重要的作用。我们要进一步高举邓小平理论伟大旗帜,贯彻江泽民同志“三个代表”重要思想和在中国人民大学发

表的讲话精神，深入研究行政管理领域全局性、战略性、前瞻性课题，用高质量的科研成果，为政府改进行政管理、推进行政改革服务。通过举办这次会议，美国行政学会和各国同行给我们提出许多建设性的意见和建议，增进相互了解和交流，为今后的合作与共同发展打下了坚实基础。我们期待着与中外学界同仁一道，共同推动中国公共行政学科的发展和行政管理科学的繁荣！

Public Management in the Twenty—First Century: Global Governance

Marc Holzer and Mengzhong Zhang

We are honored to have this opportunity to share some of our thoughts with our Chinese colleagues in the public administration community. We thank Dr. Keyong Dong for his kind invitation to write this preface. In a larger sense, we appreciate the concerted efforts of the following institutions to make this First Sino – US International Conference on Public Management a reality. They are: the Chinese Public Administration Society, the American Society for Public Administration, Renmin University of China, Rutgers University – Newark Campus, the Journal of *Chinese Public Administration*, and the *Chinese Public Administration Review*.

The 1st Sino – US International Conference on Public Management crystallized from the time – honored cooperation between the Chinese Public Administration Society (CPAS) and the American Society for Public Administration (ASPA). The relationship of friendship between ASPA and CPAS began in 1991. Yichang Liu, Vice – President of CPAS at the time, led a delegation to attend the ASPA annual conference that year. Thomas Lynch, ASPA President, returned the visit to CPAS in 1991. Then Wenshou Zhang, past – Deputy President of CPAS, attended the ASPA conference in 1993, followed by a visit to CPAS by Professor Tom Liou in 1994.

In October of 1999, in response to an invitation by the CPAS, Marc Holzer, ASPA President – elect and Chair of the Graduate Department of Public Administration at the Newark Campus of Rutgers, together with Mengzhong Zhang, Senior Research Fellow at Rutgers' National Center for Public Productivity (NCPP), visited CPAS and three Chinese public administration institutions (Peking University, Ren-

min University of China and the National School of Administration). During that visit, Mr. Yajun Shi, Vice – President of Renmin University of China, proposed a joint conference that would be sponsored by CPAS, ASPA and Renmin University of China. Shi's idea was further detailed when Professors Chengfu Zhang and Yajun Shi attended the ASPA 2001 Annual Conference in Newark.

Thus, this conference was ultimately hosted by the newly established School of Administration at Renmin University of China in June of 2002, with the support of the above mentioned institutions. Overall, the two – day conference on Public Management, especially on the transition of governance, was a great success. More than one hundred participants, from a number of countries, gathered in Renmin University in Beijing and presented and discussed provocative thoughts and views as to the governance transition in China and in other parts of the world.

This volume has been compiled from presentations at the conference. Some papers focus on China, while others focus on international comparisons; some manuscripts examine the issues of central governments, while others are more interested in the governance of local governments; some scholars explore the themes from theoretical aspects, while others take the path of practical approaches. Together, these papers present a balanced view of governance transition from different dimensions and perspectives, and they deserve further examination and a broader audience. The voices of the participants should not be buried by secular routines and their wisdom should not be “covered by the earthly dirt.” In short, proceedings of the conference are warranted so as to spread the scholarship represented in those two intense days. We are delighted to see that many of the insights of the conference are now recorded in this anthology, and therefore are available for the inquiring minds.

In today's world, globalization has garnered momentum from the rapid pace of economic growth. Economic growth, in return, has relied on knowledge growth. The “knowledge industry,” a term first coined by the Princeton economist Fritz Machlup (1962), refers to the generation and circulation of ideas and information, instead of goods and services. More than thirty years ago Peter Drucker (1969) correctly observed the shift from an economy of goods to a knowledge economy:

The figures are impressive enough. Ninety percent of all scientists and technologists who ever lived are alive and at work today. In the first five hundred years since Gutenberg, from 1450 to 1950, some thirty million printed

books were published in the world. In the last twenty - five years alone an equal number has appeared. Thirty years ago, on the eve of World War II, semiskilled machine operators, the men on the assembly line, were the center of the American work force. Today the center is the knowledge worker, the man or woman who applies to productive work ideas, concepts, and information rather than manual skill or brawn. Our largest single occupation is teaching, that is, the systematic supply of knowledge and systematic training in applying it (Drucker, 1969: 263 - 4).

Yet, an equally (if not more) important aspect of globalization is global governance. In our view, there are at least two connotations to global governance. First, most (if not all) countries are actively seeking good public sector ideas and best practices from the international community in order to help achieve better governance. Second, international organizations, such as the United Nations, World Bank and International Monetary Fund, are playing an increasingly significant role in global governance. On the one hand, global governance promotes the flow of good ideas and practices and advances the transfer of public policies across national boundaries. On the other hand, global governance has the tough task of preventing the globalization of environmental pollution, diseases (such as SARS) and terrorism. Thus, globalization could be a two-edged sword that may be either good or bad. The challenge facing our public administration community is to utilize the positive externalities of global governance while simultaneously resisting the negative externalities of globalization.

From this perspective of global governance, the Chinese public administration community has a great deal to learn from public sectors of other countries. For example, during and after the conquest of SARS, Chinese government practitioners and scholars alike realized the significance of the consistent development of a society not only in terms of economic growth, but also in other aspects of the society, such as environment, ecology, employment, education, medicine and the public health system. Indeed, the *Chinese Public Administration Review (CPAR)*, an academic journal in English committed to the advancement of public service and scholarship in China, has identified at least sixteen areas for research. They are: 1) Social stability; 2) Globalization, WTO and the strategies of Chinese government; 3) Government accountability, rule of law, ethics and corruption prevention mechanisms; 4)

Social equity and shrinking the gap between rich and poor; 5) Government functions in the re-employment project; 6) Establishment and improvement of the social security system in urban and rural areas; 7) Budget deficits, and the strengths and weakness of positive finance policy; 8) Bad debt and financial policy; 9) The balance of ecology and environment protection; 10) E-government; 11) The research methodologies of public administration; 12) Marginalized groups; 13) Citizen participation and civil society; 14) Public productivity and performance measurement; 15) Competition for posts by civil servants; and 16) Trust and administrative culture. It is our understanding that China is now on the right track, one that has comprehensive, concerted and sustainable development guidelines with a value orientation of efficiency, effectiveness, social equity and government accountability, and thus will help guarantee the betterment of the whole society.

In a rapid developing yet interrelated contemporary world, scholars and practitioners from other regions of the world could also learn from wise Chinese practices and theoretical developments. From a historical point of view, in the middle of the nineteenth century the United Kingdom learned and borrowed from the ideas of the civil service system of ancient China. Later, the U.S. borrowed the idea of the UK civil service and indirectly benefited from the wisdom of ancient China. Today, many countries could learn from China, for example from its mass transportation system as a means of saving energy. China's lasting economic growth and successful transition from a command economy to a market economy also set examples for some other countries to follow. In this view, global governance is a reciprocal process that creates a win-win situation for all participants.

The U.S. /China Public Administration Secretariat (affiliated to ASPA) was established in November 2000, with a mission of promoting cooperation and understanding between the U.S. and Chinese public administration communities. During the past four years, thanks to the support of CPAS and ASPA leadership groups, the Secretariat has successfully organized a number of activities, including the 1st Sino-US International Conference on Public Management. In the words of Mary Hamilton, Executive Director of ASPA, we are dedicated to "building the kind of quality governments that will allow our nations to thrive in our rapidly changing world, and that will improve the lives of citizens and of future generations" (Hamilton, 2002)

Marc Holzer is former ASPA President. He is Director of the U.S. /China Pub-

lic Administration Secretariat. He is the Chair and Professor of Public Administration, Rutgers University-Newark. Prof. Holzer is the Editor-in-Chief of *Chinese Public Administration Review* (CPAR), *Public Performance and Management Review* (PPMR) and *Public Voices* (PV) and the book series *ASPA Classics*. Prof. Holzer is Advisory Professor at Renmin University of China and Huazhong University of Science and Technology. He is also Adjunct Professor at Zhongshan University and Jilin University.

Mengzhong Zhang is Associate Director of the U.S./China Public Administration Secretariat. He is Associate Director and Senior Research Fellow at the Rutgers' National Center for Public Productivity (NCPPI), managing editor of *Chinese Public Administration Review* and Adjunct Professor at a number of universities in China.

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一、公共管理 与制度创新

The current position of new public management

Owen E. Hughes

Department of Management Monash University, Australia

【Abstract】 The new public management (NPM) has been in place in developed countries for more than ten years. This movement has, in the view of some theorists (see Hughes, 1998, 2003) led to a transformation of the public sector and a change of paradigm from the traditional model of public administration. After this time, however, there are more criticisms of NPM theory. There are critics who argue that the international aspects of the change are exaggerated, or that NPM is a threat to democracy. It is argued that empirical work within a number of countries shows there is much more continuity with national administrative tradition than would be expected if it was truly a universal movement (Pollitt and Bouckaert, 2000). This paper argues that the shift from traditional model of public administration has occurred and that there is sufficient change to justify this as a change of paradigm. While some of the critics have made interesting points they ignore the real changes that have occurred and further change is likely rather than less, including in developing countries. The new public management is still the leading theory of public sector reform.

【Keywords】 new public management; traditional public administration; paradigm shift